

## **APPENDIX B**

- **WEB WELCOME**
- **QUESTIONNAIRE**
- **FREQUENTLY ASKED QUESTIONS**

## ORI FACULTY SURVEY WEB WELCOME SCREEN

### **Welcome to the Training PhD's Faculty Survey - A research site maintained by Mathematica Policy Research, Inc. MPR link**

Your participation is voluntary but important. Your answers will be kept confidential, and any results will be reported only in aggregate form.

If you have general questions about the study, please click on the [FAQ](#) for more information. If you experience technical problems, please call 1-xxx-xxx-xxxx or email [ORI-faculty@mathematica-mpr.com](mailto:ORI-faculty@mathematica-mpr.com).

You may stop and restart this survey at any time. All answers up to the point where you leave off will be saved automatically. For your protection, your session will time out after 10 minutes of inactivity, and you will need to log in again to continue.

Click the "Next" button below to continue. By clicking the "Next" button, you are agreeing to participate in this study.

**Next**

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## ORI Faculty Survey Web Questionnaire Web Version 1

October 2, 2007

### ELIGIBILITY SCREENER

1. Do you ~~currently~~ have primary responsibility for overseeing at least one doctoral student's research leading to his or her doctorate?

- Only include PhD students or MD/PhD students.

Yes      **GO TO A1**

No

2. In the last ~~five~~ years, did you have primary responsibility for overseeing at least one doctoral student's research leading to his or her doctorate?

- Only include PhD students or MD/PhD students.

Yes      **GO TO A1**

No

**[If NO to BOTH questions, GO TO BOX below, then End.]**

**BOX. In the last 5 years, about how many doctoral students did you work with informally?**

- By "informally," we mean that you did not have official responsibilities in overseeing students' work but you gave them advice, support, or guidance.

•

|\_|\_| NUMBER OF DOCTORAL STUDENTS

**End.** Thank you for your interest in participating in this research. At this time, we are only surveying faculty who have doctoral student training responsibilities

**A. FACULTY ROLES**

**A1. Institutions vary in what they call faculty members who work most closely with a student on his or her dissertation research. Does your institution refer to these faculty members as...**

[PROGRAMMER: ROTATE ITEMS a, b, c]

**CHECK YES OR NO FOR EACH ITEM**

	<b>Yes</b>	<b>No</b>
a. Mentors?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
b. Advisors?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
c. Supervisors?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
d. Other? <i>(Please specify)</i> .....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
_____		
_____		

**A2. [FILL: "Do" if Screener 1=Yes; FILL: "Did" if Screener 2=Yes] your doctoral students refer to you as their...**

[PROGRAMMER: ROTATE ITEMS a, b, c]

**CHECK YES OR NO FOR EACH ITEM**

	<b>Yes</b>	<b>No</b>
a. Mentors?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
b. Advisors?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
c. Supervisors?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
d. Other? <i>(Please specify)</i> .....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
_____		
_____		

**A3. What do you prefer to be called?**

**CHECK ONLY ONE ANSWER**

- 1  Advisor
- 2  Mentor
- 3  Supervisor
- 4  Other *(Please specify)*

\_\_\_\_\_

\_\_\_\_\_

**A4. In your view, what are the three most important responsibilities of a(n) [FILL: A3 RESPONSE]?**

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

The next set of items are about mentor and advisor roles.

**A5. Some people think that the terms ‘advisor’ and ‘mentor’ are synonymous and describe the same type of relationship a faculty member would have with doctoral students. Others view the terms as describing two distinct types of faculty and doctoral student relationships.**

For the following list of activities, please indicate whether you think it is an activity that only an advisor would engage in, an activity that only a mentor would engage in, whether both would engage in it, or whether neither would engage in it.

CHECK ONLY ONE ANSWER FOR EACH ITEM

	Advisor Only	Mentor Only	Both	Neither
a. Provide financial support.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
b. Chair student's dissertation committee.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
c. Help students choose classes.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
d. Help students choose topics of research...	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
e. Measure progress and accomplishments through feedback (written or verbal).....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
f. Train students in good research practices.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
g. Train students in identifying and handling research misconduct.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
h. Set standards for data collection.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
i. Prepare contract or grant proposals.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
j. Co-author papers and presentations with students.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
k. Sponsor students for desirable positions such as assistantships, practica, or internships.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
l. Help students gain greater exposure and visibility in the field.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
m. Provide networking opportunities.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
n. Provide career counseling.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
o. Provide professional socialization (e.g., passing on values and norms of the profession).....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
p. Teach life skills or social skills.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
q. Serve as a role model.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
r. Serve as a friend.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
s. Provide moral support.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>

**B. YOUR DOCTORAL STUDENTS**

The next several questions are about your activities with doctoral students.

**B1. In the last 5 years, for how many doctoral students have you had primary responsibility?**

- *By “primary responsibility,” we mean that you had official responsibilities in overseeing students’ research leading to their doctorates.*
- *Only include PhD or MD/PhD students.*

|\_|\_| NUMBER OF DOCTORAL STUDENTS

**B2. For how many of these [FILL: B1 NUMBER] students do you currently have primary responsibility?**

- *Only include PhD or MD/PhD students.*

|\_|\_| NUMBER OF DOCTORAL STUDENTS

**B3. As the person who [FILL: “has” if B2 > 0; “had” if B2=0] primary responsibility to oversee doctoral student research, what [FILL: “is” if B2 > 0; “was” if B2=0] your title?**

**CHECK ONLY ONE ANSWER**

- 1  Do not have a title for this responsibility
- 2  Advisor
- 3  Mentor
- 4  Some other title *(Please specify)*

\_\_\_\_\_

**B4. For how many of these [FILL: B1 NUMBER] students did you consider yourself...**

Number  
of Students

- a. an advisor only?.....|\_|\_|
- b. a mentor only? .....|\_|\_|
- c. both an advisor and a mentor? .....|\_|\_|
- d. neither an advisor nor a mentor? .....|\_|\_|

**B5. In the last 5 years, how many of these [FILL: B1 NUMBER] doctoral students earned PhD’s or MD/PhD’s?**

- *Do not include current students who have not yet completed their degrees.*
- *Do not include students who left the program without completing their degrees.*

|\_|\_| NUMBER OF DOCTORAL STUDENTS

**B6. In the last 5 years, not including these [FILL: B1 NUMBER] students, about how many doctoral students did you work with informally?**

- By “informally,” we mean that you did not have official responsibilities in overseeing students’ work, but you gave them advice, support, or guidance.

\_\_\_\_|\_\_\_\_| NUMBER OF DOCTORAL STUDENTS

**IF B5 = 0, SKIP TO D1**

**B7. Please indicate if you did each of the following activities with all, some, or none of the [FILL: B5 NUMBER] students who received their doctorates in the last 5 years.**

CHECK ONLY ONE ANSWER FOR EACH ITEM

	DID FOR ALL	DID FOR SOME	DID FOR NONE
a. Helped secure funding for doctoral studies?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
b. Discussed good research practices?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
c. Reviewed with student the rules of working in a lab?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
d. Prepared with student human or animal subjects protections protocols (IRB or IACUC)?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
e. Discussed methods of data management such as data recording, custody, and ownership?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
f. Provided student with written data management rules?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
g. Discussed research misconduct policies?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
h. Interpreted student’s original data with student?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
i. Reviewed research data with student for publication?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
j. Taught student how to write grant or contract proposals?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
k. Co-authored publication with student where the student <u>was</u> named as the first author?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
l. Co-authored publication with student where the student <u>was not</u> named as the first author?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
m. Assisted with preparing presentations?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
n. Took student to a meeting or conference?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
o. Helped student to develop professional relationships with others in the field?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
p. Discussed student’s professional goals with student?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>
q. Gave your personal email address or home telephone number?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>

**C. STUDENT OUTCOMES**

The next questions are about your doctoral students.

**C1. You indicated that in the last 5 years, [FILL: B5 NUMBER] students received their doctorates. How many of these students completed their degrees in...**

- a. less than 4 years?.....|\_\_|
- b. in 4 years?.....|\_\_|
- c. in 5 years?.....|\_\_|
- d. in 6 years?.....|\_\_|
- e. in 7-9 years?.....|\_\_|
- f. in 10 or more years?.....|\_\_|

**C2. Prior to completing the doctoral program, how many of these [FILL: B5 NUMBER] students were listed as an author on at least one publication (article in peer-reviewed journal, book, book chapter, etc.)?**

- *Do not count any students with publications that were “in progress”—that is, under review, being revised or edited, or accepted for publication but not yet published.*
- *Do not count any students with presentations, informal papers (not peer-reviewed), or theses or dissertations, unless they were also published.*

|\_\_|\_\_| NUMBER OF STUDENTS



**C3. After they received their doctorates, how many of your [FILL: B5 NUMBER] students...**

	NUMBER OF STUDENTS
<b>ACADEMIC INSTITUTION</b>	
a. stayed on at your institution in a position (such as an academic position, a non-academic position or postdoc)?.....	_
b. went to another institution to take a position (such as an academic position, a non-academic position or postdoc)?.....	_
<b>PRIVATE SECTOR</b>	
c. went to work in the private sector?.....	_
d. went to work in private practice or to work for themselves?.....	_
<b>GOVERNMENT</b>	
e. went to work for the government (local, state, or federal)?.....	_
<b>UNEMPLOYED</b>	
f. were unemployed and seeking employment?.....	_
g. were unemployed and not seeking employment?.....	_
<b>OTHER</b>	
h. pursued additional education <u>other than</u> post-doc?.....	_
i. did something else? ( <i>Please specify</i> ).....	_
.....	
j. Do not know what happened to them.....	_

**D. INSTITUTIONS, DEPARTMENTS, AND PROGRAMS**

**D1. In your doctoral program, which of the following best describes how doctoral students are paired with advisors?**

**CHECK ONLY ONE ANSWER**

- 1  Students select faculty members to be their advisors
- 2  Faculty members select which students they will work with
- 3  Faculty members and students jointly decide to pair up
- 4  The program or department pairs students with faculty members based on some criteria (e.g., availability, funds, interests, etc.)
- 5  Other (*Please specify*)

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**D2. Institutions vary in who takes primary responsibility for different activities.**

**For each activity below, please indicate whether it is the institution's, the faculty member's, or some other entity's primary responsibility.**

*Example: If the institution mandates that all doctoral students must complete a training in how to conduct research responsibly, but it is up to each faculty member to conduct this training, you would mark, "Primarily Institution's Responsibility." If, on the other hand, it is each faculty member's decision to train their own students in this skill, you would mark "Primarily Faculty Member's Responsibility."*

Whose primary responsibility is it to...	CHECK ONLY ONE ANSWER FOR EACH ITEM			What other entity was this?
	Primarily Institution's Responsibility	Primarily Faculty Member's Responsibility	Primarily Other Entity's Responsibility	
a. Provide financial support?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/> →	_____
b. Provide training in responsible conduct of research (RCR)?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/> →	_____
c. Provide training in identifying research misconduct?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/> →	_____
d. Provide policy on authorship?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/> →	_____
e. Set standards for data collection?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/> →	_____
f. Provide training in data management?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/> →	_____
g. Provide training in understanding IRB or IACUC regulations or completing IRB or IACUC packages?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/> →	_____
h. Manage cases of misconduct such as data falsification?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/> →	_____
i. Monitor doctoral student progress (such as whether taking the right number of credits, taking qualifying exams on time, completing paperwork for the dissertation)?.....	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/> →	_____

**D3. To the best of your knowledge, is there a formal, written policy or guideline describing a faculty member's responsibilities in working with doctoral students provided by...**

**CHECK YES OR NO FOR EACH ITEM**

	<b>Yes</b>	<b>No</b>	<b>Don't Know</b>
a. the graduate program?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
b. your institution?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
c. other? (Please specify).....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>

**IF D3a AND D3b AND D3c = No OR Don't Know, SKIP TO D6**

**D4. Have you read all or part of [FILL: "your institution" if D3b=Yes; "the graduate program" if D3a=Yes AND D3b=No or DK; "D3c other specify" if D3c=Yes AND (D3a and D3b=No or DK)] policy or guideline?**

- 1  Yes
- 0  No → **SKIP TO D6**

**D5. How useful to you was this policy or guideline?**

**CHECK ONLY ONE ANSWER**

- 1  Very useful
  - 2  Somewhat useful
  - 3  Not very useful
  - 4  Not at all useful
- **SKIP TO D7**
- **SKIP TO D8**

**D6. How useful would it be to you to have this kind of policy or guideline?**

- 1  Very useful
  - 2  Somewhat useful
  - 3  Not very useful
  - 4  Not at all useful
- **SKIP TO D8**

**D7. What are the one or two main reasons why this policy or guideline (is/would be) useful?**

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**IF D3a AND D3b AND D3c=NO OR DON'T KNOW, SKIP TO D10, ELSE SKIP TO D9**

**D8. What are the one or two main reasons why this policy or guideline (is not/would not be) useful?**

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**IF D3a AND D3b AND D3c=NO OR DON'T KNOW, SKIP TO D10, ELSE CONTINUE TO D9**

**D9. Still thinking about these policies or guidelines on a faculty member's responsibility in working with doctoral students, have any of the following ever taken place at this institution?**

**CHECK ONLY ONE ANSWER FOR EACH ITEM**

	Yes	No
a. You talked to the department chair or another senior department faculty member about these policies or guidelines?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
b. You talked with your doctoral students about these policies or guidelines?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
c. Your doctoral students asked you about the policies or guidelines?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
d. You gave a talk, workshop or brown bag on these policies or guidelines either for your department, the graduate program, or for the university at large?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>

**D10. Does the graduate program offer faculty training sessions in...**

**CHECK ONLY ONE ANSWER FOR EACH ITEM**

	Yes	No	Don't Know
a. advising doctoral students?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
b. mentoring doctoral students?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
c. developing students' research skills?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
d. The Responsible Conduct of Research (RCR)?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
e. Human or animal subjects protection?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
f. "Train the Trainer" program on better mentoring?...	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>

**D11. Are faculty required to attend the training in...**

[PROGRAMMER: Display only "Yes" items from D10]

	Yes	No	Don't Know
a. advising doctoral students?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
b. mentoring doctoral students?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
c. developing students' research skills?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
d. The Responsible Conduct of Research (RCR)?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
e. Human or animal subjects protection?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
f. "Train the Trainer" program on better mentoring?...	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>

**D12. Have you attended the training in...**

[PROGRAMMER: Display only "Yes" items from D10]

	Yes	No	Don't Know
a. advising doctoral students?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
b. mentoring doctoral students?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
c. developing students' research skills?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
d. The Responsible Conduct of Research (RCR)?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
e. Human or animal subjects protection?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>
f. "Train the Trainer" program on better mentoring?...	1 <input type="checkbox"/>	0 <input type="checkbox"/>	d <input type="checkbox"/>

**D13. Have you ever taught a training in...**

**CHECK YES OR NO FOR EACH ITEM**

	Yes	No
a. advising doctoral students?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
b. mentoring doctoral students?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
c. developing students' research skills?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
d. The Responsible Conduct of Research (RCR)?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
e. Human or animal subjects protection?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
f. "Train the Trainer" program on better mentoring?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>

**D14. To what extent does your department reward faculty members for their work with doctoral students? Would you say...**

**CHECK ONLY ONE ANSWER**

- 1  A great deal
- 2  Some
- 3  Not much
- 4  Not at all

**D15. Please give one or two examples [FILL: "of these rewards" if D14=A great deal or Some; FILL: "of rewards the department could give" if D14=Not much or Not at All].**

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**D16. To what extent does your institution reward faculty members for their work with doctoral students? Would you say...**

**CHECK ONLY ONE ANSWER**

- 1  A great deal
- 2  Some
- 3  Not much
- 4  Not at all

**D17. Please give one or two examples [FILL: "of these rewards" if D16=A great deal or Some; FILL: "of rewards the institution could give" if D16=Not much or Not at All].**

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**E. PROFESSIONAL ACTIVITY**

• This section is about your professional and research background.

**E1. In the last 5 years, how many . . .**

1 Presentations have you given at regional, national or international conferences? *Do not count presentations of the same work more than once.*

|\_|\_| NUMBER OF PRESENTATIONS

2 Articles, authored by you, have been accepted for publication in a refereed professional journal?

|\_|\_| NUMBER OF ARTICLES

3 Books or book chapters, authored by you, have been published or accepted for publication?

|\_|\_| NUMBER OF BOOKS OR BOOK CHAPTERS

•  
•  
**E2. Is any of your work currently supported by an extramural grant or contract?**

1  Yes

0  No → **SKIP TO E7**

**E3. How many extramural grants or contracts currently fund your work?**

|\_| NUMBER OF GRANTS OR CONTRACTS

**E4. How many of these grants or contracts are from...**

|\_| National Institutes of Health

|\_| National Science Foundation

|\_| Other government agencies

|\_| Non-profit foundations

|\_| For-profit companies

|\_| Other sources (*Please specify*)

\_\_\_\_\_

**E5. What is your approximate current amount of annual grant or contract funding from all sources?**

*Note: Your best estimate is fine.*

\$ |\_|\_|\_|,|\_|\_|\_|,|\_|\_|\_|.00

**E6. Currently, how many of your doctoral students are supported in any way by your extramural grants or contracts?**

|\_|\_| NUMBER OF SUPPORTED DOCTORAL STUDENTS

*If None, enter zero.*

**E7. Are you the principal investigator of a research group?**

*Note A 'research group' can be a team that shares a laboratory.*

1  Yes

0  No → **SKIP TO F1**

**E8. How many doctoral students do you currently supervise in your research group?**

|\_|\_| NUMBER OF DOCTORAL STUDENTS



**F. FACULTY RESPONSIBILITIES**

**F1. In total, about how many hours do you spend in a typical 7-day week engaged in activities related to your position at this institution?**

|\_\_|\_\_| TOTAL NUMBER OF HOURS PER WEEK

**F2. About what percentage of these total hours do you typically spend on each of the following activities?**

\_\_\_\_% a. Teaching undergraduate courses  
(Include in-class time, class preparation, grading, laboratory time)

\_\_\_\_% b. Teaching graduate courses  
(Include in-class time, class preparation, grading, laboratory time)

\_\_\_\_% c. Working with your doctoral students on their research

\_\_\_\_% d. Your own research

\_\_\_\_% e. Preparing grant applications or proposals

\_\_\_\_% f. Overseeing a lab

\_\_\_\_% g. Clinical practice

\_\_\_\_% h. Departmental or institutional administrative activities or service

\_\_\_\_% i. Other (*Please specify*)

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**100 % Total**

[PROGRAMMER: All of the activities at this institution need to total to 100 percent]

**F3. You indicated that you typically spend the following percentage of time on each of these activities. On a scale of 1 to 5 where 1 is “Very Unsatisfied” and 5 is “Very Satisfied,” please indicate how satisfied you are with the percentage of time you spend on each activity and then, what percentage of your time you would ideally like to spend on each activity.**

[PROGRAMMER: FILL percentages from question F2 in this column]

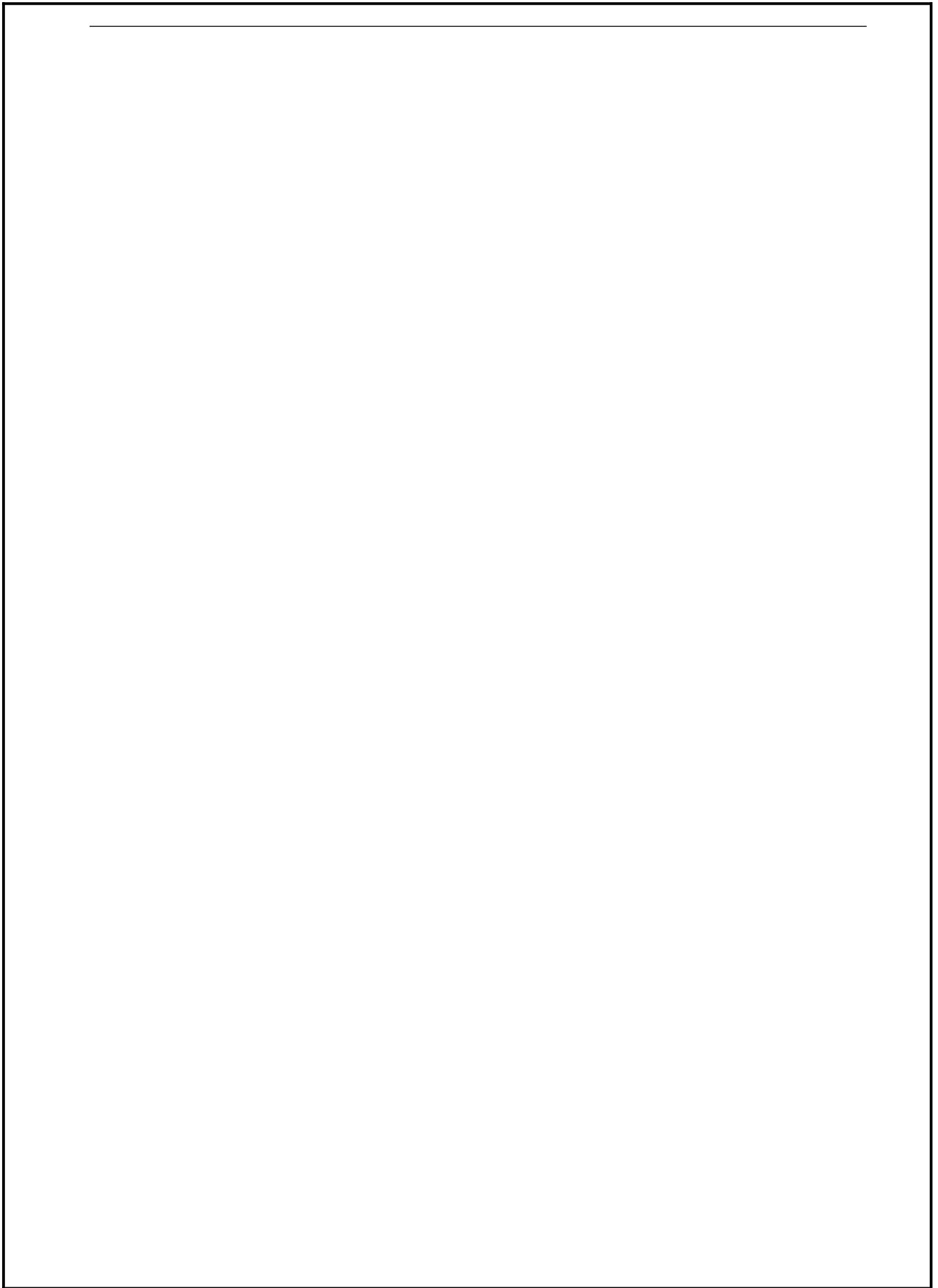
	a. Percentage of Time You Indicated	b. Current Level of Satisfaction with Percentage of Time You Spend on Activity					c. Percentage of Time You Would Ideally Spend
		Very Unsatisfied 1	2	Neither Satisfied nor Unsatisfied 3	4	Very Satisfied 5	
a. Teaching undergraduate courses (Include in-class time, class preparation, grading, laboratory time)	_____ %	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	_____ %
b. Teaching graduate courses (Include in-class time, class preparation, grading, laboratory time)	_____ %	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	_____ %
c. Working with your doctoral students on their research	_____ %	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	_____ %
d. Your own research	_____ %	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	_____ %
e. Preparing grant applications or proposals	_____ %	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	_____ %
f. Overseeing a lab	_____ %	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	_____ %
g. Clinical practice	_____ %	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	_____ %
h. Departmental or institutional administrative activities or service	_____ %	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	_____ %
i. Other (Please specify)	_____ %	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	_____ %
_____							
_____							

[PROGRAMMER: If F3c\_c > F3a\_c, then ask F4, else SKIP TO G1]

**F4. You indicated that you would ideally like to spend more time working with your doctoral students on their research. What are the one or two main reasons why you do not spend more time working with doctoral students now?**

\_\_\_\_\_

\_\_\_\_\_



**G. BACKGROUND INFORMATION**

The final questions ask for some demographic information. Your personal information will not be shared with others and will only be used to analyze results.

**G1. What is your faculty rank?**

**CHECK ONLY ONE ANSWER**

- 1  Full professor
- 2  Associate professor
- 3  Assistant professor
- 4  Adjunct faculty
- 5  Instructor or lecturer
- 6  Other (*Please specify*)

\_\_\_\_\_

**G2. Are you currently serving in an administrative position as:**

**CHECK YES OR NO FOR EACH ITEM**

	<b>Yes</b>	<b>No</b>
a. Department chair?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
b. Dean?.....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
c. Other? ( <i>Please specify</i> ).....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
_____		
_____		

**G3. What is your tenure status at [FILL UNIVERSITY]?**

**CHECK ONLY ONE ANSWER**

- 1  Tenured
- 2  On tenure track, but not tenured
- 3  Not on tenure track, but institution has tenure system
- 4  Institution has no tenure system

**G4. In what year did you become a faculty member at this institution?**

|\_|\_|\_|\_| YEAR

**G5. Which of the following degrees do you have?**

**CHECK YES OR NO  
FOR EACH ITEM**

	<b>Yes</b>	<b>No</b>
a. Bachelor's degree (BA, BS, AB, etc.).....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
b. Master's degree (MA, MS, etc.).....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
c. Doctoral degree (PhD, EdD, etc.).....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
d. Professional degree (MD, JD, DDS, etc.).....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
e. Other? ( <i>Please specify</i> ).....	1 <input type="checkbox"/>	0 <input type="checkbox"/>
_____		
_____		

**G6. In what year did you receive your most recent degree?**

|\_|\_|\_|\_| YEAR

**G7. In what country were you born?**

- 1  USA → **SKIP TO G9**
- 2  Other (*Please specify*)

\_\_\_\_\_

**G8. In what year did you come to the United States?**

|\_|\_|\_|\_| YEAR

**G9. Are you of Hispanic or Latino origin or descent?**

- 1  Yes, Hispanic or Latino
- 0  No, not Hispanic or Latino

**G10. What is your race?**

**CHECK ALL THAT APPLY**

- 1  White
- 2  Black or African American
- 3  Asian
- 4  Native Hawaiian or other Pacific Islander
- 5  American Indian or Alaska Native
- 6  Other (*Please specify*)

\_\_\_\_\_

**G11. What is the year of your birth?**

19 |\_\_|\_\_|  
YEAR

**G12. Are you...**

1  Male

2  Female

**G13. Someone from the study team may contact you in the future as a follow-up to this survey. Are you willing to be contacted?**

1  Yes

0  No

**END. Thank you for participating in this survey.**

## **FREQUENTLY ASKED QUESTIONS**

	<b>Training Ph.D.s: Faculty Views on their Role and their Institution's Role to Promote the Development of Responsible Researchers</b>
<b><i>What is the purpose of this study?</i></b>	The Office of Research Integrity (ORI) is interested in learning more about faculty and their institution's roles in the successful development of Ph.D. and M.D./Ph.D. students. Doctoral students' perceptions about their graduate experiences have been reported, and similar information is needed from the faculty perspective.
<b><i>Who is conducting the study?</i></b>	ORI has contracted with Mathematica Policy Research, Inc. (MPR), a nationally recognized policy research organization, to conduct this study. For more than 35 years, Mathematica has provided research-based information to improve policy and programs in education, health, and employment. For more information about Mathematica, visit our website at <a href="http://www.mathematica-mpr.com">www.mathematica-mpr.com</a> .
<b><i>Who is eligible to participate in this study?</i></b>	All National Institutes of Health (NIH) 2005 and 2006 grant recipients who have had primary responsibility for overseeing a Ph.D. or M.D./Ph.D. student in the last five years.
<b><i>How was I selected?</i></b>	Lists of 2005-2006 NIH grant recipients were used to select the sample. A total of 10,000 grant recipients were randomly selected from these lists.
<b><i>What will I be asked to do?</i></b>	You will be asked to complete a self-administered, web-based questionnaire. The questionnaire will cover topics related to your doctoral student responsibilities and activities. There will also be questions about the participation of your department and academic institution in the research experiences of doctoral students.
<b><i>How long will it take?</i></b>	The self-administered web-based questionnaire will take about 20 minutes to complete.
<b><i>What are the risks associated with participation?</i></b>	There are no risks associated with participation in this research. You will be assigned a unique user ID and password. Rigorous MPR confidentiality and security information technology guidelines will be in place to protect the security of the information transmitted over the web. Data will be stored on a secure web server within company firewalls.
<b><i>What are the benefits to participating?</i></b>	ORI will have information about faculty, departmental, and institutional roles in the research training of Ph.D. and M.D./Ph.D. students. The knowledge gained from a better understanding of current practices and policies will inform a discussion of best practices, such as guidelines for faculty activities and responsibilities in the development of responsible researchers. Faculty members, and the interested public, will also learn more about these practices and policies when the results are published in peer-reviewed journals.
<b><i>Will the information be confidential?</i></b>	All data will be kept strictly confidential. Individual names will not be reported, all results will be presented in aggregate form.
<b><i>What if I have questions?</i></b>	Please contact Janice Ballou at Mathematica Policy Research, Inc. toll-free at 1-xxx-xxx-xxxx or via email at <a href="mailto:ORI-faculty@mathematica-mpr.com">ORI-faculty@mathematica-mpr.com</a> .

***Thank you for helping us with this study.***



## **APPENDIX C**

- **EMAIL INVITATION**
- **EMAIL REMINDER**
- **REMINDER PHONE CALL SCRIPT**

## **EMAIL INVITATION**

## ORI FACULTY SURVEY EMAIL INVITATION

Subject heading: NIH Grant Recipient

Dear Dr. [fill last name]:

The Office of Research Integrity (ORI) has contracted with Mathematica Policy Research, Inc. (MPR) to learn more about faculty and institutional practices in the development of doctoral students. We are conducting a national, web-based faculty survey entitled “Training Ph.D.s: Faculty Views on Their Role and Their Institution’s Role to Promote the Development of Responsible Researchers.”

Your participation in this survey is voluntary. You were selected because you received a grant from NIH in the years 2005-2006. As a fellow researcher, we appeal to you to participate in our study so that we have a representative sample. Prior research has focused on graduate student’s perception of their graduate programs. We believe it will be useful to learn similar information from faculty.

Your response will be confidential. Rigorous MPR confidentiality and security information technology guidelines will be in place to protect the security of the information transmitted over the web. Data will be stored on a secure web server within company firewalls. The results will only be reported in aggregate form.

Please take some time now to complete the Training Ph.D.s web survey.

1. Visit <<<http://www.XXXX.com>>>
2. Enter your unique user ID: xxxx
3. Enter your unique password: xxxx
4. Begin the survey.

It should take about 20 minutes to complete.

If you have any additional questions about the survey or have technical problems with the web questionnaire, please contact Janice Ballou, Project Director, at MPR via email at [ORI-faculty@mathematica-mpr.com](mailto:ORI-faculty@mathematica-mpr.com) or by calling the toll-free number 1(xxx)xxx-xxxx. You may also contact Dr. Sandra Titus, Project Officer, at ORI ([Sandra.titus@hhs.gov](mailto:Sandra.titus@hhs.gov) or 240-453-8437) if you have any questions about the study.

Thank you for your cooperation.

Sincerely,

Janice Ballou signature

**EMAIL REMINDER**

## ORI FACULTY SURVEY EMAIL REMINDER

Subject heading: NIH Grant Recipient

Dear Dr. [fill last name]:

The Office of Research Integrity (ORI) has contracted with Mathematica Policy Research, Inc. (MPR) to learn more about faculty and institutional practices in the development of doctoral students. We are asking you to complete about a 20 minute web survey.

Please take some time now to complete the Training Ph.D.s web survey. The knowledge gained from a better understanding of current practices will inform a discussion of best practices, such as guidelines for faculty activities and responsibilities in the development of responsible researchers.

1. Visit <<<http://www.XXXX.com>>>
2. Enter your unique user ID: xxxxx
3. Enter your unique password: xxxxx
4. Begin the survey.

If you have any questions about the survey or have technical problems with the web questionnaire, please contact Janice Ballou, Project Director, at MPR via email at [ORI-faculty@mathematica-mpr.com](mailto:ORI-faculty@mathematica-mpr.com) or by calling the toll-free number 1(xxx)xxx-xxxx. You may also contact Dr. Sandra Titus, Project Officer, at ORI ([Sandra.titus@hhs.gov](mailto:Sandra.titus@hhs.gov) or 240-453-8437) if you have any questions about the study.

Thank you for your cooperation.

Sincerely,

Janice Ballou signature

## **REMINDER PHONE CALL SCRIPT**

## ORI FACULTY SURVEY: TELEPHONE REMINDER SCRIPT

My name is \_\_\_\_\_ of Mathematica Policy Research, Inc. I am calling on behalf of the Office of Research Integrity about a study we are conducting to learn more about faculty and institutional practices in the development of doctoral students. We recently sent you an email about this study. Your name was obtained from lists of 2005-2006 NIH grant recipients.

We would like you to complete a web-based questionnaire. The questionnaire will take about 20 minutes and will cover topics related to your doctoral student responsibilities and activities. There will also be questions about the participation of your graduate program and academic institution in the research experiences of doctoral students.

I need to ask you a question to determine if you are eligible for the study. In the last five years, did you have primary responsibility for overseeing at least one doctoral student's research leading to his or her Ph.D.?

- NO → **End.** Thank you for your interest, but at this time, we are only surveying faculty who have doctoral student training responsibilities.
- YES → Continue...

There are no risks associated with participation in this research. You will be assigned a unique user ID and password. I would like to forward you these along with the link to the web questionnaire. What is your email address? \_\_\_\_\_. All data will be kept strictly confidential. Individual names will not be reported; All results will be presented in aggregate form.

The knowledge gained from a better understanding of current practices and policies will inform a discussion of best practices, such as guidelines for faculty activities and responsibilities in the development of responsible researchers. If there are any additional questions, please contact Janice Ballou, the Project Director, at MPR via email at [ORI-faculty@mathematica-mpr.com](mailto:ORI-faculty@mathematica-mpr.com) or by calling the toll-free number 1(xxx)xxx-xxxx.

**APPENDIX D**

**DRAFT FEDERAL REGISTER NOTICE**



## **FEDERAL REGISTER NOTICE**

### **TRAINING PH.D.S: FACULTY VIEWS ON THEIR ROLE AND ‘THEIR INSTITUTION’S ROLE TO PROMOTE THE DEVELOPMENT OF RESPONSIBLE RESEARCHERS**

#### **SUMMARY**

There is growing concern and debate in the research community about research misconduct, questionable research practices, and lapses in ethical research standards. Preventing research misconduct and abuse is of paramount importance. The Institute of Medicine (IOM) has issued two reports in the last 10 years addressing this concern and clearly states that mentoring is a key factor in promoting the development of responsible researchers.<sup>1,2</sup> However, little is actually known about the qualities and activities of effective mentors.

We need to have a common understanding of what mentors and advisors specifically do to train Ph.D.s to become successful researchers. The literature indicates that students perceive mentoring as highly critical to completing their graduate programs (Hartnett 1976; Blackwell 1987; Arce and Manning 1984; Nettles and Millett 2006). Little is known, however, about how faculty define the role of advisor and mentor and how faculty members perform these roles in their daily work life. Furthermore, research on the institution’s role in promoting mentoring and advising is lacking.

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<sup>1</sup> Responsible Science: Ensuring the Integrity of the Research Process, National Academy Press, Volume 1, Washington DC, 1992.

<sup>2</sup> Integrity in Scientific Research: Creating and Environment that Promotes Responsible Research, National Academies Press, 2002.

The Office of Research Integrity (ORI), recognizing the importance of mentoring and the gaps in knowledge about mentoring, is conducting a descriptive study to examine faculty and institutional roles in mentoring. This effort is consistent with the directive to ORI to “focus more on preventing misconduct and promoting research integrity” (Federal Register: May 12, 2000, Volume 65, Number 93).

- The knowledge gained from a better understanding of current mentoring practices and policies can help the development and promotion of best practices, such as guidelines for faculty activities and responsibilities in the development of responsible researchers. In addition, we will be able to describe how involved institutions are in defining the responsibilities of the person who is responsible for the training and education of the Ph.D. candidate.

## **SUPPLEMENTARY INFORMATION**

### **I. Background**

- To gather information on these issues, ORI plans to conduct a self-administered web survey of faculty members who have supervised doctoral students in the last five years.

### **II. Review Focus**

- The Office of Research Integrity is particularly interested in comments that: (1) evaluate whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information will have practical utility; (2) evaluate the accuracy of the burden of the agency’s estimate of the proposed collection of information, including the validity of the methodology and assumptions used; (3) enhance the quality, utility, and clarity of the information to be collected; and (4) minimize the burden of the collection of information on those who are to respond, including through the use of appropriate data collection techniques.

### III. Current Actions

- The data will come from a random selection of 10000 investigators drawn from the 2005 and 2006 National Institutes of Health or National Science Foundation grant recipients who have supervised doctoral students in the last five years and are faculty in two types of institutions: (1) medical schools (within universities or stand alone) and (2) all other universities.

TABLE 1

RESPONDENTS AND BURDEN ESTIMATES FOR  
THE TRAINING PH.D.S SURVEY

Instrument	Respondents*	Response Time	Total Time
Faculty Survey	4,620 faculty who oversee doctoral students*	20/60 minutes	1,540 hours

\* Of the original 10,000 sample members, 66 percent are expected to be eligible and among those who are eligible (6,600), 70 percent are expected to participate for a total of 4,620 respondents.

- Comments submitted in response to this comment request will be summarized and/or included in the request for Office and Management and Budget approval of the information request; they will also become a matter of public record.