Attachment G – HA / LC Web Tools and Information

Based on lessons learned during the methodological study and the Pilot Early Career Doctorates Survey (ECDS), the website for the 2017 ECDS will include secure high authority (HA) and list coordinators (LC) sections. The portals provide additional guidance about the survey, enable HAs to approve the survey online, and provide a secure mechanism for LCs to upload their early career doctorates lists. Below are the components of the HA and LC portals, with the intended recipients (HA, LC, or both) indicated in the section headings.

Login Screen (*Both HA and LC*)

Welcome to the Early Career Doctorates Survey (ECDS), sponsored by the National Science Foundation (NSF) and by the National Institutes of Health. This site provides answers to frequently asked questions about the survey, offers instructions for list coordinators (LCs) on how to prepare the list of early career doctorates, and enables LCs to securely upload their lists. The survey participation form may also be completed and submitted though through this website.

To access the portal, enter your user name and password, and then click the "Login" button.

User Name: [_____]

Password: [_____] [Login]

If you need further assistance, you may e-mail ECDS@rti.org or call 1-800-848-4075.

Welcome *(Both HA and LC)*

Welcome to the website for the Early Career Doctorates Survey (ECDS), sponsored by the National Science Foundation (NSF) and by the National Institutes of Health. The purpose of this survey is to learn about the work experiences and career paths of individuals who earned their first doctoral degree (Ph.D., M.D., Ed.D., etc.) in 2007 or later, hereafter referred to as early career doctorates. Early career doctorates include all position types (postdocs, faculty, staff, etc.) and may hold any type of doctoral degree in any field from any institution.

The work of early career doctorates is critical to the success of the U.S. academic sector and research efforts and will influence U.S. and global scientific markets for years to come. Despite the importance of early career doctorates, current surveys of this population are limited and extant workforce studies are inadequate for tracking and assessing their work patterns and contributions to the U.S. economy.

The key goals of the ECDS are:

- To improve the national statistics on early career doctorates (ECD), regardless of where they earned their doctoral degree
- To collect data from ECD that can be used by funding agencies, policymakers, and other researchers to better understand the labor markets and work experiences of recent doctorate recipients
- To establish common definitions for different types of ECD (e.g., postdocs, junior faculty, and other nonfaculty researchers) that can be applied across institutional contexts

Approximately 23,000 individuals from 350 U.S. academic institutions, Federally Funded Research and Development Centers (FFRDCs), and the National Institutes of Health Intramural Research Programs will be asked to participate in this survey.

Frequently Asked Questions *(HA version)*

Q. What is the Early Career Doctorates Survey (ECDS)?
A. Sponsored by the National Science Foundation (NSF), the 2017 ECDS is a new survey of "early career doctorates," defined as individuals who earned their first doctoral degree (Ph.D., M.D., Ed.D., etc.) in 2007 or later. The survey focuses on early career doctorates who currently work in any role at one of the institutions selected for the survey. Major topics in the ECDS include academic history, work experiences, and career plans. The ECDS is designed to help U.S. agencies, policymakers, researchers, and other stakeholders understand more about the work experiences and career paths of these individuals in the early years after receiving their doctoral degree. This information will help inform decisions that will affect the U.S. academic and research communities for years to come.

Q. How was our institution selected for the ECDS?
A. The current ECDS includes a sample of 350 institutions drawn from three employment sectors:
1) U.S. academic institutions eligible for the NSF-NIH Survey of Graduate Students and Postdoctorates in Science and Engineering (GSS),
2) federally funded research and development centers (FFRDCs), and
3) the National Institutes of Health (NIH) intramural research programs.
The sample includes a representative mix of institutions across these three employment sectors.

Q. What do we need to do to get started?
A. The first step is to complete the Survey Participation Form, where you will designate a List Coordinator (LC) and a Communication Coordinator (CC).
- The LC is someone who can prepare a list of all individuals currently working at your institution who earned a doctoral degree (Ph.D., M.D., Ed.D., etc.) in 2007 or later. Qualifying early career doctorates may be working in any position type (postdoc, faculty, staff, etc.), and their doctoral degree can be in any field and from any institution. From this complete list of early career doctorates working at your institution, a limited number will be sampled and asked to complete a 30-minute survey. To help achieve a representative sample of early career doctorates, we request that the list include as many of the requested data fields (e.g., doctoral degree, field, citizenship) as possible.
- The CC is someone in your office, such as a Chief of Staff or Executive Assistant, who will be able to assist with two communications on your behalf: a notification announcing the start of data collection and a letter of support that will be sent to nonrespondents towards the end of data collection.

You can provide this information through the [Survey Approval Form](#) or by completing the Survey Participation Form and returning it by e-mail (ECDS@rti.org), mail (stamped addressed envelope provided), or fax (1-877-653-1240).

Q: For some individuals, we don't know the year of their doctoral degree and/or whether they currently have a doctoral degree. Can we still participate?
A: Yes! We understand that degree information may be missing or outdated for some individuals working at your institution. In a pilot version of the survey, we successfully developed an alternate participation strategy in cases where degree information was not available. Survey staff are happy to discuss this option with you in greater detail. Feel free to contact us at ECDS@rti.org or 1-800-848-4075.

Q: How many individuals will be asked to take the survey?
A: The number of individuals selected will vary based on the size of the institution. At most institutions, we will sample no more than approximately 60 individuals. (Separate communications will inform you about the maximum number to be sampled at your institution.) Overall, we expect to invite approximately 23,000 individuals to participate in the 2017 ECDS. In order to ensure that the individuals selected for the

survey are representative of early career doctorates as a whole, we are seeking lists of all early career doctorates at each institution.

Q. What privacy protections are in place for this survey?
A. Protecting respondent privacy is a priority for the ECDS. The following steps ensure that your employees' privacy and confidentiality are protected:

- The survey data will be used for statistical purposes only and will be safeguarded in accordance with the National Science Foundation Act of 1950, as amended, and the Confidentiality Information Protection and Statistical Efficiency Act of 2002.
- Per the Federal Cybersecurity Enhancement Act of 2015, your data are protected from cybersecurity risks through screening of the federal information systems that transmit your data.
- All data will be collected using secure data transfer protocols and maintained within encrypted databases.
- Each respondent will be given unique credentials (username and password), and the survey will be conducted over a secure internet connection (https).
- All survey staff will complete a confidentiality training and sign an affidavit of nondisclosure before being able to work on the survey.
- Prior to publication, data will be aggregated in ways that prevent the identification of individual respondents.

Q: What is an OMB Control Number?
A: All Federal information collection efforts must be approved by the Office of Management and Budget (OMB), and must display a valid OMB control number. The OMB control number for the Early Career Doctorates Survey is 3145-0235, which expires on [date].

Q: Whom should I contact if I have additional questions?
A: You can reach the staff at the survey contractor, RTI International, by calling 1-800-848-4075 or e-mailing ECDS@rti.org.

Frequently Asked Questions *(LC version)*

Q. What is the Early Career Doctorates Survey (ECDS)?
A. Sponsored by the National Science Foundation (NSF), the 2017 ECDS is a new survey of "early career doctorates," defined as individuals who earned their first doctoral degree (Ph.D., M.D., Ed.D., etc.) in 2007 or later. The survey focuses on early career doctorates who currently work in any role at one of the 350 institutions selected for the survey. The ECDS is designed to help U.S. agencies, policymakers, researchers, and other stakeholders understand more about the work experiences and career paths of these individuals in the early years after receiving their doctoral degree. This information will help inform decisions that will affect the U.S. academic and research communities for years to come.

Q. Who is eligible for the ECDS?
A. The ECDS is designed to gather data on the experiences of a wide array of individuals during the early years after completing their doctoral degree. Individuals who are sampled for the survey will include those who 1) earned any type of doctoral degree in any field from any institution in 2007 or later, and 2) are currently working in any position in one of the following employment sectors:
-U.S. academic institutions eligible for the NSF-NIH Survey of Graduate Students and Postdoctorates in Science and Engineering (GSS),
-federally funded research and development centers (FFRDCs), and the
-intramural research programs of the National Institutes of Health (NIH).

This broad definition is intended to cover postdocs, faculty, medical residents, research staff, and the full spectrum of other full-time and part-time positions that early career doctorates may hold at ECDS-eligible institutions such as yours.

Q. What information are you seeking from me as the List Coordinator?
A. For the ECDS, we are seeking a complete list of individuals working at your institution who qualify as "early career doctorates" (i.e., individuals who earned any type of doctoral degree [Ph.D., M.D., Ed.D., etc.] in 2007 or later). From this list we will sample a limited number of individuals and invite them to complete a 30-minute survey about their academic history, work experiences, and career plans. To assist with the sampling process, on the list we are seeking as many of the requested data fields as you are able to provide from existing databases.

Q: For some individuals, we don't know the year of their doctoral degree and/or whether they currently have a doctoral degree. Can we still participate?
A: Yes! We understand that degree information may be missing or outdated for some individuals working at your institution. If the highest degree or its award date is not available for a certain group (e.g., staff members), you can first send us a list of job titles from that group to review. Based on our experience evaluating job titles at similar institutions, we will work with you to identify the job titles that would be worth including in your list. You would then include these potentially eligible individuals to your list in addition to any individuals who are known to qualify for the survey. For example, your final list might include faculty, postdocs, and medical residents who are known to qualify, plus staff members whose job titles suggest they are potentially eligible. (Individuals who are only potentially eligible would be sampled less frequently than the individuals who are known to qualify as early career doctorates.)

Q: Are all the data fields required?
A: No, not all data fields are required, but we are seeking as much of this information as you are able to provide by querying your administrative databases. We understand that there may be limitations in data availability. Please let us know about any data you cannot provide and we will work with you to revise the data request. The data fields you are able to provide will be used to help us select a representative mix of early career doctorates from your institution.

Q: Do our data fields need to have the same names and formats as shown in the examples?
A: In order to minimize burden on your institution, we are happy to accept the information exactly as it comes from your database. For example, if your graduation date information is in the format "5/15/2010" rather than "20100515," please feel free to leave it as "5/15/2010." Similarly, if you do not have a requested field but have a similar one (e.g., name of doctoral institution rather than country of doctoral institution), we can also accept the substitute field instead.

Q: Do we need to provide names and contact information for everyone on our list?
A: Many institutions provide both the fields used for sampling (e.g., doctoral year, citizenship) and the contact information (e.g., name, e-mail address) at the same time. However, if you would prefer, you can provide an anonymized list containing only the fields used for sampling and an ID through which you can identify the individual. After sampling, we will follow up with you to request the contact information for the ID numbers that were selected.

Q: If my institution has policies that require employees to approve the release of their contact information to outside organizations, can my institution participate in the survey?
A: If your institution has policies that require employees to approve the release of their contact information to outside organizations, we have two strategies—known as "Opt-In" and "Opt-Out"—that we can discuss with you in more detail.

Q: Do you want us to send out an e-mail or look through resumes/CVs to get additional information about some of the missing fields?
A: In order to minimize the burden of the survey, we only wish to use information from existing databases. We are not seeking for you to manually gather additional information for ECDS purposes.

Q: When is the list due?
A: We recognize that the task of developing this type of list will vary significantly by institution. Therefore, the timeline is something you will discuss with survey staff during early communications and through regular check-ins.

Q: How do I return the list?
A: When you are ready to provide your list of early career doctorates (or your list of job titles for which eligibility is unknown), you can access the file upload page from the menu of this List Coordinator Portal. (If you would prefer to provide the file via an alternative method—e.g., a file transfer site that your institution hosts—we can work with you to use a different approach, as well.)

Q: How many individuals will be asked to take the survey?
A: The number of individuals selected will vary based on the size of the institution. At most institutions, we will sample no more than approximately 60 individuals. (Separate communications will inform you about the maximum number to be sampled at your institution.) Overall, we expect to invite approximately 23,000 individuals to participate in the 2017 ECDS. In order to ensure that the individuals selected for the survey are representative of early career doctorates as a whole, we are seeking lists of all early career doctorates at each institution.

Q: Whom should I contact if I have additional questions?
A: You can reach the staff at the survey contractor, RTI International, by calling 1-800-848-4075 or e-mailing ECDS@rti.org.

List Preparation Steps *(LC only)*

1. Finding data sources: Determine which database(s) contain information about individuals who work at your institution in any role (full- or part-time). We are interested in identifying all individuals at your institution who earned a doctorate or doctorate-equivalent in the last ten years. This includes postdocs, faculty (both tenure-track and non-tenure-track), research staff (e.g., staff scientists, lab managers), clinical staff (e.g., medical residents), and all other workers (e.g., administrators, librarians). At some institutions, this may be available in a single HR system, while other institutions may have information spread across multiple systems (e.g., faculty affairs database for faculty, HR system for staff, postdoc office records for postdocs).

2. Checking availability of degree information: Identify whether the database(s) contain current information about each individual's highest degree and the year in which it was earned. If current degree information is not available for some or all workers (e.g., staff), go to step 3. Otherwise, if current degree information is definitively known for all types of positions, go to step 4.

3. Using a job title approach (when current degree information is missing): If any groups are lacking current information about the highest degree or the year in which it was earned, we request that you first provide a list of job titles and associated departments for that group. Based on our experience evaluating job titles at similar institutions, we will work with you to identify the job titles that you should include in your list. This step enables us to include individuals whose job titles are commonly associated with early career doctorates, even when current degree information is not available. A limited number may be asked to complete the survey, where the introductory questions confirm an individual's eligibility. You can provide this job title list using the upload data page.

4. Preparing the list of early career doctorates: Individuals to include in your list are those who currently work at your institution and either
   a. are shown in your records as having earned their first doctoral degree (Ph.D., M.D., Ed.D., Pharm.D., D.N.P., etc.) in 2007 or later or
   b. hold a job title commonly associated with early career doctorates, as determined in conjunction with survey staff in step 3.

For each individual, provide as many of the requested data fields as feasible, though it may not be possible for you to provide all data fields. We are only seeking data that are accessible from existing data sources. The information that you provide in this list will be used to sample a limited number of individuals to complete the 30-minute survey. Having a variety of fields will help ensure that the individuals selected are representative of the early career doctorate population.
   - If you prefer not to provide contact information for the entire list, you can first provide a list that just includes the fields used for sampling (e.g., doctoral year, race, field) and, instead of the individual's contact information, an ID number. After we sample from this anonymous list, we will provide you with the ID numbers that were selected, and you can send a second file that contains the contact and sampling information for the individuals to which those ID numbers correspond.
   - If institutional policies require employee permission for you to release contact information, we have two approaches that will enable you to participate. These are known as the "Opt-in" and "Opt-out" methods. Please contact the survey staff at 1-800-848-4075 or ECDS@rti.org if you would like more information about these methods.

5. Submitting the list of early career doctorates: To provide your list of early career doctorates, you can use the upload data page. If you would prefer to use an alternative method, such as a file-transfer site

hosted by your institution, you can reach the survey staff at 1-800-848-4075 or ECDS@rti.org to discuss this alternative method.

Survey Approval Form (*HA Version*)
To indicate that <<institution name>> will participate in the Early Career Doctorates Survey, please

confirm or identify a list coordinator and a contact coordinator, enter your e-mail address (to receive a

confirmation), and press the "Submit" button.

Proposed List Coordinator:

<< Contact Name>>

<< Contact Title>>

<< Mailing Address>>

<< Mailing city, state, ZIP code>>

<< Telephone number>>

<<E-mail address>>

Nominated List Coordinator (LC):
☐   Check here to nominate the proposed LC

_____
Name of List Coordinator (if not same as proposed)

_____
Title

_____
Mailing address

_____
City, State, ZIP code

_____
Telephone Number

_____
E-mail address

Nominated Communication Coordinator (CC):
☐   Check here to nominate the LC

_____
Name of List Coordinator (if not same as proposed)

_____
Title

_____
Telephone Number

_____
E-mail address

_____
Your e-mail address

[Submit]

Upload Data *(LC version)*

Steps for Using the File Upload

1. Select an Upload Type

> A. List of job titles
> B. List of early career doctorates—with both contact and sampling information
> C. List of early career doctorates—with sampling information only

2. Select the File to Upload

> Click the "Browse" button below and navigate to the folder containing your upload file and open it.

3. Provide Details about the File (hidden if coordinator selected option A in 1 above)

Does this file…	Yes, all	Some but not all	No	N/A—we have none	Text box (*if "Some but not all" or "No"*)
…cover postdocs?					
…cover faculty (both tenure-track and non-tenure-track)?					
…cover research staff (e.g., staff scientists, lab managers)?					
…cover clinical staff (e.g., medical residents)?					
…cover all other workers (e.g., administrators, librarians)?					
…cover both full-time and part-time workers?					
…cover all fields/disciplines in which eligible individuals work?					
…cover all types of doctoral degrees (Ph.D., M.D., Ed.D., Pharm.D., D.N.P., etc.) that eligible individuals hold?					
…include affiliated hospitals, branch/satellite campuses, research institutes, and centers?					
…include individuals identified as possible ECD based on a job title review (used only when doctoral year or highest degree is unknown)?					

[Submit]

Contact Information *(both HA and LC)*

Phone: 1-800-848-4075
E-mail: ECDS@rti.org

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