

Tip Sheet for Completing Faculty Questionnaire for the National Research Council Assessment of U.S. Research Doctorate Programs February 5, 2007

INTRODUCTION

This tip sheet is intended to facilitate your completion of the Faculty Questionnaire for the NRC Assessment of Research Doctorate Programs. The NRC provides the most highly regarded and widely cited national rankings of graduate programs, and it is of the highest importance for our faculty to respond.

Fifty-eight doctoral programs at Berkeley are included in the Assessment. A list of faculty members that participate in these programs was sent to the NRC in mid-December, containing your name, work mailing address, work email, and doctoral program affiliations.

The NRC has received UC Human Subjects approval to conduct this study. The information you provide by means of the Faculty Questionnaire will remain confidential. No one at Berkeley (or anywhere else) will have access to individual information not already available to the public. Berkeley will not even know whether or not you have completed the Questionnaire (although we will be told what percentage of faculty in any program has completed the questionnaire). Participation is voluntary. You may refuse to answer any question or discontinue participation at any point.

- **DEADLINE: The effective deadline for completion of the Faculty Questionnaire is February 22.** In order to be eligible to receive a “ratings questionnaire” in which you will be asked to rate the quality of programs in your field, you must submit your Faculty Questionnaire by Thursday, February 22.
- To ensure that the NRC is able to credit properly all of your scholarly activity, it is imperative that you complete this questionnaire. **It is very important that you read this tip sheet BEFORE beginning the survey, as there are some materials you may not have readily available, and some items are ambiguous.**
- **QUESTIONS:** If you have any questions, please contact the NRC Facilitator for your program. You may also contact the Graduate Division: email gradnrc@berkeley.edu or call Andrew Smith 2-6721 or Judi Sui 3-7478. If you can't find your logon information for the survey, go to this website: https://www.nrc-assessment.com/NRC_Faculty/Lost/Lost.aspx If you have submitted your survey and would like to update it, send an email to: NRC-Assessment@mathematica-mpr.com with a request to re-open the survey. Provide your name and institution. You will not get a response, just try logging in again in a few days.

PURPOSE

Responses to the faculty questionnaire are the main source of information on faculty research, scholarship, and mentoring in Berkeley's doctoral programs for the NRC Assessment. In addition to assuring a complete picture of your doctoral program(s), the information you and other faculty provide will allow the NRC to compile quantitative and descriptive data regarding doctoral

programs in the United States, which will then be used to rank programs nationally. Your program will have the best chance to rank highly if you and all of the faculty members in your program respond to the questionnaire completely.

The NRC intends to make aggregate information publicly available at the completion of data analysis (no earlier than summer 2008), and anticipates that this information will be useful to many constituencies, including prospective graduate students. For more information about the study, please see <http://www7.nationalacademies.org/resdoc/index.html>.

PREPARING TO ANSWER THE QUESTIONNAIRE

1. **CONTACT:** The NRC, through Mathematica Policy Research (MPR), will be contacting you both by U.S. mail and e-mail. You will first receive an email and be provided with a login and password to access your survey online. Set aside 30 to 45 minutes, realistically, to complete the survey. You may start and stop the survey as often as you need to. If you are not contacted by January 26, please contact your facilitator (list available on the web: www.grad.berkeley.edu/nrc) or gradnrc@berkeley.edu. Your initial email may have gone to the Junk folder in Eudora. Please check there.

2. **REFERENCE MATERIALS:** Have an electronic version of your CV available to upload at the end of the survey. In addition, locate offprints or online reproductions of all of your publications that have appeared within the past five years (2001-2006); for humanities faculty (including History), all that have appeared within the past ten years (1996-2006). You will need information from these documents to respond to questions about the name(s) and address(es) under which you have published. At the conclusion of the questionnaire, you will be asked to upload a copy of your CV. (Preferred formats are Word, RTF, and PDF.)

3. **NAVIGATION:** An index of items appears at the bottom of each questionnaire page. By using the index, you may respond to sections in any order that you choose, while preserving the responses that you have already entered.

CLARIFICATION OF SPECIFIC QUESTIONS

Question A2 (or A2i for emeriti): This asks for a listing of the doctoral programs in which you are involved. If you are involved in more than one PhD program included in the assessment, your scholarly productivity will be allocated to the programs in proportion to the number of PhD committees you have chaired and/or served on (as an inside member) in each. This allocation of effort will be applied to the various productivity measures collected in this questionnaire, and by the NRC (e.g., publications, citations, honors and awards, and grants).

You will note that this field is pre-populated for you. This information comes from the Graduate Division's internal student administration system and is considered official data. One thing to keep in mind is that the NRC is not looking at all doctoral programs¹. A list of programs participating from Berkeley is available. If you have chaired or served on dissertation committees in a program that is not part of the study, those programs and counts will not (and should not) show up on the

¹A list of programs participating in the Assessment from Berkeley is available at: http://www.grad.berkeley.edu/nrc/docs/nrc_taxonomy.pdf

questionnaire. These data have been vetted by your department(s). If you feel that your numbers are egregiously wrong, please contact Andrew Smith or Judi Sui at gradnrc@berkeley.edu.

Question A3 asks whether you are currently serving on doctoral admissions or curriculum committees in one or more of the programs you indicated, if you have no doctoral student committee service. This question intends for “doctoral” to apply both to admissions and curriculum committees. Many programs don’t have separate doctoral curriculum committees. A good translation of this question would be: Are you currently serving on a committee that makes decisions about doctoral student admissions or the doctoral curriculum? If you are a Core faculty member with no dissertation committee service, answer ‘YES’ because you have been identified by your program as being active in this way.

Questions A4 and A5: ask for your primary and other areas of specialization. These items have been pre-populated for you based on information received from your NRC facilitator. You may alter the information to more accurately represent your academic interests. The purpose of this question is to gauge the breadth of interests within doctoral programs and also to identify niche programs.

A4 gives you a line to type in your primary specialization so that you can name it as precisely as you like, and then offers a pull down list so that you can select the field from the official NRC taxonomy that most closely fits your specialization. For example, you might list your primary specialization as *French history from 1000 to 1200 AD* and then select *Medieval History (the pre-populated value will be History, please update to the more specific Medieval History)* from the pull down menu. A5 then provides you with the opportunity to provide information in a similar way for six additional areas of specialization.

Be sure to enter your *primary* specialization in A4, and any additional specializations in A5. Because “other” is not an option in the drop-down list, please try to find something in the drop-down list that comes close.

Question B2 asks for the name and location of your previous employer. If your status immediately prior to your employment as a faculty member at Berkeley was as a student, you should leave this blank. *Note: All of Section B on prior status can be considered optional. Question C5-C7 can also be considered optional.*

Section D is important.

Before you begin this section, you will need your CV and offprints and/or online full-text reproductions of your publications for the past five years; ten if you are in the arts or humanities. Note: the NRC considers the field of History to be in the humanities.

The NRC is collecting information about your scholarly activity in three ways. First, they are using the Institute for Scientific Information Web of Knowledge (ISI) databases. Second, you can manually enter your scholarly activities into the questionnaire. Third, you can upload your CV. There are problems with all three of these methods of data collection.

- ISI databases provide data for journal publications, but not for other types of scholarly activities, such as books or performances. Nor do they provide information for all journals

- niche and new journals are less likely to be covered by ISI. Additionally, the lack of a unique author ID in the database means that queries tend to undercount an individual's publications even of the journals included in the dataset.

- Manual entry of information into the questionnaire can take a huge amount of time.
- Uploading the CV is faster and easier, but we have no information about how the NRC plans to convert tens of thousands of faculty CVs in different formats to a database, which is cause for some concern.

Ensuring that all of your activity gets counted:

- Provide thorough responses to questions D1 and D2, so that searches of the ISI databases turn up as many of your publications as possible. Tips for responding to these two questions are listed below.
- Update and then upload your CV via Question I.
- Enter your non-journal article scholarly activity into the questionnaire form (Question D5). The NRC may not capture all information from CVs, so entering your information on the form is the only way to really be certain your activity is fully counted.

Question D1 -- Names: When providing your name, be sure to include any names under which you may have published. Include a middle name or middle initial if you have used it on your publications. For example, if your name is Mary Jane Doe-Smith, you may be cited as M Doe, MJ Doe, MJ Smith, MJ Doe-Smith, etc. This information will help the NRC identify your journal articles and publications in the Institute of Scientific Information (ISI) database.

(<http://portal.isiknowledge.com/portal.cgi?DestApp=WOS&Func=Frame>)

Question D2 -- Zip Codes: The NRC will attempt to mitigate the conflation of common names by additionally using zip codes that appear on publications to link publications with faculty. In answering question D2, provide the zip code(s) associated with *your professional address(es) when you published* articles, chapters, books, or other forms of scholarship (*not* the zip code of the publisher). These locations might include previous institutions, professional organizations, or even a current or previous home address. For foreign addresses, use the zip area for the foreign postal code.

Questions D3-D5 -- Lists: Note for Faculty in the Humanities: The NRC requests publication information from the last 10 years (whereas for all other fields, 5 years will be used). The NRC is only capturing 30 journal articles in D4. Upload your CV.

These items request lists of books, papers, and other scholarly products that cannot be found via the ISI database. As it is difficult to know which of your publications appear in ISI and which do not, please enter all of your scholarly work. At the end of the questionnaire, you can upload your CV from which the NRC will attempt to extract your books, papers, and scholarly products. However, we do not know how the NRC plans to convert tens of thousands of faculty CVs submitted in different formats to a single database, which is cause for concern. So, to be certain all of your scholarly activity is included, please cut and paste from your CV into the questionnaire – particularly books, chapters, non-journal products, and articles published in languages other than English (i.e., things not well catalogued by ISI).

Question E1 and E2 – Grants and Contracts: These items exclude postdocs who have their own funding, and students supported by training grants. In both of those cases, grants are intended

to support student work rather than the work of the faculty member. Also, the sum of the two lines in E2a does not have to equal to what you reported in E2. You may, for example, have partial funding for work in a center where you are neither the PI nor Co-PI.

Question F – Doctoral Students: Please list students who got their doctorate in the last five years (2001-02 through 2005-06) for whom you served as the primary dissertation advisor (chair). The NRC is asking for this employment information to “identify career outcomes of doctoral students” and to help prospective students “select a degree program that meets their own career objectives.”

The Graduate Division has pre-populated this list with your students’ names and degree years, from our records. In some cases, the type of employment and place of employment are also pre-populated. Although the Graduate Division records are complete, you may add students who you think may be missing. In addition, you may wish to update these records with more current employment information.

Section G is very important.

Question G1-G4 – Characteristics of quality: In this section you are asked to select the characteristics that you believe are most important for program quality in your field(s). These data will be used to help determine the weights that are assigned to the various quantitative measures of program quality. How you respond to this question can have direct consequences on how your program will rank.

Some discussion with your NRC facilitator and other faculty in your program may be necessary to determine which measures can be expected to highlight the positives of your program, relative to others in the same field against which it will be ranked.

Section J is the most important portion of the survey.

Question J1 – PLEASE VOLUNTEER TO PARTICIPATE IN THE ADDITIONAL QUESTIONNAIRE. Although the 2006 NRC study will not have an explicit reputational component like past studies, *the NRC will invite a random sample of faculty to rate the overall quality of other doctoral programs in their field.* In Question J1 you will be asked to indicate your willingness to complete a follow-up ratings questionnaire. Berkeley strongly encourages you to volunteer participate in the additional questionnaire. *Note You will be considered for the ratings questionnaire only if you complete the Faculty Questionnaire by February 22.*

QUESTIONS?

Please direct any questions about completing the Faculty Questionnaire first to the NRC facilitator in your program/department, then to Judi Sui (643-7478, jsui@berkeley.edu) or Andrew Smith (642-6721, aksmith@berkeley.edu). We will do our best to respond in a timely manner.

Our thanks go to our colleagues at Stanford, Ohio State, and other universities for the initial draft of this text.

More information is available on the web at <http://www.grad.berkeley.edu/nrc>.