

HERI Faculty Survey

Administrative Guidelines, 2007-2008

Overview

The 2007-2008 HERI Faculty Survey is entirely web-based. There is no paper version of the survey to administer.

Requests to complete the web-based questionnaire will be made via emails to those faculty members you choose to survey. The email request can be sent by your institution or by HERI. Faculty members will access the questionnaire on the web using a unique logon code. They will be able to partially complete the questionnaire, save their place, and come back to complete the questionnaire if they like.

There are special questions that only pertain to part-time faculty (see question 2 on the survey instrument) and for faculty at community colleges (please refer to page 13 of the Microsoft Word version of the questionnaire).

Institutions will manage the survey administration through our web portal (www.cirpsurveys.com), for maximum flexibility and ease of use. This includes setting the day that the survey launches for their particular institution and subsequent e-mail reminders that will be sent to non-respondents, for those schools choosing to have HERI administer the web notification. These email notifications can be customized (although some language necessary to comply with human subjects concerns is not able to be edited), as can the “welcome” and “thank you” screens.

You may choose to include additional questions of your own design, and there are spaces for 20 additional questions. These can be multiple choice (5 mutually exclusive options only), or, for the first time, you can also create up to 5 open-ended questions.

Your data files will be posted on the web portal *as the data is processed*. As a fully web-based survey, responses for each day will be processed and **ready for download or analysis the next day**. This means that if you launch your survey on Monday and 75 faculty respond that day, on Tuesday (provided you have completed the Research Approval Form, see below for details) you will be able to either download a file with the responses of those 75 faculty and/or examine the responses through our data analysis system (for an additional charge). New responses will be added to the file each night until the survey period is completed.

HERI reports with normative data must, of course, wait until all the data is compiled and the national norms can be created. When your report is ready for download on the portal, you will be notified via email. Any special reports you order will be treated similarly.

Selecting Your Survey Sample

The HERI Faculty Survey is designed to be useful when completed by any faculty member, full or part time. Most institutions have found it best to survey every faculty member at their institution. This is especially important if you plan to compare the results of sub-groups of faculty, such as male and female full professors, or perhaps faculty from various departments. In these cases the best solution is to survey all faculty so that you have as many possible respondents in each potential analysis category. Selecting a smaller group to survey might slightly reduce your survey costs, but has the potential to reduce the utility of the data.

Administering the Survey

Survey participants will be asked to participate in the survey via an email that gives a short description of the survey project, has required information concerning human subjects, has information on how to opt out of the survey, and includes a personal access code with which to access the web-based questionnaire.

We have found that email spam filters have become much more aggressive over the last few years. To ensure that the email notifications reach your survey respondents, we strongly encourage you to contact your institutional information technology staff to inform them that these emails for the HERI Faculty Survey are legitimate emails and their delivery should not be stopped. Please see the HERI web site for a document containing the specifications you will need when communicating this to your IT personnel.

HERI administered emails (\$325 additional charge)

Via the web portal, schools will choose the date that the initial email will be sent to faculty as well as reminders to non-respondents who have not opted out of future mailings. Generic text for this email will be supplied, but can be partially edited in the portal to best suit your institution. Parts that can not be edited are those required for human subjects approval at UCLA. You may also choose to edit who signs the email, although the “sender” will be HERI.Faculty.Survey@datarecognitioncorp.com.

One advantage of this email option is that your institution is removed from the chore of sending and monitoring these emails, but more importantly it also takes your institution “out of the loop.” By having HERI administer the survey your institution is further removed from any perceived intervention. So in addition to being easier, the HERI administration provides another layer of protection. You will be able to obtain response rate reports, updated daily, on the portal.

If you elect to have HERI manage the email distribution, you will need to provide us with the email address for each faculty member in your sample. Just as we did previously with the names and physical addresses, we will not use the email address for any purpose other than the HERI Faculty Survey.

Specifications for uploading the email list via the portal are:

Data must be in an Excel file:

1. All data must be on worksheet #1 of the Excel spreadsheet (the system will read the first sheet only). The sheet must be named Sheet1 (the system needs that name as a reference).
2. Column headers should be (Column A) EmailAddress, (Column B) FirstName, (Column C) MI, (Column D) LastName (no spaces in headers, please)
3. File name is [your institution]email_1 (_2, _3, etc., if you upload additional files)

Institutionally administered emails

Schools may elect to send the notification emails on their own, in which case HERI will supply a set of logon codes specific to each school. Response rate reports will be available on the portal in order to facilitate contacting non-respondents who have not opted out of the survey.

Pre-notification

In order to maximize your response rate, we suggest that you send your faculty a hard copy letter, a week before the first email is to be sent out, introducing the survey and asking them to watch their email for the request. Survey methodology research indicates that pre-notifications can substantially increase the number of responses to the survey.

Customizing the Instrument

ADDITIONAL QUESTIONS

You have two opportunities to incorporate additional questions into the survey instrument. These are institution specific questions that you will create.

ADDITIONAL MULTIPLE-CHOICE QUESTIONS

You can add up to 20 multiple-choice questions and responses to the survey instrument. Each question permits a maximum of five alternatives (A through E). *Respondents will only be able to choose one option using radio buttons.* Fewer than five response alternatives may be used for any of the questions, in which case only those items will appear as options. We urge you to “pilot test” your local option questions with current faculty at your institution. Many campuses find that respondents can interpret questions differently than the institution intended.

There are two ways that you can take advantage of the additional multiple-choice questions:

1) Integrated Additional Questions (\$300 additional charge): The web-integrated additional questions allow your institution to provide text for campus-specific questions and responses that will appear at the end of the online version of the HERI Faculty Survey. The 20 additional questions can have up to a five responses each but will be limited to a single response per question (i.e., no multiple response questions are possible). To use this option choose “Integrated Additional Questions” on the “Place Order” screen in the web portal. You can then type in your additional questions and responses (using the “Customize Survey section of the portal), preview them as they will appear to your faculty, and approve the additional questions before they are utilized. To your faculty, these questions will appear at the end of the questionnaire as a continuation of the survey instrument.

2) School Managed Questions (free): This option is for schools that want additional questions as part of their survey administration, but do not want HERI to integrate the questions into the web survey. Although HERI strongly encourages the use of the integrated additional questions (in which your local additional questions appear as if they are a part of the web-based questionnaire) we also offer the possibility that your institution supplies respondents with the text for the additional questions and responses via another method, such as an enclosure or another web-page link. In this case the additional questions appear on the web simply identified by question number (e.g., "46") and five mutually exclusive response options (A-E). If you choose this option you will be responsible for communicating the text of the additional questions to your faculty. If you are using the option in which we send the emails to your respondents, you cannot have us send the additional questions as an enclosure. You will need to send this separately. While HERI provides this option for schools that might want to reduce costs, we do not recommend this option as a way to effectively communicate additional questions.

ADDITIONAL OPEN-ENDED QUESTIONS (\$300 ADDITIONAL CHARGE)

For the first time HERI is offering the opportunity to incorporate additional questions that are open-ended to the HERI Faculty Survey. These questions will come on a separate web page, after any additional multiple choice questions you may offer. They cannot be mixed in with the multiple choice questions. You will receive the responses to these questions in a separate file from the quantitative results, but there will be a common identifier in both files if you would like to link the comments with any of the quantitative results.

ASKING ADDITIONAL QUESTIONS OF A SENSITIVE NATURE

When designing additional questions, there are special circumstances to consider if you ask faculty to provide what would be considered “sensitive information” by the federal government. If this is the case, there are additional steps you will need to take. HERI strongly urges you to consider very carefully if asking for “sensitive information” is appropriate in the context of a general faculty survey. Please see the section on “Sensitive Additional Questions” at the end of these guidelines for some important information.

WELCOME PAGE

Custom Text/Logo for Welcome Page (free): After respondents log into the online Faculty Survey, they are directed to a Welcome page. You have the opportunity to customize this page with a welcome message and/or the logo from your institution. No other graphic capability will be available aside from your institution's logo. If you do not customize the welcome test or graphic, a generic version will be used. You can preview this on the portal.

THANK YOU PAGE

Custom Text/Logo for Thank you page (free): Your institution will be able to supply custom text for the exit or Thank You page of the survey that appears once respondents submit the final page of the questionnaire. If you do not customize the welcome test or graphic, a generic version will be used. You can preview this on the portal.

Administration Period

The HERI Faculty Survey will be open for responses from November, 1 2007 until March 31, 2008.

Your data will be available for download or for use in our data analysis system the day after the survey responses are submitted by your respondents.

Privacy Issues

When previous versions of the HERI Faculty Survey were paper based and sent out via paper mail, it was necessary to include names and addresses of faculty members as a way to follow up with non-respondents. Now that the survey is delivered via a web-based form, there is no need for the physical address. The email and logon code for the survey allow us to track non-respondents. Neither of these pieces of information are included in any deliverable files to institutions.

In order to protect confidentiality, your dataset will not contain the results from questions #9 and #10, which ask for information concerning the institution from which the faculty member obtained his or her bachelor's degree and highest degree.

The final HERI question on the survey does ask faculty for permission to utilize their email address for potential follow-up surveys. Only if the faculty member explicitly and voluntarily answers "yes" to this question will HERI retain the email address, and it will only be utilized for the purpose of facilitating follow-up surveys. Faculty who do not elect to participate in this voluntary research will not be contacted under any circumstance.

Any report you receive from HERI will include aggregate information only. HERI will suppress any report that includes fewer than five respondents to preclude the possibility that an individual could be identified. Finally, in the event that you purchase a data file, that file will not contain any personal identifier. HERI will not release individual

identifiers to your institution, to other researchers, or to other agencies and has applied for a National Institutes of Health (NIH) Certificate of Confidentiality to protect identifiable research from forced disclosure.

Research Approval

Although there are common federal guidelines for the use of human subjects in research, procedures may vary from campus to campus. Therefore, it is critical for you to familiarize yourself with your institution's human subjects guidelines. HERI receives its human subjects approval from the UCLA North General Institutional Review Board (NGIRB), which requires that an appropriate college official certify that:

- 1) your institution will abide by and comply with the CIRP administration procedures as approved by UCLA's IRB.
- 2) your campus has determined if local IRB approval is required, and
- 3) if local IRB approval of this research is required on your campus, you will administer the survey only after you have received local IRB approval.

You further certify that "these data will be used only for statistical analyses and reporting of aggregated information, and not for the investigation of specific individuals" and that "use of these data will conform to widely accepted standards of practice and legal restrictions that are intended to protect the confidentiality of research subjects. We also give assurance that no survey respondent will be sanctioned based on any answer provided in the HERI Faculty Survey."

Previously this information was captured via a hard copy form that institutions mailed or faxed back to HERI. We have now incorporated the "Research Approval Form" into the portal. **Before you can access any data or reports via the portal, you will need to certify your agreement with the above three policies.** HERI recommends that you start immediately to obtain this certification so that when your data and reports are ready you can have immediate access. Even if your survey has finished, you will not be able to access any data files or reports without this web-based certification.

Many campuses have found that the application that HERI submits to the UCLA IRB is very useful in discussions with their own local IRBs. For your convenience, our approved application is available on the portal in the "Administrative Guidelines" section

Campus IRB's vary widely in their response time to a request for approvals, ranging from a few days to several weeks. We suggest that you begin this process as soon as possible.

Data Services

As a new feature of all HERI surveys, including the HERI Faculty Survey, we now provide copies of the data files with your unit-record survey data without any additional charge. Using these datasets can greatly enhance the quality of the information you can

obtain from your results. Your reports will also be delivered as excel files rather than on paper (formerly, obtaining a “report on spreadsheet” was an additional charge).

Once you have completed the Research Approval Certification (see above) you will be given access to the “Reporting, Data Analysis, and Downloads” section of the portal. Here you can choose to download your data files and then import them into SPSS or other software. HERI can convert your data files into other formats (Stata, SAS, Fox Pro, Statistica, dBase, Gauss, MatLab, or Quattro Pro) for a \$25 fee.

Real-time Data Analysis (\$475 additional charge) allows you to perform real-time data analyses on your Faculty Survey data online through our web portal. This new feature provides the ability to conduct descriptive analyses on your institution's survey data file, such as frequency distributions, crosstabulations, means, and correlations and export your results in excel format, or as a PDF, or TIFF file. You can also provide access to this feature to others on your campus with a separate login id (this “researcher” login will not allow access to administrative functions on the portal, only the data and reporting area).

PowerPoint of Institutional Results (\$25 additional charge)

Receive an executive summary in PowerPoint that contains a summary of the main findings from your data customized for your institution.

Peer Group Report (cost: \$65.00 plus \$5.00 per institution included)

The two comparison groups included in your Institutional Profile are determined by the Stratification Cell assigned to your institution by HERI (*for more information about Stratification Codes, see Appendix A in our report on the Faculty Survey results*). However, you may wish to compare your survey results to a different group of institutions. Per your request, HERI can generate a special profile comparing your institution’s results to the aggregated responses from any five or more participating institutions of your choice. The Peer Group Report is delivered in a spreadsheet format and is virtually identical in appearance to an Institutional Profile Report.

Special Reports (cost: varies)

HERI can produce Institutional Profiles broken out on virtually any variable or combination of variables in the survey. For instance, you can order a report comparing faculty members based on tenure status. All special reports are delivered as Excel spreadsheets. The cost of a Special Report is dependent on the amount of special programming necessary to produce it, but will not be less than \$125.

Special Comparison Report (\$25 additional cost)

The comparative results chosen for inclusion in your standard report are based on the type of institution. Thus, a public 4-year college will be compared with other public 4-year colleges, while a Catholic college will be compared with other Catholic colleges. With the Special Comparison Report, you can compare your results with any two of the eleven comparison groups for which we generate national results.

Questions and Further Information

If you have questions, please contact the HERI office at heri@ucla.edu or by phone at 310.825.1925. In addition, you can post questions or comments for your fellow survey administrators on the HERI Forum, a new feature of the HERI website. Please visit <http://www.gseis.ucla.edu/heri/> and click on the “HERI Forum” tab.

Additional Information Concerning Sensitive Additional Questions

“Sensitive information,” according to the National Institutes of Health, includes (but is not limited to):

*information related to sexual attitudes/preferences/practices; information relating to the use of alcohol, drugs or other addictive products; information pertaining to illegal conduct; information that, if released, might be damaging to an individual’s financial standing, employability, or reputation within the community or might lead to social stigmatization or discrimination; information pertaining to an individual’s psychological well-being or mental health;*¹

It is up to local officials at your institution, not HERI, to determine if your questions ask for “sensitive information.” If you have decided to ask such questions, you must 1) submit your additional sensitive questions to the UCLA IRB for review and approval before administering the HERI Faculty Survey, 2) obtain a NIH Certificate of Confidentiality², and 3) modify the consent documents for faculty to reflect that there are sensitive additional questions being asked and explain what “sensitive information” being asked in the additional questions is required to be reported (as explained in the next section), and to describe the protections afforded by the Certificate of Confidentiality that your institution will obtain.³ The UCLA IRB must also review your modified consent document(s).

Obligation to Provide Referrals

If your additional questions ask respondents to provide “sensitive information” such as drug use, binge drinking, eating disorders, sexual behavior and/or gambling, you must also provide information about referrals to mental health care programs and counselors. For example, if you were to ask about binge drinking, you should also include information about who to contact on or near your campus to address a substance abuse problem, providing an address and phone number. You will need to include this information in either your initial email to faculty or on the online welcome page of the survey instrument. These types of information would be covered by a Certificate of Confidentiality that your campus would apply for separately. They are not issues that would be reportable to a third party as detailed below. Modifications to the consent

¹ <http://grants1.nih.gov/grants/policy/coc/faqs.htm>

² <http://grants.nih.gov/grants/policy/coc/>

³ The NIH Certificates of Confidentiality Kiosk identifies the nature of the information that must be provided to subjects to describe the protections afforded by the Certificate of Confidentiality, and also provides an example of appropriate language.

[http://grants.nih.gov/grants/policy/coc/appl_extramural.htm]

document(s) to describe the provision of referrals to mental health care programs and counselors must also be reviewed and approved by the UCLA IRB.

Obligation to Report and Break Participant Confidentiality to a Third Party

In some states, the law requires researchers to disclose information they have concerning suicidal ideation, child abuse and elder abuse to appropriate third parties. Thus, questions surrounding these areas are not just sensitive but require institutions to break subject confidentiality in order to protect the participant, or others, from harm. If you ask such additional questions, you must modify or provide an addendum to the consent document that you provide to respondents (SIS) to inform them of the researcher's intent to disclose respondent's intent to harm his or herself (suicide ideation) or others (elder or child abuse). These modifications to the consent document(s) must also be reviewed and approved by the UCLA IRB.

Again, HERI strongly encourages that you consider the appropriateness of such additional questions in a general faculty survey and recommends against asking these issues with this survey instrument. HERI also suggests that you confer with your campus health officials before including and sensitive questions and for any necessary referral information.

If you have questions about potentially "sensitive" items that you may be intending to ask as part of your set of additional questions, or would like more information about the process for obtaining approval to include these items, please contact Mr. John Pryor, HERI Managing Director, at (310) 825-1925 or heri@ucla.edu.

Generic Copies of Email Communications

Initial invitation

Subject Line (can be edited)	HERI Faculty Survey Invitation
Greeting (cannot be edited)	Dear <faculty name>
Introduction (can be edited)	<p>Your Institution and The Higher Education Research Institute (HERI) at UCLA are currently conducting a survey of college faculty. We would appreciate if you would take time to provide your feedback on your experiences as a faculty member.</p> <p>This survey collects information about the experiences of faculty across the nation, and is reported on in a publication by HERI and in the media such as the Chronicle of Higher Education. The data we obtain tells us important information about faculty satisfaction, goals, and activities.</p>
Mandatory Language (cannot be edited)	<p>The website for the survey is: https://www.dracsurveys.com/HERIFacultySurvey/EnterTicket.aspx?Ticket=XXXXXXXX</p> <p>Simply click on this address to go directly to the survey. If this does not work, "copy and paste" this address into the address bar of your Internet Browser.</p> <p>Your participation in this research is strictly voluntary. Furthermore, your response (or decision not to respond; you may opt out of the project if you like on our website) will not affect your relationship with your school. Please note that your responses will be used for research purposes only and will be strictly confidential. No one at your school, or at UCLA, will ever associate your individual responses with your name.</p> <p>Your completion and submission of the questionnaire indicate your consent to participate in the project (please read the "Survey Information Sheet" linked on the survey website for more information about your rights as a research subject). If you have questions about your rights as a research subject, you may contact the Office for Protection of Research Subjects, 11000 Kinross Avenue, Suite 102, Box 951694, Los Angeles, CA 90095-1694, (310) 825-8714.</p>
Message Close (can be edited)	<p>Thank you for participating in this important research project.</p> <p>Sincerely,</p> <p>Sylvia Hurtado Professor and Director Higher Education Research Institute University of California, Los Angeles</p>

Reminder email 1

Subject Line (can be edited)	HERI Faculty Survey Reminder
Greeting (cannot be edited)	Dear <faculty name>
Introduction (can be edited)	Recently we sent you a request to participate in an important survey of faculty conducted by The Higher Education Research Institute (HERI) at UCLA. Please consider adding your feedback on your experiences as a faculty member.
Mandatory Language (cannot be edited)	<p>The website for the survey is: https://www.dracsurveys.com/HERIFacultySurvey/EnterTicket.aspx?Ticket=XXXXXXXX</p> <p>Clicking on this address will take you directly to the survey. If this does not work, "copy and paste" this address into the address bar of your Internet Browser.</p> <p>Your participation in this research is strictly voluntary. Furthermore, your response (or decision not to respond; you may opt out of the project if you like on our website) will not affect your relationship with your school. Please note that your responses will be used for research purposes only and will be strictly confidential. No one at your school, or at UCLA, will ever associate your individual responses with your name.</p> <p>Your completion and submission of the questionnaire indicate your consent to participate in the project (please read the "Survey Information Sheet" linked on the survey website for more information about your rights as a research subject). If you have questions about your rights as a research subject, you may contact the Office for Protection of Research Subjects, 11000 Kinross Avenue, Suite 102, Box 951694, Los Angeles, CA 90095-1694, (310) 825-8714.</p>
Message Close (can be edited)	<p>Thank you for participating in this important research project.</p> <p>Sincerely,</p> <p>Sylvia Hurtado Professor and Director Higher Education Research Institute University of California, Los Angeles</p>

Reminder email 2

Subject Line (can be edited)	HERI Faculty Survey Reminder
Greeting (cannot be edited)	Dear <faculty name>
Introduction (can be edited)	This is a reminder that we are conducting an important survey of faculty.
Mandatory Language (cannot be edited)	<p>The website for the survey is: https://www.drctsurveys.com/HERIFacultySurvey/EnterTicket.aspx?Ticket=XXXXXXXX</p> <p>Clicking on this address will take you directly to the survey. If this does not work, "copy and paste" this address into the address bar of your Internet Browser.</p> <p>Your participation in this research is strictly voluntary. Furthermore, your response (or decision not to respond; you may opt out of the project if you like on our website) will not affect your relationship with your school. Please note that your responses will be used for research purposes only and will be strictly confidential. No one at your school, or at UCLA, will ever associate your individual responses with your name.</p> <p>Your completion and submission of the questionnaire indicate your consent to participate in the project (please read the "Survey Information Sheet" linked on the survey website for more information about your rights as a research subject). If you have questions about your rights as a research subject, you may contact the Office for Protection of Research Subjects, 11000 Kinross Avenue, Suite 102, Box 951694, Los Angeles, CA 90095-1694, (310) 825-8714.</p>
Message Close (can be edited)	<p>Thank you for participating in this important research project.</p> <p>Sincerely,</p> <p>Sylvia Hurtado Professor and Director Higher Education Research Institute University of California, Los Angeles</p>

Reminder email 4

Subject Line (can be edited)	HERI Faculty Survey Reminder
Greeting (cannot be edited)	Dear <faculty name>
Introduction (can be edited)	This is a final reminder that we are conducting an important survey of faculty.
Mandatory Language (cannot be edited)	<p>The website for the survey is: https://www.drksurveys.com/HERIFacultySurvey/EnterTicket.aspx?Ticket=XXXXXXXX</p> <p>Clicking on this address will take you directly to the survey. If this does not work, "copy and paste" this address into the address bar of your Internet Browser.</p> <p>Your participation in this research is strictly voluntary. Furthermore, your response (or decision not to respond; you may opt out of the project if you like on our website) will not affect your relationship with your school. Please note that your responses will be used for research purposes only and will be strictly confidential. No one at your school, or at UCLA, will ever associate your individual responses with your name.</p> <p>Your completion and submission of the questionnaire indicate your consent to participate in the project (please read the "Survey Information Sheet" linked on the survey website for more information about your rights as a research subject). If you have questions about your rights as a research subject, you may contact the Office for Protection of Research Subjects, 11000 Kinross Avenue, Suite 102, Box 951694, Los Angeles, CA 90095-1694, (310) 825-8714.</p>
Message Close (can be edited)	<p>Thank you for participating in this important research project.</p> <p>Sincerely,</p> <p>Sylvia Hurtado Professor and Director Higher Education Research Institute University of California, Los Angeles</p>

Suggested Text of Pre-contact Letter

Dear [Faculty Member Name]

In a few days you will receive an email invitation to participate in a web-based faculty survey. [name of institution] is participating in this survey, which is conducted by the Higher Education Research Institute (HERI) at UCLA.

The survey provides us with very comprehensive profile of our faculty, and asks questions about your view of institutional priorities, your level of satisfaction, what goals you have for your students, and other useful information.

I am writing in advance to ask you to look for this invitation in your email in the days to come. The study is not only important to [name of institution], but our results will be combined with those from hundreds of institutions in the United States as part of a national research project that examines faculty.

Your confidentiality is assured, and nobody at [name of institution] will see results identified at the individual level.

Thank you for your time and consideration. I appreciate your assistance with this important project.

Sincerely,

[Signature of institutional official such as President or Provost)