



The Collaborative on Academic Careers in Higher Education
at the Harvard Graduate School of Education

Survey Administration Toolkit

SURVEY ADMINISTRATION TOOLKIT

This workbook details the necessary as well as optional steps to get the most value out of your institution’s participation in COACHE. Some parts of this toolkit you will use on your own; other parts, you will share with partners on your campus. Every resource here is designed to support your progress toward a better understanding of your faculty’s needs and to drive successful improvements in your academic workplace.

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TIMELINE

Starting now

- Finalize your COACHE team. Who can communicate to faculty about COACHE participation, drive up response rates, and facilitate discussions about results when your report arrives?
- Familiarize yourself and your team with COACHE through this toolkit and our website (www.coache.org), where you can read our newsletters, attend topical webcasts and join the COACHE listserv to learn how others are using COACHE.
- Work with other faculty and administrators to build your COACHE communication strategy, including plans for introducing COACHE to your campus, for updating faculty, chairs, and deans about the survey administration process, and for disseminating and discussing your results (*see page 12*).
- Consider whether your institution should add full-time, non-tenure-track (NTT) faculty to your eligible survey population. This module to the COACHE instrument allows your campus to include the unique experiences of this segment of your faculty; however, in reporting, NTT data are not aggregated into overall COACHE Survey results.
- Consider whether your institution should enroll in the clinical faculty pilot study. As with NTT faculty, clinical faculty will not be included in the aggregate results.
- Speak with a representative of your Institutional Review Board (IRB). If you are required to complete an IRB application, submit it as soon as possible (*see page 7*). Notify COACHE when your IRB decision is made.
- Decide whether to add custom questions (*see page 8*) or pass through variables (*see page 10*).
- COACHE enters survey completers into an iPad raffle. Please do not offer any additional completion incentive without the express, written permission of COACHE and IRB.

By November 18

- Confirm your data disclosure preference (*see page 6*).
- Build your department-to-academic area crosswalk (*see page 14*).

By November 23

- Submit a draft communication strategy to COACHE.
- Confirm that the Participation Agreement has been signed and initial payment has been scheduled
- Contact your IT Office(s) to whitelist COACHE's email addresses (*see page 16*).
- *If you are receiving unit-record data:* Submit signed Data Confidentiality Statement (if not received prior to survey launch, your campus **cannot** receive unit-record data) (*see Appendix A*).
- *Optional task:* Finalize and deliver custom questions for COACHE review.

By December 14

- Deliver your master population file (*see page 15 but always check with COACHE for latest version*).
- Following receipt of your population file, COACHE will return a "Profile Page" summarizing the demographic characteristics of your faculty. Review your Profile Page for discrepancies and confirm that the population totals look as they should.
- Submit draft CAO letters to COACHE if they differ from our Sample Email Communications.

By January 11

- Send COACHE a list of names and email addresses to be included in a spam/email test.

By January 20

- Wait for COACHE’s “green light” to release your CAO endorsement letter (*see Sample Email Communications*) to faculty.

Anticipated Survey Launch Dates and Reminders*

- Launch: Week of January 25
- Reminders: Weeks of February 22, March 7, March 21, April 4
- Survey Close: April 10

* Survey launches and reminders occur on a rolling basis. Small batches of emails are sent in intervals to each campus. This means that the survey launch and reminder processes can upwards of two to three days. Because of this, COACHE cannot provide an exact time when your faculty will receive their emails.

After launch

- Send out the CAO follow-up email (*see Sample Email Communications*) to email addresses in your master population file and notify COACHE of any returned or “bounced” emails with corrected addresses, if applicable.
- Continue to clear with COACHE and your IRB all formal communication to faculty regarding participation in the survey.
- Refer to the online response rate tracking system to update deans and faculty, and to locate potential spam problems. (*A username and password will be sent to you shortly after survey launch.*)
- Use all available forums to communicate your commitment to disseminate and act upon COACHE results (*see Sample Email Communications*).
- Consider the other sources of information you have about your faculty. Has your campus participated in other activities to learn about your faculty? If so, what do you already know and how can those results be used to triangulate your COACHE findings?
- If possible, attend one of our events at higher education annual meetings (e.g., APLU, AAC&U). To learn about upcoming COACHE events, check www.coache.org.

CHECKLIST

TASK LIST A: Preliminary decisions

- Build team of faculty and administrators to execute communication plan.
- Confirm your data disclosure preference and sign a participation agreement.
- Contact your campus IRB committee and, if necessary, complete any steps to obtain approval.
- Optional task: Develop custom questions and consider using pass through variables.*

TASK LIST B: Communication plan

- Prepare communication plan for COACHE participation, survey administration, and follow-up strategy.
- Write your CAO endorsement letter, post-launch email, and post-survey follow-up message (*see Sample Email Communications*).

TASK LIST C: Launch preparations

- Build your department-to-academic area crosswalk.
- Build your master population file.
- Whitelist COACHE's email addresses.
- Respond to spam/server testing.
- Distribute your endorsement letter (*wait for green light from COACHE*).

TASK LIST D: Post-launch activities

- Distribute your follow-up email to addresses in your master population file, and notify COACHE of any bounces.
- Track your response rate.
- Broadcast your plan for disseminating COACHE results.
- Optional task: Attend COACHE webcast and conference events.*

TASK LIST A > PRELIMINARY DECISIONS > DATA DISCLOSURE PREFERENCE

The COACHE Participation Agreement indicates that an institution will receive a de-identified unit record data file (SPSS format), in addition to the Provost’s Report and data tables. To obtain these data, the campus must designate a “Data Administrator” who signs a statement of data confidentiality (*Appendix A*) swearing responsibility for protecting the identities of respondents. The Data Administrator cannot be in a position to influence personnel decisions and must not further disseminate the responses of any subgroup (e.g. rank, race, department, gender, or any combination of these subgroups) where the total number of respondents is fewer than five. Typically, the Data Administrator is someone working in the Institutional Research office at institutions where such staff have developed a reputation as “honest brokers” of sensitive personnel data.

While the analytical possibilities that come with having unit-level data may be appealing, it does have its trade-offs. Institutions must disclose this decision in all communication with faculty and on the survey’s informed consent pages (see *Sample Email Communications* and *Appendix D*), which clearly state that someone on the campus will receive data that could indirectly identify individual respondents. So, if faculty are concerned about the confidentiality of their responses, response rates might suffer and faculty responses might be biased to what is “socially desirable.”

Institutions are not bound to this level of data disclosure and may opt, instead, to forgo receipt of unit-level data. If you are unsure about whether or not your institution should receive unit-level data, here are some questions to consider:

- In what ways, beyond what is already provided in COACHE’s institutional report, must you analyze the data?
- Is it more cost effective to contract for additional custom analyses with COACHE after delivery of your report?
- With the knowledge that you cannot report subgroups of fewer than five, do you have enough faculty to disaggregate the data further than COACHE will?
- Do you have the staff resources (both in number and skill set) to spend time running additional analyses?
- Who would serve as your Data Administrator?
- Does your Data Administrator’s office carry a reputation as an honest broker of personnel data? In other words, do faculty trust that the Data Administrator is independent, and will protect their confidentiality?
- Is the climate on your campus one where faculty feel safe responding to this survey honestly?

If your team ***does not*** want to receive unit-level data, you must notify COACHE ***no later than November 18th***.

TASK LIST A > PRELIMINARY DECISIONS > INSTITUTIONAL REVIEW BOARD APPROVAL (IRB)

COACHE has completed its own IRB review through Harvard University's Committee on the Use of Human Subjects. For the majority of COACHE member institutions, a copy of the Harvard approval letter (see *Appendix B*) is adequate documentation of this project's bona fides. However, some institutions demand more to approve this survey research on their campuses.

First, speak with someone in your local IRB office. If a copy of the approval letter is insufficient, consider the following steps:

- On some campuses, the Institutional Research office enjoys blanket approval for these types of studies. If this is the case for your campus IR office, and if they are willing to sign on as partners in this survey, you may be able to use their blanket approval for your COACHE study.
- If this does not work, you can apply for Exempt Status. To qualify for an exemption from full review, you must complete the necessary application with your campus IRB office. Your application for Exempt Status must be reviewed by a committee member.
- If your study does not qualify for exemption, you can apply for an Expedited Review. Typically, Expedited Reviews require the attention of a single committee member, but the application process is more extensive and requires greater detail, including copies of all communications with faculty and copies of the disclosure pages. All of this information is included in this toolkit (see *Appendix C* and *Appendix D*).
- If none of these steps results in approval, the final option is a full committee review. The application process is very similar to that of an expedited review, but your application will be considered by the full committee. *Even though the applications for expedited and full review are very similar, the processing time for a full review is substantially longer.*

With these steps in mind, you will benefit from developing an early and positive relationship with a member of your IRB office! In the vast majority of cases, a copy of our application to the Harvard University Committee on the Use of Human Subjects is sufficient; very few campuses have ever had to complete a full review. COACHE is happy to work with your campus IRB committee in any way to assist in the approval process. All of the documentation required for the full review is included in the appendices. They include:

- The Harvard University Committee on the Use of Human Subjects Study Approval (*Appendix B*)
- All email communication between COACHE and survey participants (*Appendix C*)
- Survey disclosures (*Appendix D*)

Any campus with a pending IRB application cannot begin survey administration with the full cohort. Delayed starts typically result in lower response rates and COACHE may assess additional fees for programming time.

TASK LIST A > PRELIMINARY DECISIONS > GUIDELINES FOR BUILDING CUSTOM QUESTIONS

COACHE offers members the option of adding custom questions to the end of its instrument at a cost of \$500 per block of five items, not to exceed a total of 15 questions (\$1,500). Each question may have only a single response set. As with data options, custom questions have benefits and drawbacks. Consider the following questions when deciding whether or not to append the survey with your custom questions.

- What general issues would you like to address with custom questions?
- Are any of those issues adequately addressed in the core survey or in another assessment project on your campus?
- Are survey questions the best way to examine these issues?
- Are these issues relevant only to eligible faculty? If not, how will you address other involved groups?
- Do you have access to someone with expertise in survey question development?

If you decide to add custom questions, then contact COACHE to receive a set of sample questions based on your topic(s) of interest. Please keep in mind that the deadline for adding custom questions is relatively early (November 14) because of the additional review and programming involved. Furthermore, peer analysis is unavailable for custom questions because they will be asked only of your institution's faculty.

Some tips for designing good custom questions

Building good survey questions will take some time and resources. If your institution decides to append the COACHE survey with custom questions, please consider the following guidelines:

Enlist COACHE support

As with all of your efforts to understand and improve the experiences of faculty, COACHE strives to be an active partner. We can provide the greatest support for you if you include us in the process from the beginning. We are happy to sit in on a conference call, send sample questions, and provide feedback on draft questions. *Ultimately, COACHE reserves the right to edit your questions to maintain the integrity of the instrument's design, so please do contact us in advance.*

Think strategically

We often describe how the survey administration process can serve as a starting point for improved relationships with your faculty. Similarly, inviting the right people into a small working group to assist you in creating custom questions can foster goodwill and improve response rates and dissemination of results. The ideal team includes a diversity of expertise, an understanding of institutional climate, and, perhaps, political influence. Invite faculty or members of your IR staff with expertise in survey research. Bring faculty to the table to discuss their experiences and concerns. Consider how other players may be affected by the survey and the results. Invite representatives from faculty governance and/or the faculty collective bargaining group as a sign of your commitment to working with these constituencies.

Think broadly

Before writing a word, think about topics in a broad sense. What themes do you wish to address? When we receive your drafts, we should be able to understand the goal of each question. One exercise that other institutions have found helpful is to ban question marks from the first planning meeting. Frame the initial conversation around the kinds of things that you hope to learn and let the questions flow after you have a clear understanding of the rationale behind the questions.

Think about data analysis

Creating good survey questions requires forethought into data analysis. The COACHE report of custom questions will only include frequency data, but more complex analysis is available upon request. If you cannot clearly describe how the data will be analyzed and reported, then consider taking a step back and revising your question. Also note that the types and quality of analysis available for open-ended ("essay response") questions is limited. Further, they

tend to be more time- and labor-intensive. We recommend open-ended questions as a means for enhancing and providing detail to existing quantitative data.

Focus on what is actionable, avoid what is merely interesting

COACHE is committed to providing data that is actionable. When faculty answer a survey question, there is an implied notion that the administration intends to act on their responses. If your team cannot generate a list of possible policy implications for the results of each additional question, then it probably is not worth asking. Additionally, if a topic is a “sacred cow” on your campus, consider the political implications of asking the question. Is the administration steadfast in their opposition to addressing this topic? If so, will the data from a single survey item create enough compelling evidence to change that? How will the response to a single “hot topic question” impact the perceptions of the final report? Will such results become the focal point and overshadow other findings?

Test your questions

Once your group has developed a set of custom questions, we recommend a small pilot test. Using a few colleagues from other institutions (*not* your faculty, whom you must not bias prior to survey launch) should help you to iron out any wrinkles in the language and tone of your questions. Note that simply sending the questions out and asking faculty to take the survey is not the same as piloting the questions. Consider sending additional guiding questions as a way of understanding how your faculty thought about the questions. For example, you may want to ask your pilot participants to define some of the key concepts in the questions (e.g., “In question 1, what do you think we mean by the term ‘mentoring’?”). If they cannot answer or if they give wildly different responses, you may need to clarify your question.

TASK LIST A > PRELIMINARY DECISIONS > GUIDELINES FOR BUILDING PASS-THROUGH VARIABLES

Pass-through variables are designed to help institutions link COACHE data to other data sources. The data are appended to the original population file. Then, when a respondent completes the survey, the data in the pass-through variable are appended to the data set. Institutions have used this approach to link COACHE data to a host of other data sources such as:

- Results from other institutional surveys
- Human Resources codes for ranks or appointment statuses unique to your institution
- Faculty activity or productivity data (e.g., course loads, number of publications, presentations, teaching load, etc.)
- Contract length (e.g., nine month, ten month, twelve month)

To decide if pass-through variables can be a useful tool for your team, consider the following questions:

- How will the pass-through variables change your approach to analyzing your results?
- Does the addition of pass-through variables change your local IRB status? Check with your local IRB Office before proceeding.

When considering whether to append additional variables to your data set, keep the following restrictions in mind:

- Programming of pass-through variables costs \$100 per variable with a maximum of five variables in all.
- To be eligible for pass-through variables, your institution must receive unit record data.
- COACHE does not offer analysis using pass-through variables in its standard reports. Custom reports are available on a fee basis.
- Just like all other variables, pass-through variables cannot be used to identify individual respondents. Institutions cannot use a unique identifier as a pass-through variable and institutions may not report results when there are fewer than five respondents within a subgroup.

TASK LIST B > COMMUNICATION PLAN > BUILDING AWARENESS OF COACHE

Consistent and effective communication from the administration to your faculty, chairs, and deans helps to secure a successful survey administration. Even becoming a COACHE member is a step—a meaningful, symbolic gesture—that the administration is concerned with the satisfaction and success of its faculty. You need to spread the word—but not without a plan.

As a supplement to these notes on communication strategies, COACHE provides models, milestones, and sample email communications for the communication and engagement aspects of your participation in the Collaborative. This information is provided to help you consider where your campus (or your leadership style) fits now on the range of transparency and shared governance, and perhaps where it should be in the future. Consider the models and milestones on the following pages, as well as these steps as you build a strategy for communicating about COACHE to your faculty:

- **Convene your COACHE Team** to develop your communication strategy. Begin by thinking broadly about your audience and the most effective venues for messaging. Then, you can assign team members to opportunities.
- **Review the campus calendar** for the most effective venues to discuss COACHE participation, such as:
 - Faculty senate meetings, school- and college-wide meetings, etc.
 - Faculty collective bargaining group meetings
 - Opening convocations and/or retreats (for deans, chairs, and/or faculty)
 - New faculty orientations

Remember that COACHE Survey Administration lasts nearly three months and your communication strategy should coincide with the full cycle. The campuses with the highest response rates are typically promoting survey participation before launch and continue to push through until close.
- **Consider print and electronic media outlets** for communicating your COACHE enrollment, for example:
 - Campus newspapers
 - Newsletters (HR, Provost's Office)
 - Social media channels
- **Prepare your endorsement letter.** This is your first, official communication to faculty about survey participation, and should not be sent until COACHE provides the “green light” for distribution. Typically, your president, chancellor, provost, dean, or faculty senate leader (or all of the above) sign and send this message as a demonstration of the commitment of senior administration to the well-being of the faculty. See *Sample Email Communications* for IRB-approved text. You may customize this letter, but a draft must be provided to COACHE to review for potential IRB concerns.
- **Prepare your follow-up email.** This is the message someone in an influential position (typically the CAO and/or the faculty senate leader) will send immediately after COACHE's initial invitation to faculty is delivered. See *Sample Email Communications* for IRB-approved text. You may also customize this message, but again, a draft must be cleared by COACHE.

Note regarding IRB compliance and communicating with your faculty.

All formal communication with faculty about survey participation must be approved by Harvard's Committee on the Use of Human Subjects. Contact outside of approved IRB protocol may violate the protections promised to human subjects. Any concerns about possible IRB violations should be brought to the attention of COACHE staff immediately.

Participation in the survey is completely voluntary, and no one will know who has or has not responded. Any coercion of faculty to participate in the COACHE survey is strictly prohibited by IRB protocol, is inconsistent with the mission of COACHE, and undermines the validity of your data. Please remember when communicating with faculty that even subtle comments may be interpreted more strongly than intended (especially when delivered from someone in a position of authority). Err on the side of caution when encouraging your faculty to participate; COACHE staff are available to assist you if any questions remain.

TASK LIST B > COMMUNICATION PLAN > MODELS

	Goal	What faculty hear	How is initial information shared?	How will the findings be prioritized?	How will decisions be made and communicated?
INFORM	To provide stakeholders with balanced and objective information to assist them in understanding the problem, alternatives, or solutions	We will keep you informed.	The results will be posted on the faculty intranet.	We will share information on how findings will be prioritized.	We will share information on the decision-making process.
CONSULT	To obtain feedback on analysis, alternatives, or decisions	We will keep you informed, and we will listen to and acknowledge your concerns, and provide feedback on how your input influenced the final decision...	... and we will host a town hall meeting for all faculty to hear your thoughts and insights.	We will seek feedback on priority-setting and will share information on how findings will be prioritized.	Your feedback will help guide how we address specific issues and will inform decision-making.
COLLABORATE	To work directly with stakeholders throughout the process to ensure that mutual concerns are understood and considered	We will work with you to ensure that your concerns and issues are directly reflected in the alternatives developed and provide feedback on how your input influenced decision-making...	... and we will have small group meetings to inform our approach to specific issues that have been identified.	Feedback from town hall and small group discussions will be directly reflected in priority-setting and decision-making.	
CO-CREATE	To partner with stakeholders in each aspect of the decision-making process, including development of alternatives and identification of the preferred solution	We will look to you for direct advice and innovation in formulating solutions and we will incorporate your advice and recommendations into decisions to the maximum extent possible...	... and each small group will focus on a major area to make recommendations on how to prioritize and approach specific issues that have been identified.	We will incorporate small group recommendations into priority-setting and decision-making to the maximum extent possible.	
DELEGATE	To place final decision-making in the hands of the others	We will place final decision-making in your hands...	... and those groups will decide how to prioritize and approach specific issues that have been identified.		

Adapted by COACHE and AAMC's Faculty Forward from LAP2: International Association for Public Participation 2007

TASK LIST B > COMMUNICATION PLAN > MILESTONES

	INVOLVED PARTY	MILESTONE	EXAMPLES	TOOLS
Months prior to receipt of results	Chief academic officer, COACHE key contact (e.g., vice provost, dean of faculty, associate dean)	CAO's and/or faculty leader's communication on membership and how findings will be shared and prioritized	Letters or emails from the CAO, newsletter blurbs, announcements at faculty senate or equivalent	COACHE survey administration toolkit, including sample email communications
Initial weeks following receipt of results	CAO, COACHE key contact, relevant officers in faculty development, diversity, IR, news/ PR, HR, board of trustees, accreditation team, et al.	Large-scale sharing of results	Posting full results, executive summary, or snapshot of results on intranet. Highlight institution's strengths and demonstrate commitment	COACHE Report, formatted to maximize flexibility in how much detail to disclose at this stage, and to vary level of detail by audience
		Large-scale discussions regarding results	Town hall meeting (or other forum) to discuss results	COACHE newsletters, other members' websites describing data deployment strategies and results
		Discussions with peer institutions about ideas for action	Contact with peer institutions in COACHE to share ideas, challenges, and strategies to address the challenges	COACHE listserv, workshops and structured interactions; consortium or system meetings
Months following receipt of results	Chief academic officer, COACHE key contact, other involved parties	Smaller-scale discussions of results by stakeholder or affinity group; sharing information with larger audiences on results identified as priorities	Results discussion with department chairs, committee on the status of women, search committee chairs, et al.	COACHE Report and other supplementary materials include example actions by members
Ongoing	Chief academic officer, COACHE key contact, other involved parties	Sharing information on action toward addressing priority items	Keep progress reports as recurring items in the faculty newsletter and faculty senate meetings	Search the Web for "COACHE" to see how members are keeping stakeholders apprised
		Organize and catalyze conversations around results	Create task forces, ad hoc committees, and blue ribbon panels around the issues brought to light	See, for example, book <i>Governance as Leadership</i> for possible questions to catalyze discussion around results
		Conversations with COACHE institutions	Regular communication with peer institutions in COACHE to share ideas, challenges, and strategies to address the challenges	COACHE listserv; annual Leaders Workshop; events at APLU and AAC&U; consortium and system convenings

Adapted by COACHE from AAMC's Faculty Forward Workbook, GFA Meeting, August 2009

TASK LIST C > LAUNCH PREPARATIONS > YOUR DEPARTMENT-TO-ACADEMIC AREA CROSSWALK

Your COACHE Report will include results by “Academic Area.” These academic areas were developed based on a review of structural designations (i.e., schools and colleges, which differ from campus to campus) and Classification of Institutional Programs (CIP) codes, which are too narrowly defined for IRB-approved reporting. The twelve academic areas are:

- Humanities
- Social Sciences
- Physical Sciences
- Biological Sciences
- Visual and Performing Arts
- Engineering, Computer Science, Mathematics, and Statistics
- Agriculture, Natural Resources, and Environmental Science
- Business
- Education
- Health and Human Ecology
- Medical Schools and Health Professions
- Other Professions, including (among others) Architecture, Journalism, Law, Library

For the purposes of creating your master population file, first generate a list of all academic departments on your campus and assign each department to one of the twelve groups listed above.

Example:

<i>Department</i>	<i>acarea</i>	<i>Academic Area</i>
Physics	13	Physical Sciences
Philosophy	11	Humanities
Psychology	12	Social Sciences
Mathematics	16	Engineering, computer science, mathematics, and statistics

Then, give this “crosswalk” to the person responsible for assembling your master population file, that is, the database of eligible faculty.

TASK LIST C > LAUNCH PREPARATIONS > BUILDING THE MASTER POPULATION FILE

The data you deliver to COACHE in advance of the survey allows us to reach your faculty.

Format and content

Prepare the database in an Excel format. Please include only the faculty who fit all of the following criteria:

- **full-time, pre-tenure or tenured** (or full-time, **non-tenure-track**, if participating in the NTT Module)
- **not hired in current year** (new hires are unable to answer many survey questions)
- **not in terminal year after being denied tenure**
- **not in a senior administrative position**, e.g., Dean, Assistant Dean, Associate Provost (but chairs may be included)
- **clinical faculty**, e.g., in Medicine, Dentistry, Nursing, Pharmacy (if enrolled in the clinical module)

The first row should include the headers listed under the “Header” column in the table below. Accepted values for rows following the header row should correspond to their column labels. For “Academic Area” and race/ethnicity data, please follow the instructions at the bottom of the page. (An Excel “shell” is available upon request.)

Header	Accepted values	Description
localid	Numerical	Campus record number (<i>not</i> Social Security Number) for COACHE’s longitudinal tracking of data
email	[user]@[domain]	E-mail address
lname	Text	Last name
fname	Text	First name (and middle name, if necessary)
institution	Text	Full institution name as it appears in official communication
nickname	Text	Common institution abbreviation (e.g., “Virginia Tech”)
school	Text	School, College, or Division (if applicable)
dept	Text	Department (if applicable)
cip_4	01.00 – 60.99 [four digit]	See: http://nces.ed.gov/ipeds/cipcode/browse.aspx?y=55
acarea	11 – 22	Academic Area code (see codes on following page)
gender	0 = Male; 1 = Female	Gender
race	0 – 6	Race/ethnicity (see codes on following page)
yearhire	YYYY	Year of hire
apptyear	YYYY	Year in which current faculty appointment began. NTT=98
rank	1 = Instructor/Lecturer; 2 = Assistant; 3 = Associate; 4 = Full; 5 = Emeritus; 9 = Other	Faculty rank
tenure	1 = Not tenured, Not on tenure track; 2 = Not tenured, On tenure track; 3 = Tenured	Tenure status
citizen	1 = US Citizen; 3 = Resident Alien; 4 = Non-resident Alien	Citizenship status
clinical	1 = Clinical Faculty, 0 = Non-clinical faculty	Medical school faculty who provide clinical services.
clinical_loc	Text	Clinical site

Academic Area (acarea). Please provide the 2-digit code corresponding to the faculty member's departmental discipline, as defined by the following categories set by COACHE.

- | | |
|--|--|
| 11 Humanities | 17 Health & Human Ecology |
| 12 Social Sciences | 18 Agriculture/Natural Resources/Environmental Sci. |
| 13 Physical Sciences | 19 Business |
| 14 Biological Sciences | 20 Education |
| 15 Visual & Performing Arts | 21 Medical Schools & Health Professions |
| 16 Engineering/Computer Science/Math/Statistics | 22 Other Professions (e.g. Law, Journalism) |

Race/Ethnicity (race). Please organize your data into the following race/ethnicity categories.

- | | |
|--|-----------------------------|
| 0 American Indian/Native Alaskan | 4 Hispanic or Latino |
| 1 Asian, Asian American, Pacific Islander | 5 Other |
| 2 White (non-Hispanic) | 6 Multiracial |
| 3 Black or African American | |

TASK LIST C > LAUNCH PREPARATIONS > SPAM WHITELISTING AND TESTING

COACHE takes steps to ensure that solicitation emails are not blocked by spam filters, but filtering software still has the potential to block our attempts to reach your faculty.

Contact your IT staff to have the following email addresses “whitelisted” on spam filters running on your institution’s email servers:

Email addresses:

coachefaculty@opinioncast.com
coachefaculty@srbi.com

DNS/IPs:

mail.srbi.com (50.74.205.186)
mail.srbireports.com (63.240.96.137)
webbatch.opinioncast.com (63.240.96.141)
noc.srbi.com (206.17.174.5)
messaging.microsoft.com (12.129.199.41)†

One to two weeks prior to survey administration, COACHE will send a test solicitation email to you and/or your IT staff. To participate in the spam filter test, please:

- Provide COACHE with the email address(es) of the person(s) who will receive the test message.
- Confirm the receipt of the email by replying to the message.

† Email and IP addresses are subject to change prior to survey administration.

SAMPLE EMAIL COMMUNICATIONS

PRE-LAUNCH ENDORSEMENT LETTER

Date: [DATE]
Memo to: [FIRSTNAME] [LASTNAME], [RANK/TITLE]
From: [NAME], President AND/OR Provost AND/OR Faculty Governing Body Leader
Re: Helping Our Faculty Succeed through Participation in the COACHE Survey

Dear Colleagues,

I am pleased to inform you of an important opportunity you will be offered in the coming days to participate in a survey of faculty job satisfaction. This survey research is part of a national program called the Collaborative on Academic Careers in Higher Education (COACHE), which has been operating from the Harvard Graduate School of Education since 2003. Participation will entail completing a 25-minute, web-based survey; your unique link to the survey will be emailed to you from COACHE in the coming days. COACHE will not use any name or email address for any purposes except for this research.

While there are many surveys that faculty are asked to complete, this one was designed entirely to determine their current job satisfaction compared to faculty at peer institutions. Your views are especially important to us as we strive to attract and retain the best and brightest scholars and teachers, increase the satisfaction of all faculty, and to make [INSTITUTION] a great place to work.

(If Institution is not receiving unit-record data)

The survey is completely confidential and will be handled through the COACHE project team at Harvard. Your privacy will be maintained in all published and written data, and your identity will be carefully protected in all information, including the summary analysis, that COACHE will share with our campus.

(If Institution is receiving unit record data)

In a process approved by Harvard's and [INSTITUTION]'s institutional review board, COACHE will provide our campus with their summary analysis, as well as the confidential unit-record database, stripped of names and e-mail addresses. The data provided to [INSTITUTION] will be received and kept on a secure server by [NAME], [TITLE], [ADMINISTRATIVE UNIT]. **Neither I, nor any other administrator, staff or faculty member outside [ADMINISTRATIVE UNIT] at [INSTITUTION] will have access to the unit-record data.** [ADMINISTRATIVE UNIT] will explore and analyze broad patterns in the data to assist with planning and developing improved academic policies and practices across campus. To protect confidentiality and guarantee that the results of this survey cannot influence personnel decisions about individual faculty members, [ADMINISTRATIVE UNIT] staff will disseminate survey results only with data aggregated in cells of five respondents or more, so that individual faculty and individual departments cannot be identified.

We welcome this opportunity to learn from an independent, research-driven, comparative study. We believe that [INSTITUTION] has the potential to be one of the best places for scholars to work, and with your help we can learn how best to support that goal. However, data from the COACHE study will be meaningful only if we have broad participation.

Within a week, you will receive an e-mail from COACHE (coachefaculty@opinioncast.com), directing you to the online survey. The survey is easy to complete. If you have any questions about this survey, please contact [INSTITUTION CONTACT] at [EMAIL] or [PHONE], or COACHE at coachefaculty@srbi.com.

Thank you in advance by helping us through participation in this study.

Sincerely,

[PROVOST]

POST-LAUNCH FOLLOW-UP EMAIL

FROM: [COACHE TEAM MEMBER EMAIL]
FROM_NAME: [COACHE TEAM MEMBER NAME]
SUBJECT_LINE: Improve [INSTITUTION] by lending your voice to the COACHE Survey of Faculty Job Satisfaction

Dear Colleagues,

I am writing to you today as a colleague and partner in an exciting endeavor for [INSTITUTION]. A few days ago, you were sent an invitation to participate in the COACHE Survey of Faculty Job Satisfaction. As you may already be aware, this survey is designed to enhance our understanding about your experience as a faculty member at [INSTITUTION NICKNAME].

As part of the working group assigned to this task, I want you to understand that we are fully committed to using this data to improve the workplace for faculty. The survey is only the first step in a three-year process designed to transform data into actionable policies and practices.

(If your institution has previously participated in COACHE)

In the past, our participation in COACHE helped identify the aspects of faculty life where you and others were less satisfied such as [AREA OF CONCERN FROM LAST REPORT]. Based on your feedback, [INSERT POLICY OR PRACTICES CREATED SINCE LAST SURVEY ADMINISTRATION].

(If your institution has never participated in COACHE)

Other institutions have used COACHE data to identify areas of strength and concern related to policies and practices. COACHE works with participating institutions to disseminate the results to faculty. Then, we will identify best practices for improving on our weaknesses and leveraging our strengths.

When the results are in hand, we plan to share the findings broadly and work with faculty to build a concrete action plan. In other words, these results will not just sit on a shelf.

If you have already completed the survey, please accept my sincere thanks. If you have not completed the survey, I hope you will do so as soon as possible. Please be assured, the instrument is designed to be completed by most faculty within 25 minutes. I hope you will complete the survey as soon as possible.

Thank you,

[LIST ALL COACHE TEAM MEMBERS]

POST-SURVEY CAO COMMUNICATION

FROM: [PROVOST EMAIL]
FROM_NAME: [PROVOST NAME]
SUBJECT_LINE: Update on [INSTITUTION]'s response to the COACHE Survey results

Dear Colleagues,

One of my overarching priorities is to foster a workplace that is valued by our faculty, students and staff. There is no doubting that the pressures of an academic career are significant – especially during periods of constraint such as those as we have experienced in recent times. Nonetheless it is important that we continuously strive to do more to support our community and, periodically, assess how we are performing and what further might be done at the department, division, or university-wide level.

Earlier this year, [INSTITUTION] was one of many institutions to join the Collaborative on Academic Careers in Higher Education (COACHE), based at the Harvard Graduate School of Education, which administered a survey of job satisfaction to our faculty. In this effort, locally coordinated by [LOCAL COACHE LIAISON], [TITLE], surveys were sent to XXX individuals, and responses were received from XXX (XXX%).

Thank you to everyone who took the time to respond. I appreciate that time is a precious resource, and I am committed to making your contribution to this effort be worth every minute.

Survey responses are grouped into several themes, including the nature of the teaching, research, and service aspects of faculty work; the clarity and reasonableness of our tenure and promotion processes; satisfaction with personal and family supports; levels of climate and collegiality; and other aspects of your work-life.

Later this year, COACHE will send to us a comprehensive report of the findings, including results at peers and among a large cohort of similar institutions. I will be convening a task force responsible for assisting me in interpreting and responding to the detailed findings when they arrive. In the meantime, I welcome all comments and your suggestions on how we can organize the campus community around disseminating, discussing, and acting upon the survey results toward keeping [INSTITUTION] a great place to advance the work and happiness of all faculty.

Sincerely,

[PROVOST SIGNATURE]

APPENDIXES

APPENDIX A: STATEMENT OF DATA CONFIDENTIALITY

STATEMENTS OF DATA CONFIDENTIALITY

COACHE researchers take all reasonable steps to protect the identities of respondents and the confidentiality of their responses. This includes masking results with fewer than five individuals in all COACHE Reports. Nevertheless, individual respondent identification may become possible when a small number of individuals share a single characteristic such as gender, race/ethnicity, department, etc., thus posing a potential breach of their confidentiality. In order to prevent tracing of the identity of individuals, users of the COACHE Data File and Reports must not share any results in which such identification may be possible. This is COACHE’s expectation of **total respondent confidentiality**.

In order to comply with the instructions given this study by the Committee on the Use of Human Subjects at Harvard University, the following Statements of Data Confidentiality must be signed by the person or people identified by your institution to receive COACHE’s Data File and Reports.

To be signed by intended Data File recipient:

I, the undersigned, as Participating Institution’s designee, hereby agree that my access to the **COACHE Data File** will be in accordance with the expectation of total respondent confidentiality. I am or will not be in a position to make or influence faculty personnel decisions at my institution; in cases of promotion and/or tenure, I shall be recused from the deliberations and votes of the committee regarding such cases for a period of two (2) years following receipt of the COACHE Data File and Reports. I shall not distribute any survey results in which identification of individuals may be possible. Only aggregate data, with no cells of fewer than five respondents, will be shared with broader audiences at my institution.

SIGNED: _____

Print name: _____ Title: _____

Institution: _____ Date: _____

To be signed by intended Report recipient:

I, the undersigned, as Participating Institution’s designee, hereby agree that my access to the **COACHE Reports** will be in accordance with the expectation of total respondent confidentiality. I wish not to receive, nor shall I distribute any Reports, in whole or in part, in which identification of individuals may be possible. Only aggregate data, with no cells of fewer than five respondents, will be shared with broader audiences at my institution.

SIGNED: _____

Print name: _____ Title: _____

Institution: _____ Date: _____

Mailing address: _____

APPENDIX B: HUMAN SUBJECTS APPROVAL LETTER



Harvard University-Area
Committee on the Use of Human Subjects
1414 Massachusetts Avenue, 2nd Floor
Cambridge, MA 02138
Federal Wide Assurance FWA00004837

Notification of Continuing Review Approval

January 27, 2014

Kiernan Mathews
kiernan_mathews@gse.harvard.edu

Protocol Title: Collaborative on academic careers in higher education
Protocol #: CR-11858-01
IRB Review Date: 1/27/2014
Effective Date: 1/27/2014
Expiration Date: 1/26/2015
IRB Review Type: Expedited
IRB Review Action: Approved

Dear Kiernan Mathews:

On 1/27/2014, after review of your Continuing Review, the Institutional Review Board (IRB) of the Harvard University-Area has approved the above-referenced submission. **Please note that the approval for this protocol will lapse on 1/26/2015.**

This approval includes the following:

- Survey Disclosures/Informed Consent (Consent Materials) version: 0.02
- Prior Renewal Application (Protocol Documents) version: 0.01
- Solicitation and Reminder Emails (Protocol Documents) version: 0.01

Additionally, the IRB has reviewed the following documents:

- Survey Instrument (Study Instrument/Tools) version: 0.01
- List of Participating Institutions (Funding Source Attachment) version: 0.01
- Participation Agreement for Institutions (Data Use Agreement or Other Agreements) version: 0.01



The IRB made the following determinations:

- Waivers: Waiver of consent documentation
- Risk Determination: No greater than minimal risk
- Research Information Security Level: The research is classified, using Harvard's Data Security Policy, as Level 2 Data.

Please contact me at (617) 496-2847 or hpixley@fas.harvard.edu if you have any questions.

Sincerely,

Heather Pixley
IRB Administrator

APPENDIX C: EMAIL COMMUNICATIONS FROM COACHE TO SURVEY PARTICIPANTS

Email invitation from COACHE

FROM: [coachefaculty@opinioncast.com]
FROM_NAME: Collaborative on Academic Careers
SUBJECT_LINE: Your link to the COACHE Survey of Faculty Job Satisfaction at [INSTITUTION NICKNAME]
NICKNAME]

Dear Professor [LASTNAME],

With the endorsement of [INSTITUTION NICKNAME]'s academic leadership, the Collaborative on Academic Careers in Higher Education (COACHE) research team at Harvard University is writing to invite your participation in a study of full-time faculty that asks you to rate the attractiveness of the terms and conditions of employment at [INSTITUTION NICKNAME] as well as answer questions related to your level of work satisfaction.

Our purpose is to ensure that academic institutions attract and retain the best and brightest scholars and teachers by making the academy a more equitable and appealing place for faculty to work. While your participation is important to the success of this study, to the quality and comprehensiveness of information we receive, and may help your institution's leaders make [INSTITUTION NICKNAME] a better place to work, your contribution is entirely voluntary. You have the right to discontinue the survey at any time and to refuse to answer specific questions.

Your chief academic officer will receive results from COACHE in summary form only. Your responses to survey questions are strictly confidential in that nothing you say will be attributed directly to you for reporting purposes. Your privacy will be maintained in all published and written data resulting from the study. We will not use your name or email address for any purposes without your consent, and information is gathered and stored on a secure technology platform, which will automatically send three follow-up reminders to non-responders.

Use the link below to access the survey. **THIS LINK IS UNIQUELY YOURS. TO PROTECT YOUR CONFIDENTIALITY, IT SHOULD NOT BE SHARED.**

[UNIQUE LINK IS LOADED HERE]

The questionnaire is easy to complete, and should require approximately 25 minutes of your time. If for any reason you wish to pause in responding, you may use this link to resume later.

By completing your survey, you will be entered (if permitted by state law and campus policy) into a drawing to become one of five survey respondents selected to receive an Apple iPad.

If you would like more information about your institution's participation in this project, please contact your Office of Academic Affairs or Provost's Office. Many questions are answered on a "frequently asked questions" page available within the survey and at www.coache.org. For technical issues, please contact COACHE by email at coachefaculty@srbi.com.

We and your institution's leaders hope you will participate. Thank you for considering this invitation!

Sincerely,
Dr. Kiernan R. Mathews
Director and Principal Investigator, The Collaborative on Academic Careers in Higher Education (COACHE)
Harvard Graduate School of Education
Cambridge, Massachusetts

Reminder emails: (Sent every 2 to 3 weeks after first reminder)

FROM: [coachefaculty@opinioncast.com]
FROM_NAME: Collaborative on Academic Careers
SUBJECT_LINE: Reminder: The COACHE Survey of Faculty Job Satisfaction at [INSTITUTION
NICKNAME]

Dear Professor [LASTNAME],

Recently, we sent you an invitation to participate in the COACHE Survey of Faculty Job Satisfaction, approved by [INSTITUTION NICKNAME]'s senior administrators. Since our records indicate that your survey is incomplete, we are sending this reminder to complete your COACHE survey by accessing the following link:

[UNIQUE LINK IS LOADED HERE]

THIS LINK IS UNIQUELY YOURS. TO PROTECT YOUR CONFIDENTIALITY, IT SHOULD NOT BE SHARED.

The data we are collecting are critical to improving the academy--including [INSTITUTION NICKNAME]--as a workplace for faculty. By participating in COACHE, [INSTITUTION NICKNAME] is invested in a high response rate; we ask that you make that investment worthwhile. We cannot overstate the value of your individual participation.

Please take a moment to complete the survey at your earliest convenience. Doing so will also enter you (if permitted by state law and campus policy) into a drawing to become one of five survey respondents selected to receive an Apple iPad.

Many thanks in advance for your contribution. If you believe you have received this message in error, or if you wish to receive no further reminders, please contact coachefaculty@srbi.com.

Dr. Kiernan R. Mathews
Director and Principal Investigator, The Collaborative on Academic Careers in Higher Education (COACHE)
Harvard Graduate School of Education
Cambridge, Massachusetts

APPENDIX D: SURVEY DISCLOSURES

For institutions administering the COACHE survey and *not receiving record-level data*

Welcome! Thank you for agreeing to take part in this research effort designed to evaluate work satisfaction among faculty. We know that your time is valuable and we greatly appreciate your assistance with this project.

Informed Consent

We have obtained permission to distribute this survey to adult subjects from the Committee on the Use of Human Subjects (the Harvard University Institutional Review Board of record for this study) and from your institution.

Confidentiality

No raw or record level data will be provided to your institution. Your answers to survey questions are strictly confidential. No data will be shared with your institution in any individually identifiable way, nor will any research conducted or published by COACHE or its affiliates disclose any individual responses.

Privacy

Your privacy will be maintained in all published and written data resulting from the survey. We will not use your name or email address for any other purposes without your consent.

Security

Respondent data such as email address, name, institution, etc. will reside on a Structured Query Language (SQL) server behind a firewall. To learn more about data security visit our Frequently Asked Questions Page.

Rights of Participants

Your contribution is entirely voluntary and you have the right to discontinue the survey at any time. You also have the right to refuse to answer specific questions by checking or selecting "Decline to Answer."

Eligibility

Full-time, faculty at participating institutions.

If you have questions or concerns about this research, please contact:

R. Todd Benson, Ed.D.

Associate Director

COACHE – Harvard Graduate School of Education

8 Story Street, Suite 05-03

Cambridge, MA 02318

coache@gse.harvard.edu

617-496-3409

Harvard University Committee on the Use of Human

Subjects in Research

1414 Massachusetts Avenue

Second Floor

Cambridge, MA 02138

cuhs@fas.harvard.edu

617-495-5459

Instructions

The questionnaire was designed to be easy to complete. We estimate the survey should take approximately 25 minutes.

As you finish each page and proceed to the next, your data will be submitted for processing. You can back up and change your answers on the previous page of the questionnaire by using the "Back" button on the screen. Do not to use the "Back" button in your browser.

If you choose to suspend the survey to take a break, if your computer shuts down, or if you lose your Internet connection, you will be able to resume where you left off. Simply log back on using the link you received in the email we sent you. You'll be offered a link on this page that lets you resume where you left off, or you may start over by clicking the "Continue" button at the bottom of this page.

[] I have read and understand the instructions and my rights as an informed participant. I wish to continue.

Please print or save a copy of this page for your records.

For institutions administering the COACHE survey and *receiving record-level data*

Welcome! Thank you for agreeing to take part in this research effort designed to evaluate work satisfaction among faculty. We know that your time is valuable and we greatly appreciate your assistance with this project.

Informed Consent

We have obtained permission to distribute this survey to adult subjects from the Committee on the Use of Human Subjects (the Harvard University Institutional Review Board of record for this study) and from your institution.

Data Use

The institutional research office at your institution has requested record level data, believing that it may help them to identify any trouble spots with regard to faculty job satisfaction and enable them to respond with constructive revisions to policies and procedures. This means that they will receive survey responses with information that may indirectly identify some respondents.

Your institutional official receiving the data has signed an agreement stating that only aggregate data with no cells smaller than five respondents will be shared with broader audiences at your institution, and that no individuals in a position to make or influence individual faculty personnel decisions will have access to the data.

If you wish further information about the institutional official assuming responsibility for the data at your institution, click here [coachefaculty@srbi.com] to send an email message to COACHE, whose staff will give you the name of your institution's responsible official. Any communication with COACHE is kept strictly confidential.

Privacy

Your privacy will be maintained in all published and written data resulting from the survey. We will not use your name or email address for any other purposes without your consent.

Security

Respondent data such as email address, name, institution, etc. will reside on a Structured Query Language (SQL) server behind a firewall. Survey response data will also reside, in a coded format, on a SQL server behind a firewall. . To learn more about data security visit our [Frequently Asked Questions Page](#).

Rights of Participants

Your contribution is entirely voluntary and you have the right to discontinue the survey at any time. You also have the right to refuse to answer specific questions by checking or selecting "Decline to Answer."

Eligibility

Full-time faculty at participating institutions.

If you have questions or concerns about this research, please contact:

R. Todd Benson, Ed.D.

Associate Director

COACHE – Harvard Graduate School of Education

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I have read and understand the instructions and my rights as an informed participant. I wish to continue.

Please print or save a copy of this page for your records.