



# **FEDERAL DEMONSTRATION PARTNERSHIP**

## **2018 FDP Faculty Workload Survey Participating Institution Guide**



October 2018

Dear FDP Member Institution,

On behalf of the FDP Executive Committee and the Faculty Workload Survey Working Group, I want to thank you for your help – your participation makes this project successful. This study continues our work in investigating the effects of mandated administrative additions to Federal grant requirements: Collecting data to understand and quantify these effects is critical to our efforts to influence policy and practices from a well-informed perspective.

Our first two faculty surveys revealed that researchers report that roughly 42% of their research time spent on federally-funded projects was committed to administrative tasks associated with their grant(s) rather than the actual science. The results of the survey have been cited by groups such as the National Science Board and the National Academies, and have contributed to a section of recent legislation (i.e., 21<sup>st</sup> Century Cures Act) aimed at reducing research-related administrative burdens. Individual institution-level reports were also made available to interested participating institutions. Information gained from this new survey will allow us to update those findings, and be in an even stronger position to continue the ongoing work of the FDP to improve research efficiency without compromising responsibility.

The survey team is working very hard to make this process as straightforward as possible for you, and to minimize as much of the burden on you as we can. This packet is provided to answer many of the questions you may have, and give you an idea of how the survey will unfold. In addition, I will always be available for you to contact as well, please do not hesitate to reach out to me with any questions or concerns.

Thank you again for all of your hard work!

Sincerely,

David Wright  
Executive Director  
Federal Demonstration Partnership



## **Introduction**

The Federal Demonstration Partnership (FDP) is administering a Web-based Faculty Workload Survey to explore the impact of federal requirements on the time faculty have available to actively conduct research. This survey is a follow-up to similar surveys conducted in 2005 and 2012. The data collected from this survey will be used to inform the future direction and projects of the FDP. FDP has once again contracted with SoundRocket (SR; formerly Survey Sciences Group, LLC) of Ann Arbor, Michigan to carry out the survey administration. As the FDP administrative representative, the FDP needs you to assist in the preparation of this study by acting as a liaison between your institution and the FDP/SR research team.

Specifically, as FDP administrative representative of your institution, we ask that you assist us by obtaining a list of federally-funded researchers at your institution. We will also rely on your assistance to navigate any institutional approval required to obtain the list and participate in this survey. To help facilitate this process, we have developed this guide for participating institutions. (*Within your institution, you may also want to enlist the help of your FDP faculty representative to assist in answering general questions about the survey or generating support for participating in the survey.*)

This study has been submitted for review by the University of South Florida's AAHRPP-accredited Institutional Review Board (IRB; *Federal Demonstration Partnership 2018 Faculty Workload Survey*), and is currently pending approval. As soon as the approval is received, copies will be provided to all institutions who agree to participate in the study. In previous approvals, the position of the USF IRB has been that participating universities are asked only to facilitate recruitment, thus, IRB approval from your institution is not required to conduct the study. It is anticipated that this same position will apply with this current review and approval. However, it is important to consider your institution's IRB policies and requirements. It is our experience that – because this study is not being conducted by or in collaboration with any local researcher at your institution – most institutions find that they do not require their own IRB approval to participate. If your IRB does, however, we encourage you to act swiftly to initiate that process.

Please use this guide as a reference. It includes: background information about this study, a summary of what can be expected throughout the survey implementation, Checklist/Key Dates that outline your Institution's responsibilities and provides important deadlines, and a Frequently Asked Questions section that will help guide you through answering questions that may come up about the study within your institution.

Please pay special attention to the List Instructions section, as it outlines the procedure and format for submitting your Institution's list of federally-funded researchers.

It is our hope that this guide will provide a basic understanding of the Federal Demonstration Partnership 2018 Faculty Workload Survey. If you have any questions after examining this guide, please do not hesitate to reach out to one of the research team contacts listed on page 4.

## **FDP 2018 Workload Study Website**

Please visit the FDP Workload Study website for information about FDP and the current study, as well as to access a copy of this Institution Guide and other useful resources:

[http://sites.nationalacademies.org/PGA/fdp/PGA\\_181909](http://sites.nationalacademies.org/PGA/fdp/PGA_181909)



## **Research Team Key Contacts**

### **For questions regarding the content of the Faculty Workload Survey:**

Sandra L. Schneider  
FDP Faculty Workload Survey Principal Investigator and Working Group Chair  
[Sandra@usf.edu](mailto:Sandra@usf.edu)  
813-974-9168

### **For more information about the Federal Demonstration Partnership (FDP):**

David Wright  
Executive Director, Federal Demonstration Partnership  
[DWright@nas.edu](mailto:DWright@nas.edu)  
202-334-1495

### **For inquiries regarding the data collection process or how to submit your faculty list:**

Julie Smith  
Research Consultant, SoundRocket  
or  
Robert Young  
Research Programmer, SoundRocket  
[FDP@ssgresearch.com](mailto:FDP@ssgresearch.com)  
734-213-4600

### **For inquiries regarding USF IRB:**

University of South Florida Division of Research Integrity & Compliance  
Weldon George, IRB Manager (Social/Behavioral Research)  
[wageorge1@usf.edu](mailto:wageorge1@usf.edu)  
813-974-8360

## **Primary Institution Contact**

The primary contact that the Faculty Workload Survey (FWS) team will use for each institution will default to the FDP Institution Administrative Representative. If someone other than yourself should be considered the primary contact for this effort, please contact us as soon as possible. It is important that the liaison join the study as early as possible so that s/he will have a full understanding of the process.

If you would like to change the primary contact, please contact David Wright (email and phone listed contact information listed above).



## Background

### **FEDERAL DEMONSTRATION PARTNERSHIP (FDP)**

Over 25 years ago, the Federal Demonstration Partnership (FDP), previously called the Federal Demonstration Project, surveyed faculty from FDP institutions to evaluate the worth of the “expanded authorities” that had recently been negotiated between the FDP universities, participating federal agencies and the Office of Management and Budget (OMB). The principal focus of the survey was to determine whether changes in the regulations affecting prior approvals, pre-award costs, no-cost extensions, and the carryover of unexpended funds had saved faculty time, and whether such saved time had been re-invested in research activities.

Over twenty-five hundred faculty responded to the survey indicating that the new, more flexible policies saved researchers significant time. Of this liberated time, 90% was refocused toward scholarly activity and of that 90%, 73% was spent directly conducting research. These observations implied that the research productivity of FDP faculty would be increased by changes in federal grant policies. However, anecdotal comments from some surveyed faculty indicated that much of the free time resulting from the implementation of the “expanded authorities” was likely to be re-allocated to other research administrative duties, such as IRB- or IACUC-related tasks and research safety issues.

During the decade following the early FDP survey, several new federal regulations were added to the faculty workload which further reduced the amount of time that faculty could allocate to active research. In 2005, FDP conducted the first Faculty Workload Survey (FWS), which estimated that as much as 42% of faculty research time on federal projects was spent completing administrative tasks rather than actively conducting research. This was followed by the 2012 FWS, which furthered understanding of how administrative tasks impact active research. Findings from these studies are available on the FDP website (Schneider et al., 2012; Decker et al., 2007; thefdp.org) and have been a focus of attention in flagship journals of the American Association for the Advancement of Science (AAAS; Lane & Bertuzzi, 2011; Leshner, 2008) and the National Council of University Research Administrators (NCURA; Rockwell, 2009; Sedwick, 2009).

### **GOALS OF 2018 FACULTY WORKLOAD SURVEY**

The current study is a follow-up to the FDP 2012 Faculty Workload Survey (FWS). The 2018 FWS will re-assess estimates of federally-funded researchers’ administrative workload, and will extend the earlier survey findings by: (1) differentiating time required for administrative workload versus priorities for reducing specific aspects of administrative burden, (2) comparing administrative workloads as a function of institution characteristics and funding sources, (3) elaborating information on time commitments and burdens associated with proposal submission, and (4) increasing attention to perceived research climate and support within the institution. The results of the 2018 FWS study will provide the FDP with a better understanding of how to streamline research administrative burdens, make federally-funded research more efficient, and subsequently allow greater focus on the science of the research.



## Faculty Workload Survey Working Group Regular Contributors

Richard Beaulaurier, Florida International University  
Lori Carter-Edwards, University of North Carolina  
Neil Charness, Florida State University  
Richard Costanzo, Virginia Commonwealth University  
Jonathan Kaye, Cedars-Sinai Medical Center  
Cheryl Kitt, National Institutes of Health  
Melissa Korf, Harvard University  
Jane McCutcheon, New York University  
Michele Masucci, Temple University  
Eva McGhee, Charles Drew University

Debra Murphy, Arizona State University  
Robert Nobles, University of Tennessee  
Mary Ann Ottinger, University of Houston  
Aleister Saunders, Drexel University  
Sandra Schneider, University of South Florida  
Kelly Shaver, College of Charleston  
Bettie Steinberg, Feinstein Institute for Medical Research  
Larry Sutter, Michigan Technological University  
Ara Tahmassian, Harvard University  
Alice Young, Texas Tech University

## Implementation Plan and Schedule

For your Institution to qualify for participation in the FDP's Faculty Workload Survey (FWS), we will need your help as we move toward the survey's launch date. It is our hope that the administrative representative at each institution, or their designee, will act as the liaison between their Institution and the research team by coordinating efforts to complete the steps necessary for survey administration.

The FWS research team works to ensure that this process is as smooth as possible for all participating institutions.

- SoundRocket (SR) has been contracted to provide professional survey research services for implementing the 2018 FWS. SR is a full-service survey research provider located in Ann Arbor, Michigan, and also provided survey research services in the previous 2005 and 2012 Faculty Workload Surveys.
- IRB approval is pending at the University of South Florida, which has full AAHRPP accreditation.
  - USF is the home institution of Dr. Sandra Schneider, the principal investigator for the FDP on this survey.
  - IRB approval documents will be disseminated as soon as they are available.
  - The USF IRB has previously ruled that, because participating institutions are not directly involved in the research itself, no form of secondary approval from participating institutions is required. Thus, the FDP Faculty Workload Survey has not required that institutions obtain a local IRB approval.
  - It is the responsibility of each institution to ensure that they abide by any/all local policies when participating in the FDP Faculty Workload Survey; if you need any assistance in navigating your institution's IRB approval process, please contact us.

Institutional Participation requirements focus on two key items/dates. Each institution is requested to:

1. **Confirm intent to participate** in the FDP Faculty Workload Survey via email to David Wright, FDP Executive Director, [dwright@nas.edu](mailto:dwright@nas.edu) by no later than **Friday, October 27, 2017**;  
and
2. **Provide a list of faculty/researchers**, no later than **Friday, November 17, 2017**. This involves following the instructions provided in this document to complete the necessary list preparation and provide approval for the FDP to use the list to contact faculty and conduct the survey.



## Key Dates

The **two critical dates** on which to focus are Friday, **October 27**, and Friday, **November 17, 2017**. Providing your institution's intent to participate and the list of your faculty/researchers will serve as confirmation that your institution has provided approval and that they will be included in the study. Receipt of these two items on or before the dates listed below will ensure that your faculty/researcher list will be used in the final sample design planning for the study, and therefore that your institution's diversity is adequately represented in the survey effort.

<b>Task...</b>	<b>Due On or Before...</b>
• Confirm Intent of your Institution to Participate with FDP via email to David Wright	Friday, October 27, 2017
• Provide List of Faculty/Researchers (Sample File) to SoundRocket via FDP Website (see <i>instructions</i> on p. 9)	Friday, November 17, 2017

Due to the time needed to process multiple samples for the study, institutions will only be able to participate if their list of faculty/researchers is provided on or before November 17, 2017.

If any of the dates listed above pose a difficulty for your institution, please contact David Wright at [dwright@nas.edu](mailto:dwright@nas.edu) to discuss options.



## Faculty List (Population File) Specifics

### **WHO IS ELIGIBLE TO PARTICIPATE (STUDY SAMPLE DEFINITION)**

To conduct the 2018 Faculty Workload Survey, it is necessary to receive a file containing the names and contact information for all faculty that are engaged in federally-funded research at your institution. ***For this study, eligibility is defined as:***

- All Personnel who were serving as Principal Investigators (PI) on U.S. Federally Funded Research Projects (including both Contracts and Grants) that were active (including projects in no-cost extensions) at any point during the 2016-2017 Academic Year (AY). AY2016-2017 includes the 12-months that most closely corresponds to your institution's academic calendar.
- **Note.** Projects that are not direct federal funding, such as pass-through awards, are ineligible.

### **How MANY**

- A full population file is requested. After lists are obtained from all FDP institutions, the research team will check to ensure that all necessary variables are included. All individuals on the list provided will be invited to participate in the survey.

### **WHAT INFORMATION IS NEEDED**

- The survey collection design requires only email communications to potential respondents; thus, to successfully connect with the appropriate individuals and collect needed responses, the following variables are requested from you to be included in the list of faculty/researchers you will be providing:

<b>VARIABLES TO INCLUDE IN SAMPLE FILE</b>	
<ul style="list-style-type: none"><li>- Institution Name*</li><li>- PI First Name*</li><li>- PI Last Name*</li><li>- Email Address*</li><li>- Secondary Email Address (if available)</li><li>- School/College</li><li>- Department/Unit</li><li>- Program</li></ul>	<ul style="list-style-type: none"><li>- Salutation (i.e., Dr, Mr, Ms, etc.)</li><li>- Title</li><li>- Rank</li><li>- Gender</li><li>- Race/Ethnicity</li></ul>

- Variables marked with an asterisk "\*" are required; communications to potential respondents will not be possible without this information.
- The remaining variables will add significant value to the outcomes of the study, and it is requested that as many of them as possible be included in the list provided.
  - *The FDP strongly encourages providing all variables; however, if that is not possible, it will not impede your institution's ability to participate, as long as the essential contact information has been provided.*

***To protect the confidentiality of your colleagues' personal information, your list must be uploaded to the designated secure site as described below. Please do not email your list.***



## Secure File Upload

### **CREATING AND MANAGING YOUR FACULTY INFORMATION FILE**

The faculty list provided should be consolidated into one file. This file may be in one of the following file formats: Excel, Tab delimited text, CSV, Access, or SPSS. If your institution would like to present the data in a different format, please contact Robert Young at SoundRocket (email and phone listed on page 4 of this guide) regarding the format.

Along with the faculty data file, please provide information that will help us understand any variables that may be institution-specific. For example, if your campus maintains a numerically coded variable that identifies a program or department, please include the code frame so that this information can be incorporated into the file.

***To protect the confidentiality of your colleagues' personal information, do not email this file.***

### **UPLOADING YOUR FACULTY INFORMATION FILE**

Before uploading your faculty information file, please name the file(s) with your institution name followed by a brief description of the file; for example, State University FDP Faculty List.xls, or State University FDP Additional Information File.

**Faculty information files should be directly uploaded to the secure on-line site (ShareFile) from a link provided on the study website: [http://sites.nationalacademies.org/PGA/fdp/PGA\\_181909](http://sites.nationalacademies.org/PGA/fdp/PGA_181909) (see the screen shot on page 10). Please do not transmit your file in any other way.** Along with the main faculty list file, you may also submit any additional files containing supporting documentation.

If you experience any difficulty uploading your file(s), please contact SoundRocket at [FDP@ssgresearch.com](mailto:FDP@ssgresearch.com).



## FDP WEBSITE SCREEN SHOT

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**2018 Faculty Burden Survey**

The Federal Demonstration Partnership will be administering its third Faculty Workload Survey in early 2018. The purpose of the survey is to estimate how much time that a researcher involved in federally funded research spends on administrative tasks relative to the research and where that administrative time is spent. The last survey in 2012 received over 12,000 responses from active faculty and found that 42% of their research time was spent on administrative tasks. This correlated with the first survey in 2005, which also estimated the 42% of time spent on administrative tasks. Below are some resources might be helpful in support of the current survey.

• Click here to [upload your faculty list](#).  **Faculty List Upload Link**

• Institution Guide

• [2012 Survey Report Executive Summary](#)

• [2012 Survey Full Report](#)

• [2005 Survey Report](#)

• [2005 Survey Report with Appendices](#)

**LOGIN**

• [Login](#) (User ID and Password required)

• [Lost your password?](#)

• [Create New FDP Login](#)

**FDP Contacts**

**Mailing Address:**  
500 Fifth Street, NW  
Washington, D.C. 20001  
Tel: (202)334-3994  
Fax: (202)334-1369  
E-mail: [fdp@nas.edu](mailto:fdp@nas.edu)





FDP Brochure 2016

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## **Data Collection Methods and Schedule**

The data collection methodology for this survey will be a standard protocol for web-based surveys. All data collection will be conducted via the web (i.e., on-line). There will not be any paper or telephone data collection options.

The following table shows email communications planned for the study, and the estimated date ranges that each contact will be implemented:

<b>Contact Type</b>	<b>Send Start Date</b>	<b>Send End Date</b>
Pre-notification Email	January 25, 2018 (Thursday)	February 1, 2018 (Thursday)
Email Invitation	January 30, 2018 (Tuesday)	February 6, 2018 (Tuesday)
Reminder Email 1	February 3, 2018 (Saturday)	February 10, 2018 (Saturday)
Reminder Email 2	February 8, 2018 (Thursday)	February 15, 2018 (Thursday)
Reminder Email 3	February 14, 2018 (Wednesday)	February 21, 2018 (Wednesday)
Reminder Email 4	February 23, 2018 (Friday)	March 2, 2018 (Friday)

Due to the volume of email invitations, email sending is paced to help avoid potential issues with SPAM and other server filters. Using such pacing means that it may take up to eight days to send, for example, all pre-notification emails to all potential participants.

Data collection will close approximately two (2) weeks after the final email reminder.



## Information Technology Notes

As noted, all respondent communications for this study will be electronic. Emails will be sent from the following domains, server IP addresses, and email accounts (primary listings in each category are in larger bold font – the others are secondary or backup resources that are used if needed):

Domains (IP Addresses)	Email Address Used to Send	Reply-to Email Provided
<b>srsrv.com (152.160.6.97)</b> smtp.srsrv.com (152.160.6.98) smtp.ssgresearch.com (152.160.48.69) ssgresearch.com (152.160.48.70)	<b>surveys@srsrv.com</b> survey@srsrv.com surveys@ssgresearch.com survey@ssgresearch.com support@ssgresearch.com	fdp@srsrv.com

### Study Email Schedule and Pace of Sending

- Given the large number of potential participants in this study, it may take up to 8 days to send all invitations; the dates in the table below reflect the planned start date and possible end date for sending all emails for the study, so the actual date on which a message is received will vary for participants.
- Study reminder emails will be scheduled to send at approximately 5 day intervals based on the date the study invitation is emailed to a participant.
  - If a participant requests to be removed from the study, that individual will not receive any further emails; likewise, anyone who completes the survey will not receive any further communications.
- The send “pace” is set by SoundRocket’s data collection system, however, the SMTP (email) server limits simultaneous connections with the same domain to two and will only send up to 25 emails per connection.
- The connection timeout is set to 2 minutes

The Study Pre-Notification email (Contact 1) will be provided to – and needs to be sent by – the FDP administrative representative (or designee) at your institution. All other email communications (Contacts 2-6) for the study will be sent by SoundRocket.

Contact #	Email Contact Type	Send Start Date	Send End Date (Estimated)	Pace (Per Minute)	Subject Line
1	Study Pre-notification	01/25/18	02/01/18		Pre-note to be sent by administrative reps at participating institutions; Subject Line: Federal Demonstration Partnership - Faculty Workload Survey!
2	Study Invitation	01/30/18	02/06/18	10	FDP Faculty Workload Survey – Your Login Instructions
3	Reminder 1	02/03/18	02/10/18	10	Reminder: FDP Workload Survey – Input on Research Workload Needed
4	Reminder 2	02/08/18	02/15/18	10	Time is Running Out - FDP Faculty Workload Survey
5	Reminder 3	02/14/18	02/21/18	12	Response Requested - FDP Faculty Workload Survey
6	Reminder 4	02/23/18	03/02/18	12	FDP Faculty Workload Survey – Last Chance to Participate!

If your institution would like to use a white list strategy for emails, please ask your IT administrator to complete the **IT Contact Form for Localized Survey Implementation** (a copy of the form is located on the FDP 2018 Faculty Workload Study Website) and contact Robert Young at SoundRocket via phone (734-213-4600) or email ([FDP@ssgresearch.com](mailto:FDP@ssgresearch.com)).



## **Questionnaire & Respondent Support**

To ensure the quality of the science employed, it is not desirable to have the full questionnaire distributed widely among potential respondents prior to the data collection start. If you require a copy of the questionnaire for internal or IRB purposes, and agree to maintain its confidentiality, a copy is available by contacting David Wright, FDP Executive Director, at [dwright@nas.edu](mailto:dwright@nas.edu) or 202-334-1495.

The survey will be programmed using best practice web survey design methods and will make use of interactive capabilities to minimize respondent burden. The question formats will include multiple choice, text entry, and fill-in items. From start to finish the survey will take approximately 15-30 minutes to complete. Respondents should find this survey to be both straightforward and user-friendly.

All questions in the survey are optional; each question can be skipped by simply clicking the “Next” button without entering an answer. The only exception is the first question which asks for the participant’s consent to participate in the survey; responses to the consent item are not optional and participants must consent before they are able to proceed.

If a participant encounters a problem during the survey, support contact information will be included in the survey and in all respondent communications, and may be used to contact support staff. SoundRocket will be responsible for fielding all inquiries and responding to survey-related questions daily. The standard support hours for this project will be 9:00am to 5:00pm Eastern Time, Monday through Friday.



## **Frequently Asked Questions (FAQ's)**

The purpose of this FAQ section is to help you answer any questions you may receive from within your institution about this survey. Please feel free to use this information verbatim as needed.

### **1. Who is the “Principal Investigator” for the study?**

Sandra L. Schneider, University of South Florida  
Chair, FDP Faculty Workload Survey Working Group

### **2. What are the specifics of the study?**

Project Title: Federal Demonstration Partnership’s 2018 Faculty Workload Survey  
Project duration: September 2017-September 2018  
Survey duration: Approximate four-week period in January/February 2018  
Funding Agency: Federal Demonstration Partnership (FDP), National Academies

### **3. Has the study been approved by a Human Subjects IRB?**

The study is currently undergoing review by the University of South Florida IRB. USF is fully AAHRPP accredited, and is the IRB that approved the study when it was last conducted in 2012. A final approval letter will be distributed as soon as it is received.

### **4. What are the objectives of the proposed research?**

The purpose of the study is to learn how new and continuing federal research requirements (e.g., granting agency rules and regulations) influence the amount of time faculty/researchers from FDP member institutions allocate to active research. The survey will re-assess estimates of federally-funded researchers’ administrative workload. It will extend the 2012 survey findings by (1) differentiating time required for administrative workload from priorities for reducing specific aspects of administrative burden, (2) comparing administrative workloads as a function of institution characteristics and funding sources, (3) elaborating information on time commitments and burdens associated with proposal submission, and (4) increasing attention to perceived research climate and support within the institution.

### **5. Are there any risks associated with the research?**

The researchers involved in this project do not believe that there are any short- or long- term negative effects associated with participation in this study.

All response information will be kept confidential in as much as possible. Unless required by law, only the study investigator, members of the study investigator’s staff, representatives from the Federal Demonstrative Partnership (FDP), the University of South Florida Institutional Review Board, and representatives from the Office for Human Research Protections (DHHS) will have authority to review study records.

### **6. What are the benefits associated with the research?**

The study will provide a better understanding of how to streamline faculty/researcher administrative workload to make research more efficient. The results from this study will be used to inform the future directions and projects of the FDP. In some cases, participating institutions may be able to obtain a summary of grouped results focused on the subset of survey findings for their institution. (These summaries will be based on grouped data and will not reveal identities.)



## 7. How will participants be selected for your study?

Those eligible to participate include all faculty members/researchers at each participating institution who were serving as Principal Investigators (PI) on U.S. Federally Funded Research Projects (including both Contracts and Grants) which were active at any point during the 2016-2017 (12-month) Academic Year. (“Active” includes projects in no cost extensions. Projects that are not **direct** federal funding, such as pass-through awards, are ineligible.)

## 8. How will data be collected?

The only method of data collection is the survey instrument itself, which is completed online by participants. In January or February 2018, all selected faculty members/researchers will receive an email from the research team inviting them to participate. The email will provide them with a direct link to the survey. Once faculty members/researchers consent to participate, they will be able to begin the survey. Email reminders will be used to prompt non-respondents. Those who indicate that they choose not to participate will not receive additional emails.

## 9. How will consent be obtained?

The first survey question asks faculty members/researchers if they consent to participate in the study. If the faculty member/researcher clicks “yes,” he/she will begin the survey. If the faculty member/researcher clicks “no,” he/she will be thanked for his/her time and logged out. A copy of the consent form will be provided to participating institutions once it is approved by the USF IRB.

## 10. How will participants be informed of their rights regarding this study?

An introductory email will explain the purpose of the study, the length of the survey, and where to receive assistance in the event questions arise about the survey-taking process. This email will also remind participants of their rights as outlined on the survey consent form. Some of these rights include:

- Withdrawal from the study will be allowed at any time without penalty;
- Responses will be kept confidential and participant identities will not be made public; and
- Any reports about study findings will be based on grouped data and will not reveal identities or individual records.

## 11. How will confidentiality of the data be ensured?

Respondent data will be collected via a secure (SSL encrypted) web-based survey interface and stored on a centralized server under the control of SoundRocket in Ann Arbor, Michigan. Identifying information and survey responses will be kept in separate databases to minimize risk of identifiers being linked with survey responses. Respondent contact information is maintained only for executing the study (i.e., contacting respondents and supporting their participation) and to ensure that the study’s scientific sample remains intact. The final dataset provided to the research team for analysis will not have any unique identifiers. Members of the research team who have access to identifying information are required to maintain confidentiality through employment contracts, pledges of confidentiality, and through oversight of any relevant IRB reviews.

Servers are secured with physical (locked doors), logical (passwords), and encryption technologies to ensure that the data are safe. All IT resources are managed at above industry standard levels. Additionally, all processes are designed with confidentiality in mind. No steps are taken that will increase the risk of confidentiality breach beyond what is essential for the conduct of the study.



## **References**

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(<https://www.faseb.org/Portals/2/PDFs/opa/2015/10.23.15%20Sustaining%20Discovery%20for%20print%2031Aug15.pdf>).

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