

Appendix I. Survey Questions and Response Options

Questions About Your Institution

1. *What is the Carnegie Basic Classification of your institution?*

Select one.

RU/VH: Research Universities (very high research activity)

RU/H: Research Universities (high research activity)

DRU: Doctoral/Research Universities

Master's L: Master's Colleges and Universities (larger programs)

Master's M: Master's Colleges and Universities (medium programs)

Master's S: Master's Colleges and Universities (smaller programs)

Bac/A&S: Baccalaureate Colleges--Arts & Sciences

Bac/Diverse: Baccalaureate Colleges--Diverse Fields

Bac/Assoc: Baccalaureate/Associate's Colleges

Tribal: Tribal Colleges

2. *Are you at a public or private institution?*

Select one.

Public

Private

3. *Are you at a land grant institution?*

Select one.

Yes

No

4. *Approximately how many full-time faculty (tenured, tenure track, and research only) are at your institution?*

5. *What were the approximate research expenditures for your institution, or the campus for which you have responsibility, for the latest year data are available?*

6. *In which region is your institution located?*

Select one.

New England (CT, ME, MA, NH, RI, VT)

Mideast (DE, DC, MD, NJ, NY, PA)

Great Lakes (IL, IN, MI, OH, WI)

Plains (IA, KS, MN, MO, NE, ND, SD)

Southeast (AL, AR, FL, GA, KY, LA, MS, NC, SC, TN, VA, WV)

Southwest (AZ, NM, OK, TX)

Rocky Mountain (CO, ID, MT, UT, WY)

Far West (AK, CA, HI, NV, OR, WA)

Questions About You

7. *What is your gender?*

Select one.

Female

Male

Prefer not to disclose

8. *Are you Hispanic or Latino?*

Select one.

Yes

No

Prefer not to disclose

9. *Please specify your race (select all that apply).*

Select all that apply.

American Indian or Alaska Native- (A person having origins in any of the original peoples of North and South America (including Central America), and who maintains a tribal affiliation or community attachment.)

Asian- (A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.)

Black or African American- (A person having origins in any of the Black racial groups of Africa – includes Caribbean Islanders and other of African origin.)

Native Hawaiian or Other Pacific Islander- (A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.)

White- (A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.)

Prefer not to disclose

10. Please list your highest degree attained (e.g., M.S., Ph.D.) and the year in which you received it.

Terminal Degree:

Year:

11. In what discipline is this degree? (Select all that apply)

Select all that apply.

Agriculture, Agriculture Operations, and Related Sciences

Architecture and Related Services

Area, Ethnic, Cultural, Gender, And Group Studies Basic Skills and Developmental/Remedial Education

Biological and Biomedical Sciences

Business, Management, Marketing, and Related Support Services

Citizenship Activities

Communication, Journalism, and Related Programs

Communications Technologies/Technicians and Support Services

Computer and Information Sciences And Support Services

Construction Trades Education

Engineering

Engineering Technologies and Engineering-Related Fields

English Language and Literature/Letters

Family and Consumer Sciences/Human Sciences

Foreign Languages, Literatures, and Linguistics

Health Professions and Related Programs

Health-Related Knowledge and Skills

High School/Secondary Diplomas and Certificates

History

Homeland Security, Law Enforcement, Firefighting and Related Protective Services

Interpersonal and Social Skills

Legal Professions and Studies

Leisure and Recreational Activities

Liberal Arts and Sciences, General Studies and Humanities

Library Science

Mathematics and Statistics

Mechanic and Repair Technologies/Technicians

Military Science, Leadership and Operational Art

Military Technologies and Applied Sciences

Multi/Interdisciplinary Studies

Natural Resources and Conservation

Parks, Recreation, Leisure, and Fitness Studies

Personal and Culinary Services

Personal Awareness and Self-Improvement

Philosophy and Religious Studies

Physical Sciences

Precision Production

Psychology

Public Administration and Social Service Professions

Residency Programs

Science Technologies/Technicians

Social Sciences

Theology and Religious Vocations

Transportation and Materials Moving

Visual and Performing Arts

Questions About Your Professional Experience

12. *What non-academic administrative positions did you hold prior to your current position? (Select all that apply.) Select all that apply.*

Vice President/Vice Chancellor for Research

Associate or Assistant Vice President/Vice Chancellor for Research

Graduate Dean/Graduate Program Director

Associate or Assistant Graduate Dean/Associate Graduate Program Director

Chief Technology Transfer/Economic Development Officer

Associate or Assistant Technology Transfer/Economic Development Officer

No Administrative title

Other (*please specify*):

13. *How long (in years) did you hold your most senior administrative position?*

Select one.

Less than 1 year

1 year

2 years

3 years

4 years

5 years

6 years

7 years

8 years

9 years

10 years

11 years

12 years

13 years

14 years

15 years

16 years

17 years

18 years

19 years

20 years

More than 20 years

14. *What academic positions have you held throughout your career? For each title indicate whether you have held the position in the past or presently hold. Select all that apply.*

Associate Professor

Professor

Department Chair/Director or Associate Chair/Director

Dean

Associate Dean

Center Director or Associate Director

Assistant, Associate or Vice Provost

Endowed Professor or Chair

Program Officer

No Academic Title

Other Academic Title not listed above: (Please specify and indicate whether you currently hold or previously held the position)

15. *What administrative title(s) do you currently hold?*

Select all that apply.

Vice President/Vice Chancellor for Research

Graduate Dean/Graduate Program Director

Chief Technology Transfer/Economic Development Officer

Other (*please indicate*):

16. *How long (in years) have you held your current position(s) as VPR/VCR?*

Select one.

Less than 1 year

1 year

2 years

3 years

4 years

5 years

6 years

7 years

8 years

9 years

10 years

11 years

12 years

13 years

14 years

15 years

16 years

17 years

18 year

19 years

20 years

More than 20 years

17. *How long do you plan to remain in your current position?*

Select one.

1 year or less

2 to 3 years

4 to 5 years

6 to 7 years

8 or more years

18. *What career path do you plan to pursue after you leave your current position?*

Select all that apply

President

Provost

Teaching Faculty

Research Faculty

College Dean

Same position at a different institution

Other (please describe):

None (I plan to remain in this position for the rest of my career)

19. *On how many professional Boards, Commissions, Committees, and Councils external to your institution do you currently serve? Select one.*

0

1

2

3

4

5 or more

Questions about the Structure of your Current Position

20. *To whom (what position) do you directly report?*

Select all that apply.

President/Chancellor

Vice President for Academic Affairs/Provost

Vice Chancellor for Research

Graduate Dean

Other (*please specify*):

21. *How many people are in your research VPR/VCR organization? Enter a number.*

22. *How many people report directly to you? Enter a number.*

23. *Which of the following campus functions are included in your portfolio of responsibilities? (Check all that apply) Select all that apply.*

Human research protections - Institutional Review Board (IRB)

Environmental Health and Safety

Radiation and Laboratory Safety

Export controls

Economic/technology development

Patenting/licensing

Research communications

Institutional Animal Care and Use Committee (IACUC)

Graduate school/college

Sponsored programs, pre-award services

Sponsored programs, post-award services

Research development

Philanthropy

Undergraduate Research

Private Industry Relations

University Press

Research Center/Campus

Budget/Strategic Planning

Federal Relations

External Funding

Other (*please specify*):

24. *Do you have a 501(c)3 non-profit organization, such as a research corporation or center, in your portfolio that you are responsible for running, or that reports directly to you?*

Select one.

Yes

No

25. *Do you have purview over a health campus/organization?*

Select one.

Yes

No

Other (please specify):

26. *Do you have purview over a veterinary medicine campus/organization?*

Select one.

Yes

No

Other (please specify):

27. *How much flexibility do you have with regard to your budget, i.e., to invest in research and/or graduate education? Select one.*

1 - No Flexibility

2 - Not Much Flexibility

3 - Some Flexibility

4 - Considerable Flexibility

5 - Complete Flexibility

28. *Is the size of your budget linked to institutional indirect cost recovery?*

Select one.

Yes

No

Other (please specify):

29. What percentage of indirect cost recovery contributes to your budget? (select one) Select one.

1-20%

21-40%

41-60%

More than 60%

30. What is the approximate dollar amount of your VPR/VCR yearly budget?

*For computing the mean CRO yearly operating budget and proportion of total research expenditures made up of CRO yearly operating budget, the midpoint of each category was used.

Select one.

Less than \$1 Million

\$1 Million to \$5 Million

\$5 Million to \$10 Million

\$10 Million to \$20 Million

\$20 Million to \$30 Million

\$30 Million to \$40 Million

\$40 Million to \$50 Million

\$50 Million to \$60 Million

\$60 Million to \$70 Million

\$70 Million to \$80 Million

\$80 Million to \$90 Million

\$90 Million to \$100 Million

\$100 Million to \$200 Million

\$200 Million to \$300 Million

\$300 Million to \$400 Million

\$400 Million to \$500 Million

More than \$500 Million

31. *Do you have a role in funding startup packages for new faculty or professional research staff hires relative to other offices? Select one.*

Yes

No

32. *What percentage typically do you fund?*

Select one.

1-20%

21-40%

41-60%

More than 60%

33. *What is your role in deciding whether cost sharing should be provided to a given grant proposal submission? Select one.*

1 - Not Responsible

2 - Partly Responsible

3 - Solely Responsible

34. *What is your role in providing money for grant proposal cost sharing relative to other offices once the decision to provide it has been made? Select one.*

1 - Not Responsible

2 - Partly Responsible

3 - Solely Responsible

35. *Do you have a role in funding retention packages relative to other offices?*

Select one.

Yes

No

36. *What percentage typically do you fund?*

Select one.

1-20%

21-40%

41-60%

More than 60%

37. *How much do you agree with the following statements?*

Select one per row.

1 - Strongly Disagree

2 - Disagree

3 - Neither Agree nor Disagree

4 - Agree

5 - Strongly Agree

I am very involved in budget planning at the university level.

I am very involved in strategic planning at the university level.

38. *Do you have an institution-wide strategic plan for research and/or graduate education? Select one.*

Yes

No

Other (*please specify*):

39. *Did the VPR/VCR (you or a predecessor) lead its creation?*

Select one.

Yes

No

40. *What are the primary goals of the strategic plan? (Choose all that apply.)*

Select all that apply.

Developing or growing research interactions with the private sector

Developing or growing undergraduate participation in research

Developing or growing diversity among research faculty and/or students (e.g., recruiting more international faculty and/or students)

Developing or growing diversity of fields of research (e.g., promoting new methodologies and fields of research represented at institution)

Developing or growing amount of multidisciplinary research

Obtaining more external funding from federal agencies

Developing or growing research interactions with non-profit foundations

Linking research with philanthropic giving to your institution

Developing or growing applied research and development

Other (*please specify*):

41. *Do you have an institution-wide strategic plan for undergraduate research?*

Select one.

Yes

No

42. *Did the VPR/VCR (you or a predecessor) lead its creation?*

Select one.

Yes

No

43. *How much do you agree with the following statements?*

Select one per row.

1 - Strongly Disagree

2 - Disagree

3 - Neither Agree nor Disagree

4 - Agree

5 - Strongly Agree

I have control over the allotment of space and facilities for research.

44. *During the past 10 years, how many people have held your position? Please begin with the most recent, and list the duration of each person and their disciplinary expertise, if possible, even if the office changed in structure).*

Questions about Training

45. *How much do you agree with the following statements?*

Select one per row.

1 - Strongly Disagree

2 - Disagree

3 - Neither Agree nor Disagree

4 - Agree

5 - Strongly Agree

I received formal or informal TRAINING that allowed me to be a competitive candidate for my current position(s).

I received formal or informal PERSONAL MENTORING that allowed me to be a competitive candidate for my current position(s).

46. *What type(s) of training/mentoring and from what source(s)?*

47. *What other events, activities or experiences were instrumental in enabling you to attain your current position(s)?*

48. *Have you participated in the formal APLU Orientation program for new research officers and graduate deans?*

Select one.

Yes

No

49. *How helpful did you find the APLU orientation (the formal orientation program for new research officers and graduate deans)?*

Select one.

1 - Very Unhelpful

2 - Unhelpful

3 - Neither Helpful nor Unhelpful

4 - Helpful

5 - Very Helpful

50. *What was particularly helpful about the APLU orientation, and what would have made it more helpful? (If you did not attend, please leave this question blank)*

51. *How much mentoring of potential future VPRs have you or your institution been providing during the past 3 years?*

Select one.

1 - None

2 - Very Little

3 - A Moderate Amount

4 - A Great Deal

52. *How much do you agree with the following statement?*

Select one per row.

1 - Strongly Disagree

2 - Disagree

3 - Neither Agree nor Disagree

4 - Agree

5 - Strongly Agree

The opportunities for professional development I receive at my institution are helping me to excel in my current position.

53. *Would you accept the position(s) you now hold if offered it (them) today? Why or why not?*

Current state of the VPR position

For the next two screens we'd like to gain information about your perception of your position. For the first we'll focus on knowledge and experience, for the second we'll focus on skills.

54. *Of the KNOWLEDGE/EXPERIENCE listed below, rank-order the top 3 most important knowledge/experience required in order to effectively carry out your current role as a research VP/VCR at your university.*

Held a previous position at a state or federal agency, or private foundation

Previously held or currently hold a position on key state or federal agency committees or boards

Participated in policy making activities at the institutional, state or national levels

Held a position within a private company

Understanding of how to develop and/or sustain collaboration between the university and other organizations/institutions

Understanding of how to develop and/or sustain collaboration between the university and companies/corporations

Understanding of how to develop and/or support strategic research areas and/or teams

Understanding of how to develop and/or sustain programs

Understanding national research priorities

Understanding personnel management

Regulatory and compliance knowledge

Legal knowledge (e.g., intellectual property, export controls)

Understanding university culture

Understanding the culture and policies of grant-issuing organizations (e.g., NSF, NIH, private foundations, etc.)

Understanding university-government relations

Basic knowledge of all fields of research at the university

Other (*please specify*)

55. *Of the SKILLS listed below, rank-order the top 3 most important skills required in order to effectively carry out your current role as a research VP/graduate dean.*

Active listening

Critical thinking

Time management

Strategic planning

Leadership

Supervision

Ability to influence stakeholders (e.g., President, fellow Deans, Trustees, etc.)

Negotiation

Ability to gain credibility in eyes of faculty

Teamwork

Conflict resolution

Communication/media/public relations

Successful grant-writing

Managing large budgets

Other (*please specify*)

56. *Please list the top 3 knowledge/skills/experiences that will be needed to be successful at this position in the NEXT 3 to 5 years. Please list them in order of importance, with the knowledge/skill/experience that will be most important listed first.*

57. *How much do you agree with the following statement?*

Select one per row.

1 - Strongly Disagree

2 - Disagree

3 - Neither Agree nor Disagree

4 - Agree

5 - Strongly Agree

My responsibilities have changed during my time in the VPR/VCR position.

58. *What new challenges, responsibilities, or roles has your position taken on recently?*

Select all that apply.

Human research protections - Institutional Review Board (IRB)

Environmental Health and Safety Radiation and Laboratory Safety

Export controls

Economic development

Technology development

Patenting/licensing

Research communications

Institutional Animal Care and Use Committee (IACUC)

Graduate school/college

Sponsored programs, pre-award services

Sponsored programs, post-award services

Research development

Undergraduate Research (funded with research grants)

Undergraduate Research (unfunded by research grants)

Philanthropy

Private Industry Relations

University Press

Research Center/Campus

Foundation relations

Development

Online-Education

Globalization/Internationalism

Budget/Strategic Planning

Federal Relations

Crowdfunding

Commercialization of university research

Export control

Graduate student unions

Dotted reporting lines

Other (*please specify*):

59. *Please list the top 3 emerging trends or challenges for VPRs. Please list them in order of importance, with the knowledge/skill/experience that will be most important listed first.*

60. *What have been the greatest challenges of your position since being appointed to it? Rank order top 3.*

Insufficient internal funding

Insufficient external funding

Insufficient importance placed on research by the university

Ineffective reporting structure

Declining federal budgets

Too many activities for one person

Burdensome federal compliance regulations

Insufficiently bold administration

Faculty who are insufficiently bold and unwilling to take risks

Lack of rewards for research

Difficult political atmosphere in the university

Limitations in my preparation for the position

Other not listed above: *(please specify)*

61. *What have been the greatest rewards of your position? Rank order the top 3.*

Helping faculty achieve their goals

Helping students achieve their goals

Seeing advances made in the scholarly enterprise

Helping create jobs

Building infrastructure for future research

Seeing society benefit through the university's research efforts

Fundraising for research projects and activities

Other not listed above: *(please specify)*

62. *What changes should be made in your position(s) to improve overall effectiveness?*

63. *At your institution, how many people who held the VPR position have later become Provost or President?*

Succession Planning

64. *In the past, how has your university typically filled the VPR position?*

Select one.

1 - Only Internally

- 2 - Mainly internally, with some search for external candidates
- 3 - Equal focus on internal and external candidates
- 4 - Mainly externally, with some search for internal candidates
- 5 - Only Externally

65. *How much do you agree with the following statement?*

Select one per row.

- 1 - Strongly Disagree
- 2 - Disagree
- 3 - Neither Agree nor Disagree
- 4 - Agree
- 5 - Strongly Agree

My institution has a succession plan or clear path to developing the background needed for someone to attain my current position.

66. *What actions and resources would best prepare VPRs for the expected challenges and responsibilities of the future? [open-ended]*