



collaborative on academic  
careers in higher education

## Faculty Retention & Exit Survey

Survey Administration Toolkit - University of California

rev. 20220818

## TIMELINE

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### Survey Launch Dates and Reminders

<i>Population Files Due:</i>	September 14 for launch variables (upload files to Box folder)
<i>Launch:</i>	Week of October 24 (institutional endorsement and COACHE invitation)
<i>Reminders:</i>	Four reminders
<i>Survey Close:</i>	December 12

## CHECKLIST

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### Conversations and Signatures

- Submit your signed Participation Agreement, including the Statement of Data Confidentiality (SDC).* Your SDC includes an option to “refuse receipt of unit-level data.” Due to the sensitive nature of Faculty Retention and Exit Survey data, **we strongly recommend that you do not receive results at the unit-level.** If you believe that (a) you qualify for receipt of such confidential data, and (b) you have a convincing case that doing so will not raise alarm among your faculty, then arrange a conversation with a COACHE representative, immediately. (Additional IRB steps must be taken that could delay your survey launch.) If you wish to keep such data in COACHE’s hands only, please mark the appropriate line on the SDC. (See [Appendix A](#).)
- Identify the colleagues whose assistance is essential.* Depending on the existing procedures and capacity at your campus, you may need to involve only one or as many as a dozen administrators to build your Population File. A typical, “core” group might require only the Provost or Vice Provost for Faculty and a Director or Assistant Director of Institutional Research (or of “Academic Personnel”). Some universities (e.g., where information about departures and retentions is dispersed) will rely more on Deans and Associate Deans. Examples of data collection forms/templates will be made available separately.
- With your group, determine which faculty populations you wish to survey.* COACHE requires that you include retentions and voluntary departures among tenure-stream faculty, but there are other appointment types that you may include at your discretion. Pre-emptive retentions can be included if your institution can identify them. Those faculty are routed through a shorter version of the instrument. (Note: If your medical school or health sciences center wishes to receive its own report and/or different comparison groups, it must participate as its own “institution” by signing a separate Participation Agreement.) (See [Building Your Population File](#).)
- Speak with a representative of your Institutional Review Board (IRB) to determine if review is necessary.* When it comes to IRB, “better safe than sorry.” Although COACHE has obtained approval from Harvard’s Committee on the Use of Human Subjects, your local IRB may require you to complete additional forms. Reach out to them with our approval letter and complete this process as soon as possible. Then, notify COACHE when your IRB decision is made. (See [Complying with Institutional Review Boards](#).)

### The Population File and Announcement Message

- Start compiling your Master Population File.* While the numbers of eligible faculty are few, getting all the information COACHE needs may require several phone calls and emails. Please, start this process as soon as you know you will participate in the survey. Trust us: each year, this process will get simpler. (See [Understanding the Department-to-Academic Area Crosswalk](#) and [Building the Master Population File](#).)

- *Ask a senior administrator in faculty affairs to review and approve your Master Population File.* In our experience, some individuals identified as technically eligible are not appropriate to include in this study. Always ensure that the final population has been vetted by someone with knowledge of, for example, tenure denials and “confidential negotiated settlements.”
- *Upload your Master Population File.* When you are ready to deliver your file, upload the file to the UCOP Academic Personnel and Programs Box folder. If you have not yet received an invitation to upload to the Box folder, please contact Janiene Thiong (janiene.thiong@ucop.edu) for instructions. APP staff will review files for completeness before forwarding them to COACHE. **Do not email any faculty data.**
- *If you plan to customize your endorsement letter, send it to COACHE for our review/ approval.* Response rates are improved when a university official—usually a president, provost or vice provost—vouches for COACHE’s study, reinforces the confidentiality of responses, and affirms a commitment to action. IRB-approved templates are included in the appendix of this toolkit, but you may personalize the message to some extent—and with COACHE review. **Do not offer any “incentives” to survey completers.** COACHE enters all survey completers into a drawing for an Apple Watch. Additional completion incentives are outside the scope of the current IRB agreement. (See [Appendix](#).)

### Launching the survey

- *Wait for COACHE’s “green light” to release your endorsement message.* We will send you an email when it’s time to begin the launch process. Remember: your endorsement message must be sent *only* to those faculty in your final population file, *not* to all faculty at your university!
- *Notify COACHE of returned or “bounced” emails.* Since you will be the first to contact these faculty, you will be the first to know if the email addresses you supplied in the Master Population File are valid. If any messages are returned to you, please notify COACHE along with the old and new addresses, if applicable.

### After launch

- *Start building next year’s Population File.* Now that you know what is expected of you, begin compiling your list of known departures and retentions. When COACHE requests that information for next year’s cycle, you will be ready to provide it.

## COMPLYING WITH INSTITUTIONAL REVIEW BOARDS (IRB)

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COACHE has completed its own IRB review through Harvard University's Committee on the Use of Human Subjects (CUHS). For the majority of COACHE member institutions, a copy of the Harvard approval letter 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 the CUHS letter is insufficient, consider these 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. Also, you will likely have to refuse receipt of identifiable data, such as would be provided in a unit-record data file. Your application for Exempt Status must be reviewed by an IRB 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 the appendices of this toolkit:
  - The Harvard University CUHS Study Approval
  - All email communication between COACHE and survey participants
  - Survey consent form/disclosure statements
- 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! **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 processing time. If it is necessary, COACHE is willing to work with your campus IRB committee to assist in the approval process.

All formal communication with faculty about survey participation must be approved by the IRB. 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 or pressure 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.

## THINKING ABOUT THE FACULTY RETENTION AND EXIT SURVEY POPULATION FILE

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### Deadlines

For an on-time launch of the Faculty Retention and Exit Survey, COACHE requires its UC partners to submit an eligible population file to UCOP APP by **September 14**.

### Getting started

In COACHE's experience, administrators often have to compile population file information from multiple sources. Some institutions have well-developed and centralized processes for tracking retentions and departures, while some institutions must seek out this information from deans or even department chairs. Even when data are available centrally, the information for the population file might be found in different systems (e.g. payroll, institutional research, etc.) For departures, most institutions must conduct Internet searches to discover or confirm the new institution and/or department for departing faculty in the population file. Fortunately, with so few faculty each year who leave or are retained, the workload is manageable.

### Internal reviews

Additionally, COACHE asks that partner institutions ask a Vice Provost, Provost, or other appropriate persons to approve the population file before sending it to COACHE. During the pilot, we discovered that some “confidential negotiated settlements” were included as voluntary resignations, though their circumstances are more like an involuntary resignation. Also, a few institutions included faculty who had been denied tenure and resigned during their terminal year of employment. These faculty are also ineligible for the survey. A Provost or other senior faculty affairs officer is likely to know which faculty in the file left due to situations that would make them ineligible for this study. They should be removed from the Population File before the file is delivered to COACHE.

### “Why do you need that variable?” Rationale for use and analysis of faculty administrative data

Our interviews and subsequent meetings with academic leaders and faculty have revealed local, state, and national contexts for a university's interest in gathering faculty departure and retention data. Most described the importance of these data in terms of the **costs** of even a single faculty member's departure. These costs are often expressed in terms of (a) investment in the search, hiring, and development of the faculty member; and (b) the contributions that person makes to the institution, now no longer to be realized.

The *investment* includes search and hiring costs such as advertising, search committee staff, travel for multiple candidates, relocation, and the start-up package. There may also be costs associated with spousal/partner hiring, especially of dual-academic couples. Once in place, professors generate direct and indirect costs for orientation and training, release time, and teaching and learning support.

The *contributions* include those tracked in research productivity metrics—numbers of journal articles, books, citations, research grants and the total value of those grants—as well as honorific awards from a faculty member's division, institution, discipline and elsewhere. Such honors might include commendations for teaching, mentorship, and service. Often escaping measurement, but nevertheless important, are the contributions of leadership that professors provide in their departments, on committees, task forces, and the like.

Beyond lost investment and contributions, faculty and administrators describe the problem of departures also as a matter of **equity**. Do some groups leave for reasons different than—or even as a result of—other groups? Might knowing the answer help us address their concerns? In addition to these concerns is the low morale departments suffer when they lose faculty stars and good colleagues, not to mention the loss of national reputation to academic programs, which might subsequently be ranked lower as a result of the loss.

**Therefore, though only a limited set of administrative variables are *required* for participation in the Faculty Retention and Exit Survey, COACHE requests that partner institutions provide additional data about your faculty when it is available.** Such data allow us to analyze *all* departures and retentions—not just your survey respondents—in relation to these institutional *investments* in faculty and faculty members’ *contributions* to their institution. Although no university is likely to have all of the administrative data requested in our instructions, we are asking that partner institutions, over time, develop the capacity to collect this information systematically.

We also invite high-capacity universities to recommend better alternative measures than those we request—provided that other universities might reasonably be expected to provide the same data.

## BUILDING THE POPULATION FILE

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The file that you deliver to COACHE in advance of the survey allows us to reach eligible faculty and gives us information critical to analyzing the results and understanding patterns of nonresponse.

### Eligible Survey Population

*Include the following appointment types:*

- Tenure-stream assistant, associate and full professors who are full-time

*... and optionally – selectively -- (see [Terms of Research Participation](#)):*

- Non-tenure-track “senate” (i.e. voting) faculty who are full-time

*... with the following employment status:*

- Was employed at your institution in the prior academic year (July 2021 – June 2022), but was no longer employed by your institution at the start of the current academic year (the “departures”)
- Renegotiated terms of employment in the prior year (July 2021 – June 2022) as a result of an outside offer (the “retentions”)
- Received preemptive retention actions (the “preemptives”) in the prior year (July 2021 – June 2022) without presenting an outside offer, if known

*... with the following separation types:*

- Voluntary resignations
- Retirements who go on to continued full-time employment in the academy (if known)

*Do not include:*

- Faculty in their terminal year after being denied tenure
- Senior administrators, e.g., Dean, Assistant Dean, Associate Provost (but chairs may be included)
- “Natural” retirements, that is, who are not engaged in comparable employment elsewhere
- Involuntary separations (including confidentially negotiated settlements and tenure denials)
- Faculty who were retained or departed prior to July 1 of the most recently completed academic year (2021- 22), even if their official separation date may be within the eligible range. Faculty are only eligible for the survey if they left or decided to stay within the eligibility window (i.e., between July and June of the prior academic year).

### Format and content:

Prepare the database in Excel format and only include faculty who meet the above eligibility criteria. The following data dictionary describes the required (R), important (I), and optional (O) variables that participating institutions will prepare. The first row should include the headers listed under the “Variable” column in the table below. Accepted values for rows following the header row should correspond to their column labels. For “Academic Area” (acarea), please follow the instructions provided later in this toolkit.

*When formatting the Excel file, be certain to format all cells as text, not numbers. Formatting as numbers can result in formatting problems, such as when the value begins with a zero.*

### Faculty Retention & Exit Study Population Variables

Group Category	Variable	Description	Value labels or examples	(N)umeric/ (S)tring	(R)eq (I)mp (O)pt
0_Sample	localid	Record ID number from campus administrative personnel data. This is a unique identifier (NOT SSN!) that will allow COACHE to link each record to additional, faculty-level data from your campus at a later date.	var.	N	R
1_Institution	institution	Partner institution, i.e., your institution, as the name would appear in an official document.	e.g., University of California Los Angeles	S	R
1_Institution	nickname	Nickname of partner institution, as it would appear in an email to faculty.	e.g., UCLA	S	R
1_Institution	unitid	IPEDS "Unit I.D." of partner institution	000001-999999	N	R
1_Institution	school	School, College, or Division of partner institution (if applicable). Exclude eponyms (e.g., "Government," not "Kennedy School of Government").	e.g., Arts & Sciences	S	R
1_Institution	dept	Department of partner institution (if applicable). Avoid acronyms like "MCB". Exclude "Department of".	e.g., Molecular and Cellular Biology	S	R
1_Institution	dept_NRC	NRC Program ID of department/program at partner institution, if applicable (see Excel file in the toolkit folder for details)	00000000-99999999	N	O
2_Name	lname	Last name / Surname of faculty member.		S	R
2_Name	fname	First name of faculty member (and middle name, if necessary)		S	R
2_Email	email	Current primary email address. Please search exhaustively for a current email for departures. (COACHE is not responsible for locating email addresses. Please work with Department Chairs to locate individuals who have left the institution).		S	R

Group Category	Variable	Description	Value labels or examples	(N)umeric/ (S)tring	(R)eq (I)mp (O)pt
2_SurveyPath	path	Departure, Retention, and Preemptive Retention categories will determine the survey pathway that respondents receive.	1 = Left Partner Institution (“departure,” non-retiree) 2 = Received external offer and decided to stay at partner institution (“retention”) 3 = Received a preemptive retention (“preemptive”)	N	R
3_Demographic	race	Racial/ethnic identification	1 = Asian or Asian American 2 = White (non-Hispanic) 3 = Black or African American 4 = Hispanic or Latino/a 6 = More than one race/ethnicity 7 = Pacific Islander or Native Hawaiian 8 = Middle Eastern or North African 9 = American Indian or Native Alaskan	N	R
3_Demographic	gender	Gender identification	1 = Woman or Trans Woman 2 = Man or Trans Man 4 = Genderqueer/Gender non-conforming 91 = Not listed above	N	R
3_Demographic	citizen	Citizenship status	1 = US Citizen 3 = Permanent Resident 4 = A visa holder (F-1, J-1, H1-B, A, L, G, E, and TN) 91 = Other	N	R
3_Professional	rank	Rank <i>(at time of external offer)</i>	1 = Instructor/Lecturer; 2 = Assistant Professor 3 = Associate Professor 4 = Full Professor 5 = Emeritus 9 = Other	N	R
3_Professional	tenure	Tenure status <i>(at time of external offer)</i>	1 = Not tenured, not on tenure track 2 = Not tenured, on tenure track 3 = Tenured	N	R
3_Professional	title_primary	Primary title(s) <i>(at time of external offer)</i>		S	I

Group Category	Variable	Description	Value labels or examples	(N)umeric/ (S)tring	(R)eq (I)mp (O)pt
3_Professional	title_admin	Title for any administrative appointment ( <i>at time of external offer</i> )	e.g., Center Director, Department Chair	S	O
3_Professional	yearhire	Year of hire at partner institution	YYYY	N	R
3_Professional	apptyear	Year in which the most recent change in tenure or rank occurred. If a faculty member is pre-tenure/Assistant rank, then this would be the same as the year of hire.	YYYY	N	R
3_Professional	cip	Classification of Instructional Programs code from NCES (see <a href="https://nces.ed.gov/ipeds/cipcode/">https://nces.ed.gov/ipeds/cipcode/</a> ).	00.0000 – 99.9999	S	R
3_Professional	acarea	COACHE “Academic Area” code. (See below.)	11 - 24	N	R
3_Professional	clinical	Clinical status (at time of external offer)	0 = None 1 = Clinical faculty 2 = Adjunct 3 = In residence 4 = Other	N	R
3_Professional	clinical_loc	Clinical site	e.g., Midtown Clinic - West	S	O
3_Professional	employactiondate	Date of relevant employment action (e.g., separation, retention, termination)	YYYYMMDD	N	R
4_Investment	salary_annual	Salary (annualized) prior to departure/retention		N	R
4_Investment	startup	Startup funds (total)		N	I

Group Category	Variable	Description	Value labels or examples	(N)umeric/ (S)tring	(R)eq (I)mp (O)pt
5_Contribution	teachingload	Number of courses taught in most recent complete academic year		N	O
5_Contribution	grants_number	Number of grants from external sources in past 5 years		N	O
5_Contribution	grants_value	Total value of grants from external sources in past 5 years		N	O
5_Contribution	aa_quintile	Academic Analytics Productivity Quintile (if a client of Academic Analytics)	1 = First Quintile 2 = Second Quintile 3 = Third Quintile 4 = Fourth Quintile 5 = Fifth Quintile	N	O
5_Contribution	aa_fspi	Academic Analytics Faculty Scholarly Productivity Index, expressed as a z-score (if a client of Academic Analytics)	e.g., -0.97	N	O
99_NewInstitution	new_org	Current organization of employment (Departures) or recruiting/offering institution, if known (Retentions).	e.g., University of North Carolina at Chapel Hill	S	R
99_NewInstitution	new_title	Title at new organization, upon arrival		S	O
99_NewInstitution	new_rank	Rank at new organization, upon arrival	1 = Instructor/Lecturer; 2 = Assistant Professor 3 = Associate Professor 4 = Full Professor 5 = Emeritus 9 = Other	N	I

Group Category	Variable	Description	Value labels or examples	(N)umeric/ (S)tring	(R)eq (I)mp (O)pt
99_NewInstitution	new_adminappt	Administrative appointment at new organization, upon arrival	0 = None 1 = President or Chancellor 2 = Chief Academic Officer 3 = Dean or Division Chief 4 = Vice, Associate, Assistant Provost 5 = Associate, Assistant Dean 6 = Department Head or Chair 7 = Center or Program Director 10 = Other 98 = Missing/Don't Know	N	I
99_NewInstitution	new_tenure	Tenure status at new organization, upon arrival	1 = Not tenured, not on tenure track 2 = Not tenured, on tenure track 3 = Tenured	N	I
99_NewInstitution	new_school	School, College, or Division of new organization (Departures) or of offering/recruiting organization (Retentions) (if applicable). Exclude eponyms (e.g., "Government," not "Kennedy School of Government").	e.g., Arts & Sciences	S	I
99_NewInstitution	new_dept	Department of new organization (Departures) or of offering/recruiting organization (Retentions),if applicable. Exclude "Department of".	e.g., Molecular and Cellular Biology	S	I
99_NewInstitution	new_NRC	NRC Program ID of department/program at new organization (Departures) or of offering/recruiting organization (Retentions), if applicable. (see Excel file in the toolkit folder for details)	00000000-99999999	N	O

## UNDERSTANDING THE DEPARTMENT-TO-ACADEMIC AREA CROSSWALK

The COACHE analytical 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 fourteen 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
- Interdisciplinary Department/Division – STEM
- Interdisciplinary Department/Division – Non-STEM

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

<b>11</b> Humanities	<b>18</b> Agriculture/Natural Resources/Environmental Sci.
<b>12</b> Social Sciences	<b>19</b> Business
<b>13</b> Physical Sciences	<b>20</b> Education
<b>14</b> Biological Sciences	<b>21</b> Medical Schools & Health Professions
<b>15</b> Visual & Performing Arts	<b>22</b> Other Professions (e.g. Law, Journalism)
<b>16</b> Engineering/Computer Science/Math/Statistics	<b>23</b> Interdisciplinary Department/Division - STEM
<b>17</b> Health & Human Ecology	<b>24</b> Interdisciplinary Department/Division - Non-STEM

*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

**APPENDIX A: STATEMENT OF DATA CONFIDENTIALITY (see [participation agreement](#))**

COACHE researchers take 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.

All Data File recipients must manage any Data File according to expectations for High-Risk Confidential Information “Level 3” as described by the Harvard University Information Security Policy (<http://policy.security.harvard.edu/level-3>). 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: \_\_\_\_\_

\_\_\_\_\_ Initial here if you, on behalf of Participating Institution, are refusing receipt of unit-level data.

***(Refusal is strongly recommended for all Faculty Retention & Exit Survey partners.)***

***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

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**HARVARD**

Human Research Protection Program

Harvard University-Area  
Committee on the Use of Human Subjects  
44-R Brattle, Suite 200 (2nd floor)  
Cambridge, MA 02138  
IRB Registration - IRB00000109  
Federal Wide Assurance - FWA00004837

### Notification of Continuing Review Approval

December 7, 2021

R Benson  
todd\_benson@gse.harvard.edu

**Protocol Title:** Collaborative on Academic Careers in Higher Education (COACHE)  
**Principal Investigator:** R Benson  
**Protocol #:** 11858  
**Submission #:** CR-11858-10  
**Funding Source:** Regents of the University of California (Closed)  
**Review Date:** 12/7/2021  
**CR Effective Date:** 12/18/2021  
**Expiration Date:** 12/17/2022  
**IRB Review Type:** Expedited  
**IRB Review Action:** Approved

The Institutional Review Board (IRB) of the Harvard University-Area has approved this Continuing Review. **Please note that the approval for this protocol will lapse on 12/17/2022.**

The documents that were finalized for this submission may be accessed through the IRB electronic submission management system at the following link: [11858](#)

The IRB made the following determinations:

- Risk Determination: No greater than minimal risk

Please contact me at 617-496-2146 or [jonathan\\_girard@harvard.edu](mailto:jonathan_girard@harvard.edu) with any questions.

Sincerely,

Jonathan Girard  
Manager, Harvard University Area IRB

## APPENDIX C: ENDORSEMENT MESSAGES FOR INSTITUTIONAL PARTNERS

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### **DO NOT SEND THIS MESSAGE WITHOUT EXPLICIT APPROVAL FROM COACHE.**

#### **FOR DEPARTURES ONLY:**

Date: [DATE]  
Memo to: [FIRSTNAME] [LASTNAME], [RANK/TITLE]  
From: [NAME], Vice Provost AND/OR Faculty Governing Body Leader  
Subject: Faculty Exit Survey from [INSTITUTION\_NICKNAME] and COACHE

Dear Professor [LASTNAME],

I write to invite your participation in a brief, IRB-approved study of faculty who have recently left [INSTITUTION NICKNAME].

Ours is one of many universities participating in a broader effort to understand and improve the experiences of faculty members. As part of this effort, these campuses are partnering with the Collaborative on Academic Careers in Higher Education (COACHE), which has been conducting independent research in higher education from the Harvard Graduate School of Education since 2005. I am committed to doing all I can to use our findings to make [INSTITUTION NICKNAME] a better place to work for faculty like you. Your feedback would be important in helping us to attract and retain the best and brightest scholars and teachers.

[INSTITUTION NICKNAME] and COACHE are committed to the integrity of this survey and to safeguarding your privacy. The survey is completely confidential and will be handled through the COACHE project team. Your privacy would be maintained in all published and written data; your anonymity would be ensured in the broad, summary analysis that COACHE will share with our campus.

Participation is voluntary, of course, but would be much appreciated. Your personal link to participate will be emailed to you from COACHE in the coming days. COACHE will not use your name or email address for any purpose except for this research.

If you have any questions about this study, please contact [INSTITUTION CONTACT] at [EMAIL] or [PHONE], or COACHE at [coache\\_exit@gse.harvard.edu](mailto:coache_exit@gse.harvard.edu).

Sincerely,

[SIGNATURE]

For more information about COACHE's research on the faculty experience, visit the [COACHE website](#).

**DO NOT SEND THIS MESSAGE WITHOUT EXPLICIT APPROVAL FROM COACHE.**

**FOR RETENTIONS ONLY:**

Date: [DATE]  
Memo to: [FIRSTNAME] [LASTNAME], [RANK/TITLE]  
From: [NAME], Vice Provost AND/OR Faculty Governing Body Leader  
Subject: Faculty Retention Survey from [INSTITUTION\_NICKNAME] and COACHE

Dear Professor [LASTNAME],

I write to invite your participation in a brief, IRB-approved study of faculty who have been involved in a retention effort at [INSTITUTION NICKNAME].

Ours is one of many universities participating in a broader effort to understand and improve the experiences of faculty members. As part of this effort, these campuses are partnering with the Collaborative on Academic Careers in Higher Education (COACHE), which has been conducting independent research in higher education from the Harvard Graduate School of Education since 2005. I am committed to doing all I can to use our findings to make [INSTITUTION NICK] a better place to work for faculty like you. Your feedback would be important in helping us to attract and retain the best and brightest scholars and teachers.

[INSTITUTION NICKNAME] and COACHE are committed to the integrity of this survey and to safeguarding your privacy. The survey is completely confidential and will be handled through the COACHE project team. Your privacy would be maintained in all published and written data; your anonymity would be ensured in the broad, summary analysis that COACHE will share with our campus.

Participation is voluntary, of course, but would be much appreciated. Your personal link to participate will be emailed to you from COACHE in the coming days. COACHE will not use your name or email address for any purpose except for this research.

If you have any questions about this study, please contact [INSTITUTION CONTACT] at [EMAIL] or [PHONE], or COACHE at [coache\\_exit@gse.harvard.edu](mailto:coache_exit@gse.harvard.edu).

Sincerely,

[SIGNATURE]

For more information about COACHE's research on the faculty experience, visit the [COACHE website](#).

**DO NOT SEND THIS MESSAGE WITHOUT EXPLICIT APPROVAL FROM COACHE.**

**FOR PRE-EMPTIVE RETENTIONS ONLY:**

Date: [DATE]  
Memo to: [FIRSTNAME] [LASTNAME], [RANK/TITLE]  
From: [NAME], Vice Provost AND/OR Faculty Governing Body Leader  
Subject: Brief Faculty Survey from [INSTITUTION\_NICKNAME] and COACHE

Dear Professor [LASTNAME],

I write to invite your participation in a brief, IRB-approved study of faculty whose salary, benefits, or other conditions of employment at [INSTITUTION NICKNAME] have recently changed.

Ours is one of many universities participating in a broader effort to understand and improve the experiences of faculty members. As part of this effort, these campuses are partnering with the Collaborative on Academic Careers in Higher Education (COACHE), which has been conducting independent research in higher education from the Harvard Graduate School of Education since 2005. I am committed to doing all I can to use our findings to make [INSTITUTION NICK] a better place to work for faculty like you. Your feedback would be important in helping us to attract and retain the best and brightest scholars and teachers.

[INSTITUTION NICKNAME] and COACHE are committed to the integrity of this survey and to safeguarding your privacy. The survey is completely confidential and will be handled through the COACHE project team. Your privacy would be maintained in all published and written data; your anonymity would be ensured in the broad, summary analysis that COACHE will share with our campus.

Participation is voluntary, of course, but would be much appreciated. Your personal link to participate will be emailed to you from COACHE in the coming days. COACHE will not use your name or email address for any purpose except for this research.

If you have any questions about this study, please contact [INSTITUTION CONTACT] at [EMAIL] or [PHONE], or COACHE at [coache\\_exit@gse.harvard.edu](mailto:coache_exit@gse.harvard.edu).

Sincerely,

[SIGNATURE]

For more information about COACHE's research on the faculty experience, [visit the COACHE website](#).

## APPENDIX D: EMAIL COMMUNICATIONS FROM COACHE TO SURVEY PARTICIPANTS

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### INITIAL SOLICITATION EMAIL FOR DEPARTURES

SUBJECT\_LINE: Participate in the COACHE Faculty Exit Survey

Dear Prof. «lname»,

With the endorsement of Dr. «CAOlastname» at «institution», the Collaborative on Academic Careers in Higher Education (COACHE) at the Harvard Graduate School of Education invites your participation in a survey of faculty who have recently left «nickname».

The COACHE Faculty Exit Survey will help us understand why faculty choose to leave, how they were treated during their transition, and the potential impact of their departures. When we deliver the results in summary form to «nickname», we will advise academic administrators there to consider changes in policy and practice.

Your help is important to the success of this study, but your contribution is entirely voluntary. Should you choose to participate, you will have the right to discontinue the survey at any time and to refuse to answer specific questions. Your responses are strictly confidential in that nothing you say will be attributed directly to you for reporting purposes. Additional information about our commitment to your privacy (including IRB credentials) is available at the COACHE website.

Use the link below to access the survey, which you can complete online or by phone. THIS LINK IS UNIQUELY YOURS. TO PROTECT YOUR CONFIDENTIALITY, IT SHOULD NOT BE SHARED. «LINK»

Most faculty complete the questionnaire in less than 25 minutes. 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 (where permitted by state law and campus policy) into a drawing of survey respondents to receive an Apple Watch.

As a research project under IRB scrutiny, COACHE has conducted faculty surveys annually for more than 10 years to help partner institutions become more equitable and appealing places for faculty to do their best work. To learn more about our research, visit [coache.gse.harvard.edu](http://coache.gse.harvard.edu), where you can find answers to the most common questions about the survey and the impact that COACHE has had on institutions like yours.

For technical issues, please contact COACHE by email at [coachefaculty@abtassoc.com](mailto:coachefaculty@abtassoc.com).

On behalf of the faculty and administrators at «nickname», I hope you will take a few moments now to participate. Thank you for considering this invitation.

Sincerely,

R. Todd Benson, Ed.D.  
Executive Director and Principal Investigator  
The Collaborative on Academic Careers in Higher Education (COACHE)  
Harvard Graduate School of Education  
Cambridge, Massachusetts  
<http://coache.gse.harvard.edu>

## INITIAL SOLICITATION EMAIL FOR RETENTIONS

SUBJECT\_LINE: Participate in the COACHE Faculty Retention Survey

Dear Professor «lname»,

With the endorsement of Dr. «CAOlastname» at «institution», the Collaborative on Academic Careers in Higher Education (COACHE) at the Harvard Graduate School of Education invites your participation in a survey of faculty retention at «nickname».

The COACHE Faculty Retention Survey will help us understand academic workforce mobility and the comparative strengths and concerns of «nickname» in the faculty labor market. Why do faculty consider leaving, why do they stay, and what is the potential impact of their decision? When we deliver the results in summary form to «nickname», we will advise academic administrators there to consider changes in policy and practice.

Your help is important to the success of this study, but your contribution is entirely voluntary. Should you choose to participate, you will have the right to discontinue the survey at any time and to refuse to answer specific questions. Your responses are strictly confidential in that nothing you say will be attributed directly to you for reporting purposes. Additional information about our commitment to your privacy (including IRB credentials) is available at the COACHE website.

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

«LINK»

Most faculty complete the questionnaire in less than 25 minutes. 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 (where permitted by state law and campus policy) into a drawing of survey respondents to receive an Apple Watch. As a research project under IRB scrutiny, COACHE has conducted faculty surveys annually for more than 10 years to help partner institutions become more equitable and appealing places for faculty to do their best work. To learn more about our research, visit [coache.gse.harvard.edu](http://coache.gse.harvard.edu), where you can find answers to the most common questions about the survey and the impact that COACHE has had on institutions like yours.

For technical issues, please contact COACHE by email at [coachefaculty@abtassoc.com](mailto:coachefaculty@abtassoc.com).

On behalf of the faculty and administrators at «nickname», I hope you will take a few moments now to participate. Thank you for considering this invitation.

Sincerely,

R. Todd Benson, Ed.D.  
Executive Director and Principal Investigator  
The Collaborative on Academic Careers in Higher Education (COACHE)  
Harvard Graduate School of Education  
Cambridge, Massachusetts  
<http://coache.gse.harvard.edu>

## INITIAL SOLICITATION EMAIL FOR PRE-EMPTIVE RETENTIONS

**SUBJECT:** Participate in the COACHE Faculty Retention Survey

Dear Prof. «lname»,

With the endorsement of Dr. «CAOlastname» at «institution», the Collaborative on Academic Careers in Higher Education (COACHE) at the Harvard Graduate School of Education invites your participation in a survey of faculty who have recently had a change of compensation, benefits, or other conditions of employment at «nickname».

The COACHE Faculty Retention Survey will help us understand more about these changes and the potential impact of they have on your feelings about the university. When we deliver the results in summary form to «NICK», we will work closely with academic administrators there to consider changes in policy and practice.

Your help is important to the success of this study, but your contribution is entirely voluntary. Should you choose to participate, you will have the right to discontinue the survey at any time and to refuse to answer specific questions. Your responses are strictly confidential in that nothing you say will be attributed directly to you for reporting purposes. Additional information about our commitment to your privacy (including IRB credentials) is available at the COACHE website.

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

«LINK»

Most faculty complete the questionnaire in less than 25 minutes. 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 (where permitted by state law and campus policy) into a drawing of survey respondents to receive an Apple Watch Series 3.

As a research project under IRB scrutiny, COACHE has conducted faculty surveys annually for more than 15 years to help partner institutions become more equitable and appealing places for faculty to do their best work. To learn more about our research, visit [coache.gse.harvard.edu](http://coache.gse.harvard.edu), where you can find answers to the most common questions about the survey and the impact that COACHE has had on institutions like yours. For technical issues, please contact COACHE by email at [coache\\_exit@gse.harvard.edu](mailto:coache_exit@gse.harvard.edu).

On behalf of the faculty and administrators at «NICK», I hope you will take a few moments now to participate. Thank you for considering this invitation.

Sincerely,

R. Todd Benson, Ed.D.  
Executive Director and Principal Investigator  
The Collaborative on Academic Careers in Higher Education (COACHE)  
Harvard Graduate School of Education  
Cambridge, Massachusetts  
<http://coache.gse.harvard.edu>

For more information about COACHE's research on the faculty experience, visit the [COACHE website](#).

## REMINDER 1 FOR DEPARTURES

SUBJECT\_LINE: Reminder to Participate in the COACHE Faculty Exit Survey

Dear Prof. «lname»,

Recently, we sent you an invitation to participate in the COACHE Faculty Exit Survey, approved by academic leaders at «institution». Since our records indicate that your survey is incomplete, we are sending this reminder to complete your questionnaire by accessing the following link:

«Link1»

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

The data we are collecting offer a new approach to understanding faculty at «nickname». While your participation is voluntary, to encourage your trust in COACHE, we have made your confidentiality our greatest concern. We cannot overstate the value of your individual participation to obtain a high response rate and to make valid inferences about the reasons faculty choose to stay or leave «nickname».

Please take a moment at your earliest convenience to click on the link above. The survey should take less than 25 minutes to complete; at the end, you will be entered (where permitted by state law and campus policy) into a drawing of survey respondents to receive an Apple Watch.

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@abtassoc.com](mailto:coachefaculty@abtassoc.com).

Sincerely,

R. Todd Benson, Ed.D.  
Executive Director and Principal Investigator  
The Collaborative on Academic Careers in Higher Education (COACHE)  
Harvard Graduate School of Education  
Cambridge, Massachusetts  
<http://coache.gse.harvard.edu>

## REMINDER 1 FOR RETENTIONS and PRE-EMPTIVE RETENTIONS

### SUBJECT:

Dear Prof. «lname»,

Recently, we sent you an invitation to participate in the COACHE Faculty Retention Survey, approved by academic leaders at «institution». Since our records indicate that your survey is incomplete, we are sending this reminder to complete your questionnaire by accessing the following link:

«Link1»

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

The data we are collecting offer a new approach to understanding faculty at «Institution\_Nick». While your participation is voluntary, to encourage your trust in COACHE, we have made your confidentiality our greatest concern. We cannot overstate the value of your individual participation to obtain a high response rate and to make valid inferences about the reasons faculty choose to stay or leave «nickname».

Please take a moment at your earliest convenience to click on the link above. The survey should take less than 25 minutes to complete; at its conclusion, you will be entered (if permitted by state law and campus policy) into a drawing of survey respondents to receive an Apple Watch Series 3.

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 [coache\\_exit@gse.harvard.edu](mailto:coache_exit@gse.harvard.edu).

Sincerely,

R. Todd Benson, Ed.D.  
Executive Director and Principal Investigator  
The Collaborative on Academic Careers in Higher Education (COACHE)  
Harvard Graduate School of Education  
Cambridge, Massachusetts  
<http://coache.gse.harvard.edu>

For more information about COACHE's research into this area, visit the [COACHE website](#).

## REMINDER 2 FOR DEPARTURES

### SUBJECT:

Dear Prof. «lname»,

Please respond to the COACHE Faculty Exit Survey, designed and administered by researchers at the Harvard Graduate School of Education. You can complete your questionnaire by accessing the following link:

«Link»

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

Your participation is voluntary. However, the value of your individual voice cannot be overstated: with so few departures from «institution» each year, every response matters in our ability to analyze the experiences of faculty like you who leave their institutions.

The survey should take less than 25 minutes to complete. At the end, you will be entered (if permitted by state law and campus policy) into a drawing of survey respondents to receive an Apple Watch Series 3.

If you believe you have received this message in error, or if you wish to receive no further reminders, please contact [coache\\_exit@gse.harvard.edu](mailto:coache_exit@gse.harvard.edu).

With gratitude,

R. Todd Benson, Ed.D.  
Executive Director and Principal Investigator  
The Collaborative on Academic Careers in Higher Education (COACHE)  
Harvard Graduate School of Education  
Cambridge, Massachusetts  
<http://coache.gse.harvard.edu>

For more information about COACHE's research into the faculty experience, visit the [COACHE website](#).

## REMINDER 2 FOR RETENTIONS and PRE-EMPTIVE RETENTIONS

### SUBJECT:

Dear Prof. «lname»,

Please respond to the COACHE Faculty Retention Survey, designed and administered by researchers at the Harvard Graduate School of Education. You can complete your questionnaire by accessing the following link:

«Link»

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

Your participation is voluntary. However, the value of your individual voice cannot be overstated: with relatively few professors at «institution» invited to participate, every response matters in our ability to analyze the experiences of faculty like you who choose to stay at their institutions.

The survey should take less than 25 minutes to complete. At the end, you will be entered (if permitted by state law and campus policy) into a drawing of survey respondents to receive an Apple Watch Series 3.

If you believe you have received this message in error, or if you wish to receive no further reminders, please contact [coache\\_exit@gse.harvard.edu](mailto:coache_exit@gse.harvard.edu).

With gratitude,

R. Todd Benson, Ed.D.  
Executive Director and Principal Investigator  
The Collaborative on Academic Careers in Higher Education (COACHE)  
Harvard Graduate School of Education  
Cambridge, Massachusetts  
<http://coache.gse.harvard.edu>

For more information about COACHE's research into this area, visit the [COACHE website](#).

## REMINDER 3 FOR DEPARTURES

### SUBJECT:

Dear Prof. «lname»,

For the past several weeks, we have been conducting a multi-institutional study of faculty retention and exit endorsed by Dr. «CAOlastname» from «nickname».

The survey, fully administered and analyzed by COACHE researchers, will officially close at the end of this week, so this is your last chance to help us by sharing your perspectives on the academic workplace.

We are sending this **final reminder** to complete your survey by accessing the following link:

«Link»

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

Most respondents complete the survey in less than 25 minutes. Your participation will qualify you (if permitted by state law and campus policy) to be included a random drawing to receive an Apple Watch Series 3. More information about the survey is available at the link above.

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 [coache\\_exit@gse.harvard.edu](mailto:coache_exit@gse.harvard.edu).

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

For more information about COACHE's research on the faculty experience, visit the [COACHE website](#).

### REMINDER 3 FOR RETENTIONS and PREEMPTIVE RETENTIONS

Dear Prof. «lname»,

For the past several weeks, we have been conducting a multi-institutional study of faculty retention and exit endorsed by Dr. «CAOlastname» at «nickname».

The survey, fully administered and analyzed by COACHE researchers, will officially close at the end of this week, so this is your last chance to help us by sharing your perspectives on the academic workplace.

We are sending this **final reminder** to complete your survey by accessing the following link:

«Link»

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Most respondents complete the survey in less than 25 minutes. Your participation will qualify you (if permitted by state law and campus policy) to be included a random drawing to receive an Apple Watch Series 3. More information about the survey is available at the link above.

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 [coache\\_exit@gse.harvard.edu](mailto:coache_exit@gse.harvard.edu).

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

For more information about COACHE's research into this area, visit the [COACHE website](#).

## APPENDIX E: SURVEY DISCLOSURES

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### Version for Institutions **Not Receiving Unit Record Data** (See [Statement of Data Confidentiality](#))

*Study Title:*                    *The Collaborative on Academic Careers in Higher Education*  
*Researcher:*                    *R. Todd Benson, Ed.D.*  
*IRB Submission #:*            *11858*

Welcome, and thank you for considering participation in this research effort designed to understand faculty retentions and departures. We know that your time is valuable; we would greatly appreciate your assistance with this project.

#### **Participation is voluntary.**

It is your choice whether or not to participate in this research. If you choose to participate, you may change your mind and leave the study at any time. Refusal to participate or stopping your participation will involve no penalty.

#### **What is the purpose of this research?**

The purpose of this research is to understand the causes, costs and conduct of postsecondary faculty retention and departure. If you consent to participate, you will be asked to participate in the COACHE Faculty Retention and Exit Survey. This survey is designed specifically for faculty who received an external offer of employment or a preemptive retention action during the past academic year.

#### **What can I expect if I take part in this research?**

Your participation will involve your completion of this online questionnaire, which most people complete in less than 25 minutes.

#### **What are the risks and possible discomforts?**

There are no foreseen risks associated with participation in this study.

#### **Are there any benefits or compensation from being in this research study?**

We cannot promise any benefits to you or others from your taking part in this research. However, the researchers will be using the results to work with institutional partners (faculty and administrators) to improve the effectiveness of faculty recruitment, development, and retention activities.

#### **Incentive**

At the conclusion of this study, COACHE researchers will use the random number generator function in the SPSS statistical package to identify one individual from among all survey completers. If permitted by state law and campus policy, this participant will be contacted to receive an Apple Watch courtesy of COACHE. Odds of being selected vary depending upon the number of completed surveys; estimates at this time suggest the odds will be better than 1 in 2,000. The name will be identified soon after the start of the new year.

#### **If I take part in this research, how will my privacy be protected? What happens to the information you collect?**

We take your privacy seriously. The information with your name on it will be analyzed by the researchers and may be reviewed by people at Harvard responsible for ensuring that this research is done properly. 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.

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.

Some data may be put to use by researchers at COACHE for the purposes of scholarly publication. COACHE may also share individually deidentified data with researchers from other institutions for the purposes of scholarly publication. Researchers requesting to use these data are vetted by COACHE and are required to sign a Data Use Agreement which limits their use of the data. COACHE does not share individually identifiable data with researchers from other institutions. Some aggregated, deidentified reports and presentations will be shared with institutional administrators and faculty groups seeking to improve their academic workplaces.

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.

If you wish further information about privacy for the data at your institution, click here [[coache\\_exit@gse.harvard.edu](mailto:coache_exit@gse.harvard.edu)] to send an email message to COACHE. Any communication with COACHE is kept strictly confidential.

### **Special Notifications regarding GDPR and Study Subjects living in the European Union**

Harvard University (“Harvard”) is committed to protecting the confidentiality, integrity, security, and privacy of personal information with which we and those we work with come into contact when carrying out clinical trials.

Harvard has certain legal obligations relating to our collection and use of personal data and your rights in relation to your personal data. This Privacy Supplement, which is additional to the information you have received in the informed consent form you received when you enrolled in the study, describes how your Personal Information is shared between Harvard, your Study Site (if applicable), regulatory agencies and parties working on their behalf to conduct the study. “Personal Information,” as discussed in this Privacy Supplement, will include your name, demographic information, and the results of any tests, surveys or procedures described in the informed consent form. It may also include information about your race, ethnicity, gender, marital status, as well as prior and current employment status. This Privacy Supplement also describes your privacy rights. If you need any information on other data protection privacy matters, please refer to your informed consent form or contact us as described below.

### **Will my data be transferred outside of my home country?**

Your Personal Information will be treated in compliance with applicable data protection laws. Harvard and your Study Site are joint controllers of your Personal Information. Your Personal Information needed for the research will be saved, analyzed and, if necessary, transferred outside your Study Site. Before your Study Site transfers your Personal Information, your Study Site will replace your name with a unique code and remove information that directly identifies you. This is called your “Coded Information” in this form and is sometimes called “pseudonymised data” by data protection laws. In certain circumstances, your Study Site will be the data controller of your Personal Information, and Harvard will be the data controller of your Coded Information.

Harvard and some of the people using your Personal Information, including your Coded Information, may be based in countries other than your country, and may be based in the United States. Data privacy laws in other countries, including the United States, may not offer the same level of protection in those countries as the laws in your own country.

Your Study Site and people working with your Study Site will take steps to maintain the privacy of your Personal Information. If your Personal Information is transferred by your Study Site from the EU, EEA, and/or Switzerland to other countries that have not yet been found by European regulators to meet requirements for protection of Personal Information, your Study Site has in place standard EU data transfer agreements to protect your Personal Information. A copy of these standard data transfer agreements is available at: [EEAdatasubjectrequest@harvard.edu](mailto:EEAdatasubjectrequest@harvard.edu)

### **What rights do I have?**

It is an important part of protecting your privacy that you always retain certain rights in relation to the personal information you provide us with when participating in the clinical trial. Your rights are:

The right to access your Personal Information that is held about you by the study team. To ensure the integrity of the study, you will not be able to review some of the data until after the study has been completed. For example, if you are in a study that by its design has assigned you and other participants to a study group and that also by design does not tell the participants what group they are in, neither the researchers nor you will be able to know the study arm in which you participated until after the study is completely finished.

The right to correct or update your Personal Information if it is inaccurate.

The right to limit the collection and use of your Personal Information under certain circumstances (for example, if the information is inaccurate).

The right to receive your Personal Information in a structured, common computer format (for example, in a readable text electronic file or chart) for your own purposes or for giving it to others, as required by applicable data protection laws. You may not have the right to receive your Personal Information that has been used for public interest purposes (for example, for reporting incidents of disease to public health officials) or in the exercise of official authority vested in the Study Site or Harvard (for example, responding to information requests from public agencies or monitoring drug safety).

You have the right to request the deletion of your Personal Information. However, there are limits on the ability to honor a request to delete your Personal Information. Some or all of your Personal Information may be kept and used if deleting that Personal Information would seriously impair the study (for example, if deletion would affect the consistency of study results) or if your Personal Information is needed by Harvard or the Study Site to comply with legal requirements.

You have the right to file a complaint with a data protection authority ([http://ec.europa.eu/justice/data-protection/article-29/structure/data-protection-authorities/index\\_en.htm](http://ec.europa.eu/justice/data-protection/article-29/structure/data-protection-authorities/index_en.htm)).

If you wish to exercise any of the rights described above or have concerns about how your Personal Information is being handled, it is best to contact your Study Site's Data Protection Officer using the contact information provided by your Study Site and not Harvard. This is because generally Harvard usually holds only your Coded Information, which does not include your name or other information that can easily identify you. Therefore, in almost all cases, Harvard will not know who you are or have your name.

In all other cases, if you wish to exercise any of these rights, you must contact [EEAdatasubjectrequest@harvard.edu](mailto:EEAdatasubjectrequest@harvard.edu)

**What happens if I do not wish to continue with the study?**

As noted in the main consent document, you are free to stop taking part in this study at any time by telling the study team.

If you stop taking part in the study but do not withdraw your consent, your Personal Information will continue to be used in accordance with the Informed Consent Document you originally signed, this Privacy Supplement and applicable law. If you withdraw, no new information will be collected about you or from you by the study team, unless you have agreed to provide them.

If you decide to withdraw your consent:

You will no longer be able to participate in the study;

No new information or samples will be collected about you or from you by the study team;

The study team may still need to report any safety event that you may have experienced due to your participation in the study to your Study Site;

Your Personal Information, including Coded Information, that has already been collected up to the time of your withdrawal will be kept and used by the Study Site to guarantee the integrity of the study, and/or for any other purposes permitted under applicable data protection and privacy laws; and

Your Personal Information, including Coded Information, will not be used for further scientific research.

However, if permitted by applicable law, your Personal Information may be anonymized so that the information does not identify you personally, and such anonymized information may be used for further research.

**If I have any questions, concerns or complaints about this research study, who can I talk to?**

The researcher for this study is Dr. Todd Benson, who can be reached at *(617) 495-5285; Harvard Graduate School of Education, 50 Church Street, Cambridge, MA 02138; or [coache\\_exit@gse.harvard.edu](mailto:coache_exit@gse.harvard.edu)*, if you would like to talk to the research team, you think the research has harmed you, or you wish to withdraw from the study.

This research has been reviewed by the Committee on the Use of Human Subjects in Research at Harvard University. They can be reached at 617-496-2847; 1350 Massachusetts Avenue, Suite 935, Cambridge, MA 02138; or [cuhs@harvard.edu](mailto:cuhs@harvard.edu), if your questions, concerns, or complaints are not being answered by the research team; if you cannot reach the research team; if you want to talk to someone besides the research team; or if you have questions about your rights as a research participant.

Please print, take a screenshot, or otherwise save a copy of this consent page for your records.

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

I refuse to participate.

**Version for Institutions Receiving Unit Record Data** (See [Statement of Data Confidentiality](#))

*Study Title:* *The Collaborative on Academic Careers in Higher Education*

*Researcher:* *R. Todd Benson, Ed.D.*

*IRB Submission #:* *11858*

Welcome, and thank you for considering participation in this research effort designed to understand faculty retentions and departures. We know that your time is valuable; we would greatly appreciate your assistance with this project.

**Participation is voluntary**

It is your choice whether or not to participate in this research. If you choose to participate, you may change your mind and leave the study at any time. Refusal to participate or stopping your participation will involve no penalty.

**What is the purpose of this research?**

The purpose of this research is to understand the causes, costs and conduct of postsecondary faculty retention and departure. If you consent to participate, you will be asked to participate in the *COACHE Faculty Retention and Exit Survey*. This survey is designed specifically for faculty who received an external offer of employment or a preemptive retention action during the past academic year.

**What can I expect if I take part in this research?**

Your participation will involve your completion of this online questionnaire, which most people complete in less than 25 minutes.

**What are the risks and possible discomforts?**

There are no foreseen risks associated with participation in this study.

**Are there any benefits or compensation from being in this research study?**

We cannot promise any benefits to you or others from your taking part in this research. However, the researchers will be using the results to work with institutional partners (faculty and administrators) to improve the effectiveness of faculty recruitment, development, and retention activities.

**Incentive**

At the conclusion of this study, COACHE researchers will use the random number generator function in the SPSS statistical package to identify one individual from among all survey completers. If permitted by state law and campus policy, this participant will be contacted to receive an Apple Watch courtesy of COACHE. Odds of being selected vary depending upon the number of completed surveys; estimates at this time suggest the odds will be better than 1 in 2,000. The name will be identified soon after the start of the new year.

## **If I take part in this research, how will my privacy be protected? What happens to the information you collect?**

We take your privacy seriously. The information with your name on it will be analyzed by the researchers and may be reviewed by people at Harvard responsible for ensuring that this research is done properly. 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.

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](#).

Some data may be put to use by researchers at COACHE for the purposes of scholarly publication. COACHE may also share individually deidentified data with researchers from other institutions for the purposes of scholarly publication. Researchers requesting to use these data are vetted by COACHE and their institutions are required to sign a Data Use Agreement which limits their use of the data. COACHE does not share individually identifiable data with researchers from other institutions. Some aggregated, deidentified reports and presentations will be shared with institutional administrators and faculty groups seeking to improve their academic workplaces.

For this study, COACHE has identified an analyst at [INSTITUTION] to be the “honest broker” of a deidentified, redacted version of the resulting data after three years of survey administration. This means that s/he will receive survey responses with information that may *indirectly* identify some respondents. This “honest broker” has signed an agreement stating that only aggregate data with no cells of fewer than five respondents will be shared beyond his/her office, and that no individuals in a position to make or influence individual faculty personnel decisions will have access to the data. There will be no department-level reporting of results unless we realize this critical mass of respondents. All campus-level requests for access to these data must be approved by the broker and processed through a modification to the institutional review board of record.

If you wish further information about privacy for the data at your institution, click here [\[coache\\_exit@gse.harvard.edu\]](mailto:coache_exit@gse.harvard.edu) to send an email message to COACHE. Any communication with COACHE is kept strictly confidential.

## **Special Notifications regarding GDPR and Study Subjects living in the European Union**

Harvard University (“Harvard”) is committed to protecting the confidentiality, integrity, security, and privacy of personal information with which we and those we work with come into contact when carrying out clinical trials.

Harvard has certain legal obligations relating to our collection and use of personal data and your rights in relation to your personal data. This Privacy Supplement, which is additional to the information you have received in the informed consent form you received when you enrolled in the study, describes how your Personal Information is shared between Harvard, your Study Site (if applicable), regulatory agencies and parties working on their behalf to conduct the study. “Personal Information,” as discussed in this Privacy Supplement, will include your name, demographic information, and the results of any tests, surveys or procedures described in the informed consent form. It may also include information about your race, ethnicity, gender, marital status, as well as prior and current employment status. This Privacy Supplement

also describes your privacy rights. If you need any information on other data protection privacy matters, please refer to your informed consent form or contact us as described below.

### **Will my data be transferred outside of my home country?**

Your Personal Information will be treated in compliance with applicable data protection laws. Harvard and your Study Site are joint controllers of your Personal Information. Your Personal Information needed for the research will be saved, analyzed and, if necessary, transferred outside your Study Site. Before your Study Site transfers your Personal Information, your Study Site will replace your name with a unique code and remove information that directly identifies you. This is called your “Coded Information” in this form and is sometimes called “pseudonymised data” by data protection laws. In certain circumstances, your Study Site will be the data controller of your Personal Information, and Harvard will be the data controller of your Coded Information.

Harvard and some of the people using your Personal Information, including your Coded Information, may be based in countries other than your country, and may be based in the United States. Data privacy laws in other countries, including the United States, may not offer the same level of protection in those countries as the laws in your own country.

Your Study Site and people working with your Study Site will take steps to maintain the privacy of your Personal Information. If your Personal Information is transferred by your Study Site from the EU, EEA, and/or Switzerland to other countries that have not yet been found by European regulators to meet requirements for protection of Personal Information, your Study Site has in place standard EU data transfer agreements to protect your Personal Information. A copy of these standard data transfer agreements is available at: [EEAdatasubjectrequest@harvard.edu](mailto:EEAdatasubjectrequest@harvard.edu)

### **What rights do I have?**

It is an important part of protecting your privacy that you always retain certain rights in relation to the personal information you provide us with when participating in the clinical trial. Your rights are:

The right to access your Personal Information that is held about you by the study team. To ensure the integrity of the study, you will not be able to review some of the data until after the study has been completed. For example, if you are in a study that by its design has assigned you and other participants to a study group and that also by design does not tell the participants what group they are in, neither the researchers nor you will be able to know the study arm in which you participated until after the study is completely finished.

The right to correct or update your Personal Information if it is inaccurate.

The right to limit the collection and use of your Personal Information under certain circumstances (for example, if the information is inaccurate).

The right to receive your Personal Information in a structured, common computer format (for example, in a readable text electronic file or chart) for your own purposes or for giving it to others, as required by applicable data protection laws. You may not have the right to receive your Personal Information that has been used for public interest purposes (for example, for reporting incidents of disease to public health officials) or in the exercise of official authority vested in the

Study Site or Harvard (for example, responding to information requests from public agencies or monitoring drug safety).

You have the right to request the deletion of your Personal Information. However, there are limits on the ability to honor a request to delete your Personal Information. Some or all of your Personal Information may be kept and used if deleting that Personal Information would seriously impair the study (for example, if deletion would affect the consistency of study results) or if your Personal Information is needed by Harvard or the Study Site to comply with legal requirements.

You have the right to file a complaint with a data protection authority ([http://ec.europa.eu/justice/data-protection/article-29/structure/data-protection-authorities/index\\_en.htm](http://ec.europa.eu/justice/data-protection/article-29/structure/data-protection-authorities/index_en.htm)).

If you wish to exercise any of the rights described above or have concerns about how your Personal Information is being handled, it is best to contact your Study Site's Data Protection Officer using the contact information provided by your Study Site and not Harvard. This is because generally Harvard usually holds only your Coded Information, which does not include your name or other information that can easily identify you. Therefore, in almost all cases, Harvard will not know who you are or have your name.

In all other cases, if you wish to exercise any of these rights, you must contact [EEAdatasubjectrequest@harvard.edu](mailto:EEAdatasubjectrequest@harvard.edu)

### **What happens if I do not wish to continue with the study?**

As noted in the main consent document, you are free to stop taking part in this study at any time by telling the study team.

If you stop taking part in the study but do not withdraw your consent, your Personal Information will continue to be used in accordance with the Informed Consent Document you originally signed, this Privacy Supplement and applicable law. If you withdraw, no new information or samples will be collected about you or from you by the study team, unless you have agreed to provide them.

If you decide to withdraw your consent:

You will no longer be able to participate in the study;

No new information or samples will be collected about you or from you by the study team;

The study team may still need to report any safety event that you may have experienced due to your participation in the study to your Study Site;

Your Personal Information, including Coded Information, that has already been collected up to the time of your withdrawal will be kept and used by the Study Site to guarantee the integrity of the study, and/or for any other purposes permitted under applicable data protection and privacy laws; and

Your Personal Information, including Coded Information, will not be used for further scientific research.

However, if permitted by applicable law, your Personal Information may be anonymized so that the information does not identify you personally, and such anonymized information may be used for further research.

**If I have any questions, concerns or complaints about this research study, who can I talk to?**

The researcher for this study is *Dr. Todd Benson*, who can be reached at (617) 495-5285; *Harvard Graduate School of Education, 50 Church Street, Cambridge, MA 02138*; or [coache\\_exit@gse.harvard.edu](mailto:coache_exit@gse.harvard.edu) if you would like to talk to the research team, you think the research has harmed you, or you wish to withdraw from the study.

This research has been reviewed by the Committee on the Use of Human Subjects in Research at Harvard University. They can be reached at 617-496-2847; 1350 Massachusetts Avenue, Suite 935, Cambridge, MA 02138; or [cubs@harvard.edu](mailto:cubs@harvard.edu) if your questions, concerns, or complaints are not being answered by the research team; if you cannot reach the research team; if you want to talk to someone besides the research team; or if you have questions about your rights as a research participant.

Please print, take a screenshot, or otherwise save a copy of this consent page for your records.

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

I refuse to participate.