Appendix 1

A. General Statistics (Questions 1-3)

Years on tenure-track (Q1)

	Did survey	% of responders	Total in pop'n	% did survey
<1 yr	17	12%	28	61%
1-2 yr	19	13%	33	58%
2-4 yr	40	28%	79	51%
4-6 yr	40	28%	69	58%
6-8 yr	27	19%	39 (47)	69% (57%)
Total	143		248 (256)	

Degree Data (Q2)

	Did survey	% of responders	Total in pop'n	% did survey	% of total pop'n
MD	12	8%	40	30%	16% (40/256)
MD, PhD	28	20%	29	97%	11% (29/256)
PhD	102	71%	187	55%	73% (187/256)
Total	142		256		

Distribution of Respondents by IC (Q3)

IC	Responders	Total possible	Percentage
CC	0	1	0%
NCI/CCR	29	68	43%
NCI/DCEG	11	20	55%
NEI	0	1	0%
NHGRI	7	8	88%
NHLBI	8	12	67%
NIA	11	20	55%
NIAAA	2	6	33%
NIAID	16	22	73%
NIAMS	3	6	50%
NICHD	12	18	67%
NIDA	4	6	67%
NIDCD	0	4	0%
NIDCR	5	6	83%
NIDDK	9	18	50%
NIEHS	5	11	45%
NIMH	6	16	38%
NINDS	12	15	80%
NINR	1	1	100%
NLM/NCBI	0	2	0%
VRC	2	5	40%
Total	143	266	54%

B. Supervision, Mentoring and Scientific Independence (Questions 4-18)

Who is your direct supervisor? (Q4)

89% answered Lab/Branch or Section Chief; 9% Scientific Director or Deputy Scientific Director.

How often do you have formal meeting with this person to discuss your work progress, etc.? (Q5)

Most TT meet at least once a year formally with their direct supervisor; 16.6% never meet formally with their direct supervisor.

How often do you spontaneously or casually interact with this person? (Q6)

Most TT (83%) interact more than 6 times a year with their direct supervisor.

How helpful has your relationship with your direct supervisor been to your progress? (Q7)

75% considered their relationship helpful or very helpful; 15% somewhat helpful and 10% not helpful at all.

Do you have direct meetings with the Scientific Director or Deputy? (Q8)

66% said yes; among these, 83% met 1-2 times per year.

How helpful has your relationship with your scientific Director been to your progress? (Q9)

62% considered it very helpful or helpful.

Does your lab/ branch chief provide career guidance and mentoring to a level you find adequate? (Q10)

72% answered yes. Among the 28% that answered no, the main reasons were:

	Percent
Too Busy	23.8
Conflicting scientific interests	13.1
Personality differences	17.3
You donÕt desire guidance	6.4
Other	39.2

The primary modes of mentoring provided by lab/branch chief are (Q13):

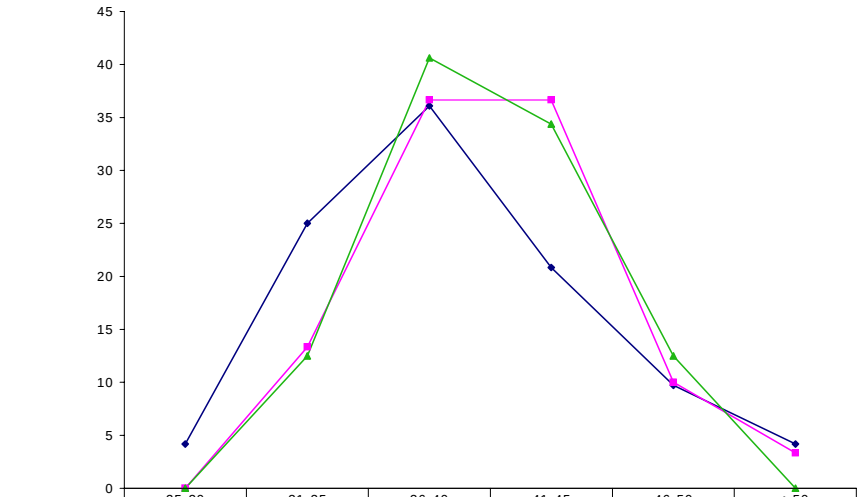
	Percent
Casual interaction	77.5
Intellectual guidance	27.9
Formal evaluation	29.5
Critique manuscripts/seminars	33.3
Encouragement	46.5
Resolution of difficulties	43.4
Minimal/none	12.4

Do you have a scientific mentor other than your lab/branch chief? (Q14)

55% said yes.

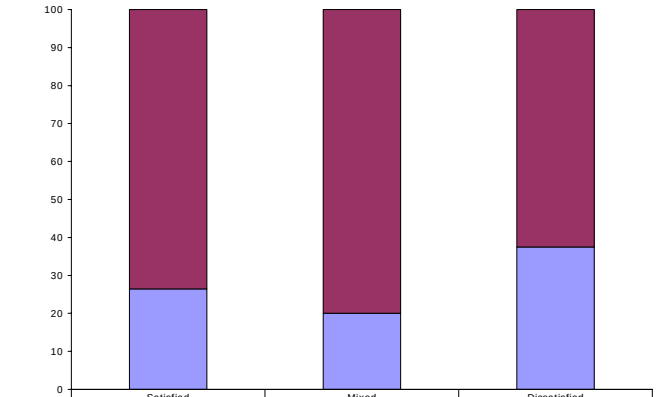
Based on responses to Q7, Q10, Q11, and Q12, the survey respondents were stratified into three categories with respect to their subjective impression of adequate mentoring: *satisfied, mixed, and dissatisfied*. The data were then re-analyzed based on these categories to look for trends.

Mentoring satisfaction relative to age:



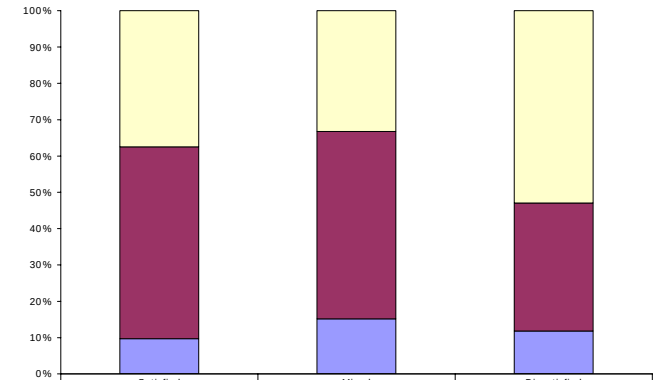
	25-30	31-35	36-40	41-45	46-50	>50
Satisfied	4.2	25.0	36.1	20.8	9.7	4.2
Mixed	0.0	13.3	36.7	36.7	10.0	3.3
Dissatisfied	0.0	12.5	40.6	34.4	12.5	0.0

Mentoring satisfaction relative to gender:



	Satisfied	Mixed	Dissatisfied
% Male	73.6	80	62.5
% Female	26.4	20	37.5

Mentoring satisfaction relative to institute size:



	Satisfied	Mixed	Dissatisfied
Large	37.5	33.3	52.9
Medium	52.8	51.5	35.3
Small	9.7	15.2	11.8

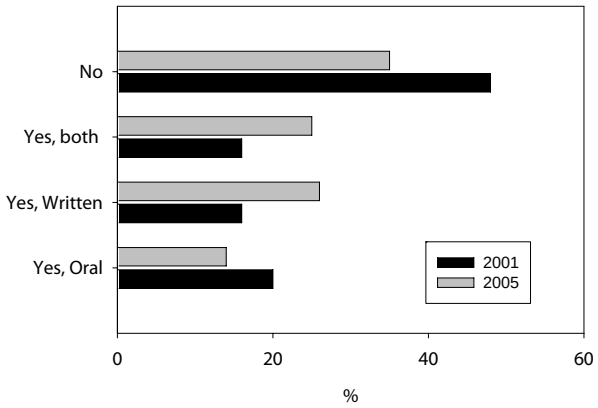
C. Performance Evaluation (Questions 19-25)

Have you had a review since becoming tenure track (not including BSC)? (Q19)

73% yes, 27% no.

Of those who answered yes, the average interval to the first evaluation was about 10 months.

Have you had annual performance evaluations? (Q20)



Yes, Oral 14%

Yes, Written 26%

Yes, Both oral and written 25%

Total Yes 65%

No 35%

Of those with annual evaluations, is the evaluation performed by your direct supervisor? (Q21)

Yes 90%

No 10%:

If no, who did the evaluation? (Q22)

SD 3/8

Group including section chief and SD 2/8

Other 3/8

To your knowledge is there a written report of your evaluation? (Q23)

Yes 71%

No 29%

Of those who answered yes, 85% received a copy. (Q24)

Did performance evaluations contribute to your development as a scientist/leader? (Q25)

Yes 40%

No 60%

Comments :

- Positively!
- Helpful to get feedback on my research priorities
- Minimally. But they do reinforce or identify areas of strength and weakness. Help establish a guideline for future focus.
- Focused my direction of research.
- Helps with looking in depth my research program and with the analysis of the changes needed to become a more focused and complete investigator
- The evaluations have been positive, and this encourages me to think that I am doing what is appropriate to get tenure.
- I was able to better manage my interaction with the staff of my group.
- Identification of strategies to assist in career development, and resolution of personnel issues.
- Contain Affirming statements,
- Maybe, usually we just discuss what more I need to do to be tenured, not necessarily to become a good scientist/leader
- At the very least, I should know through the report what my supervisor's view about myself, my work and my leadership.
- Keep up the good work type of evaluations. It's nice to hear.

D. Mid-term Evaluation by Board of Scientific Counselors or Site Visit Team (Questions 26-39)

Mid-Term Conducted

Have you had a mid-term (between 1-4 years after starting tenure-track) evaluation by your IC's BSC or site visit team? (Q26)

58.6% of TTIs have had a mid-term evaluation by their institute's BSC or site visit team. Of the 41.4% who have not yet been evaluated, 49.1% have been at the NIH for less than 2 years, 41.5% for 2-4 years, and 9.4% for more than 4 years. Of all TTIs who have been at NIH for more than 4 years, 7.8% reported not yet having a mid-term evaluation.

If yes, have you had more than one ? (Q27)

Of the (~60%) of TTIs who have had a mid-term evaluation, 29.7% have had more than one (of these, 57% are from small institutes, 15% from medium, and 37% from large institutes). 12.5% of those on TT <4 years reported more than one mid-term evaluation; 34.5% of those on TT 4 or more years reported more than one. This difference was only marginally statistically significant, however.

If more than one, was the most recent mid-term evaluation of you carried out as part of the Board of Scientific Counselors' review of the Lab or Branch? (Q28)

Of those TTIs having had more than one mid-term review, 66.7% were evaluated as part of the BSC's review of the Lab or Branch, while 33.3% were reviewed independently from their Lab or Branch.

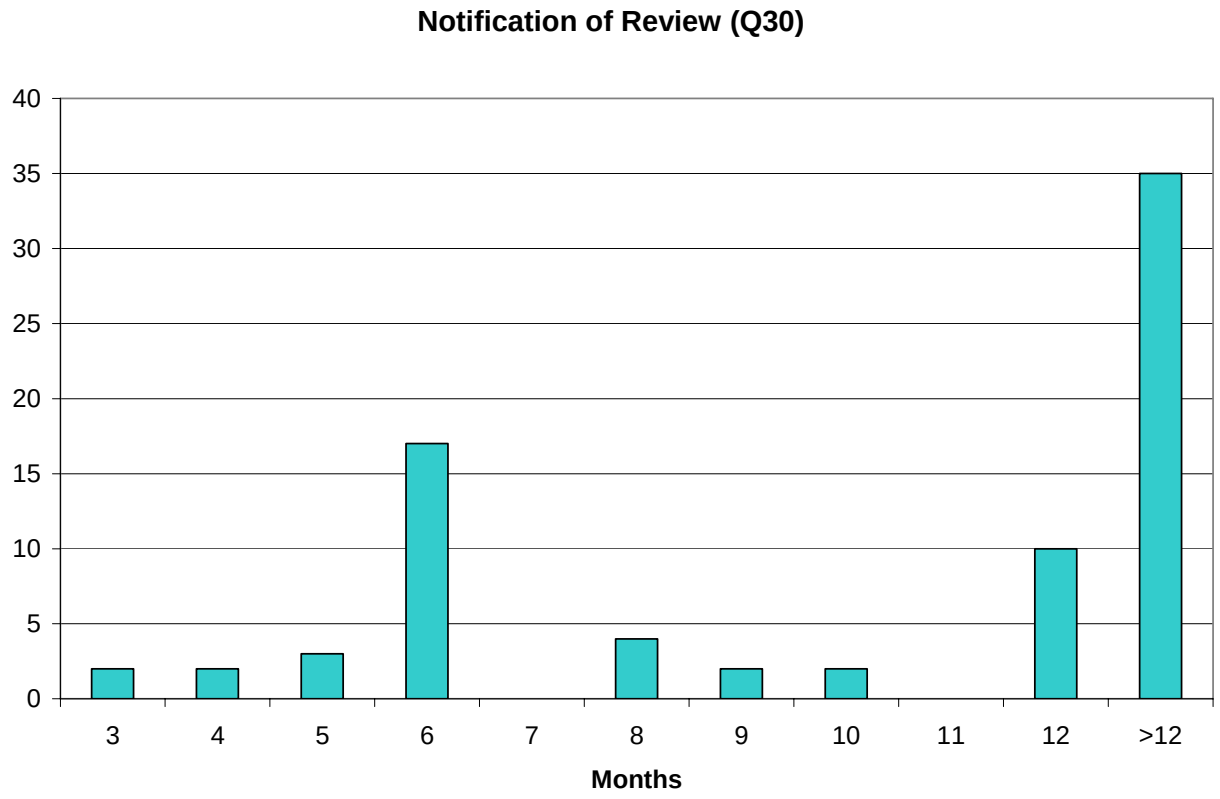
How many years had you been on tenure-track when the most recent review occurred? (Q29)

Most TTIs had been on TT 3-4 years when the most recent review was conducted, with 42.1% here 3 years and 31.6% here four years. 10.5% had been here one year, while 15.8% had been here two years.

Preparation for Mid-Term

How many months ahead were you told that your mid-term evaluation would occur? (Q30)

The number of months notification given to TTIs prior to their mid-term review varied widely, from 4 – 13. Most common was 13 months (45.5%), followed by 6 months (22.1%).



Did you know in advance what procedures would be followed in the mid-term evaluation? If yes, who advised you? (Q31)

Most TTIs knew in advance what procedures would be followed for the mid-term review, with 92.3% answering yes. Most commonly, the Lab or Branch Chief conveyed this information (75.0% of the time), with SDs taking this role in 22.1% of instances.

Did you receive mentoring on the preparation of your written report for the midterm review? On your oral presentation? If yes, who mentored you? (Q32)

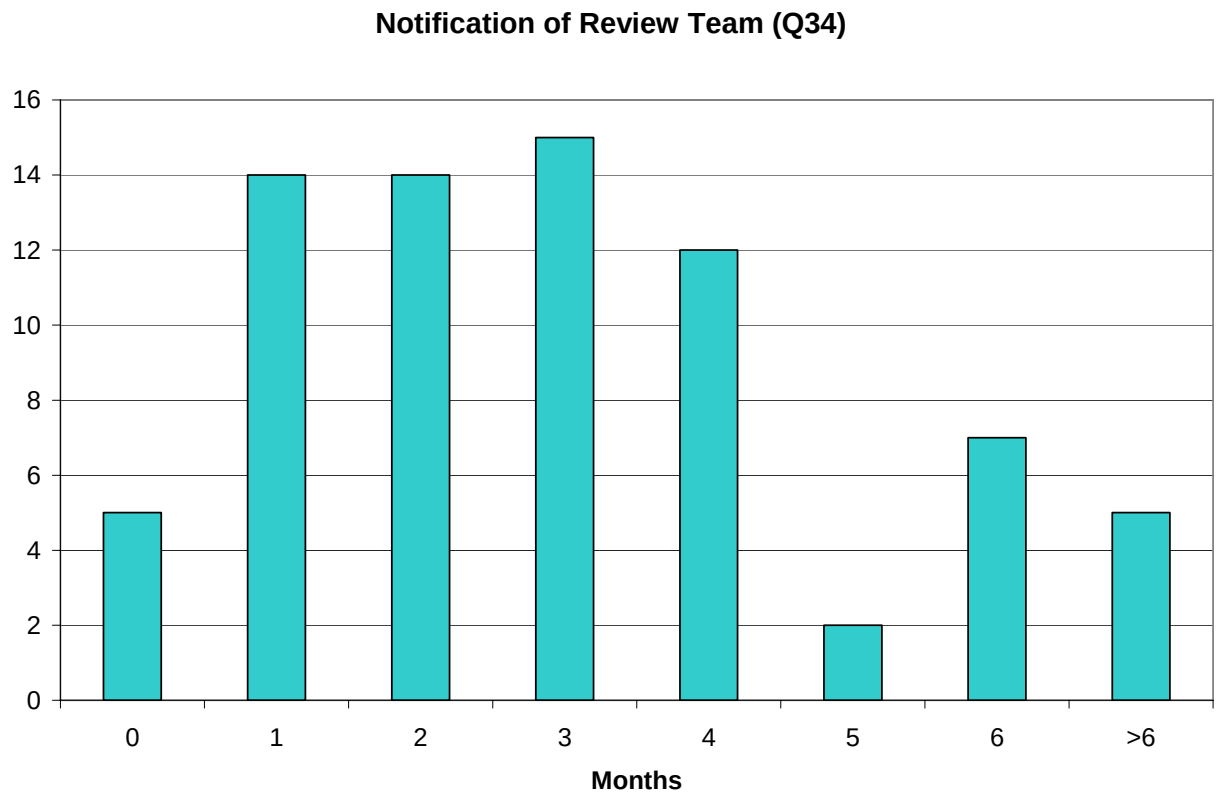
Most TTIs received mentoring on both the written report and the oral presentation, with 84.4% receiving advice on the written report and 93.4% receiving advice on the oral presentation. This advice most frequently came from the Lab or Branch Chief (83.6%). 2.6% reported receiving advice on neither their written report nor their oral presentation.

Did you know who the members of the review team would be in advance? If yes, who advised you? (Q33)

89.6% of TTIs were informed of the review team in advance, with this information coming from either the SD (36.7%) or Lab/Branch Chief (51.7%).

How many months ahead of the review did you learn who the members of the review team would be? (Q34)

TTIs learned the identities of their review teams anywhere from 1-7 months in advance, with 58.1% receiving this information 1-3 months in advance (approximately 20% each at 1 month, 2 months, and 3 months).



Mid-Term Evaluation, Recommendations, and Feedback

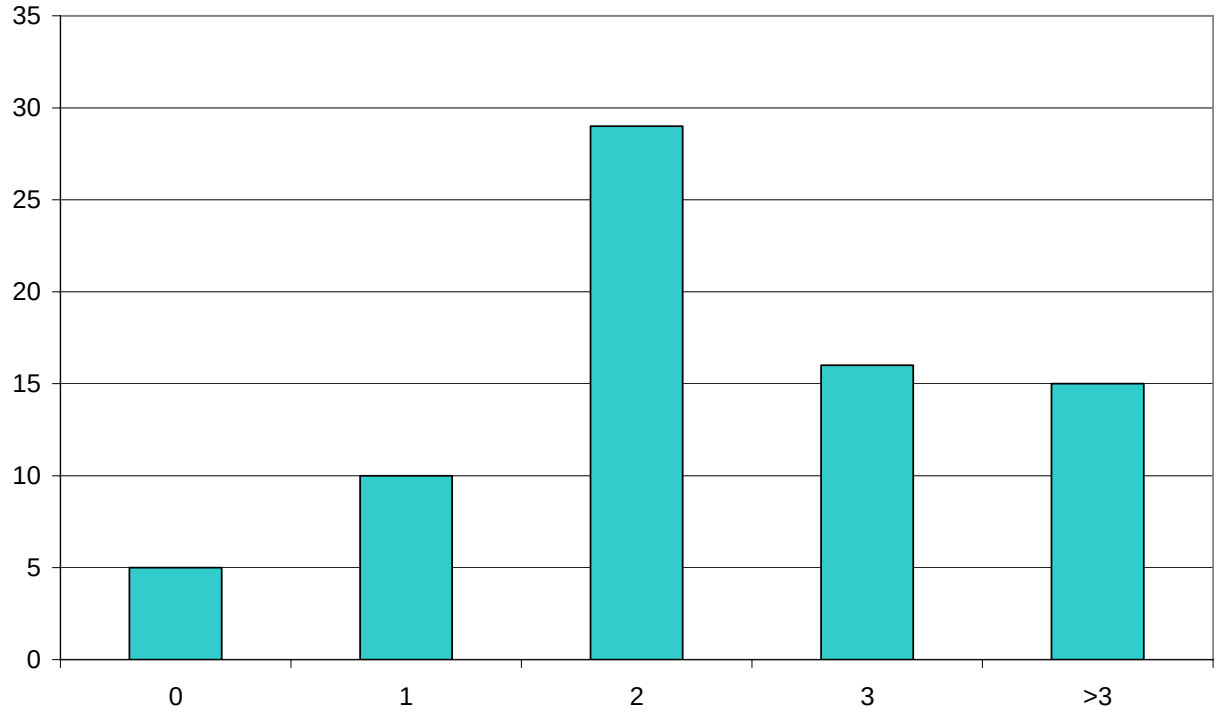
Did you have an ad hoc reviewer in your field? (Q35)

While 70.4% of TTIs had an ad hoc reviewer in their field, 29.6% did not. Among small, medium-sized and large institutes, 28.6% (n=2), 30.8% (n=8) and 25.0% (n=9) did not have an ad hoc reviewer (ie, no significant difference by institute size).

How many of the reviewers were knowledgeable about your research? (Q36)

The number of reviewers knowledgeable about the TTI's research varied from 0 – 4, with 2 knowledgeable reviewers being most common (38.7%). Surprisingly, 6.7% of TTIs reported having no reviewer knowledgeable in their field present at the mid-term review. Of those who had an ad hoc reviewer, only 2.0% reported having no reviewer knowledgeable in their field at the review. However, of those not having an ad hoc reviewer, 19.0% reported having no knowledgeable reviewer in their field present at the review.

Number of Reviewers Knowledgeable in Field (Q36)



If increases in budget and lab space were recommended, did these materialize? (Q37)

Budget increases were recommended for 39.7% of TTIs, while none were recommended for 33.3%, and 27% reported the item as not applicable. Space increases were recommended for 24.6%, while none were recommended for 41.0%, and 34.4 % reported not applicable. Staffing increases were recommended for 40.9%, while none were recommended for 28.8%, and 30.3% reported not applicable. The presence or absence of an ad hoc reviewer was not associated with budgetary, space, or personnel recommendations. When budgetary increases were recommended, 40.0% of TTIs received the full amount, while 12.0% received none. When space increases were

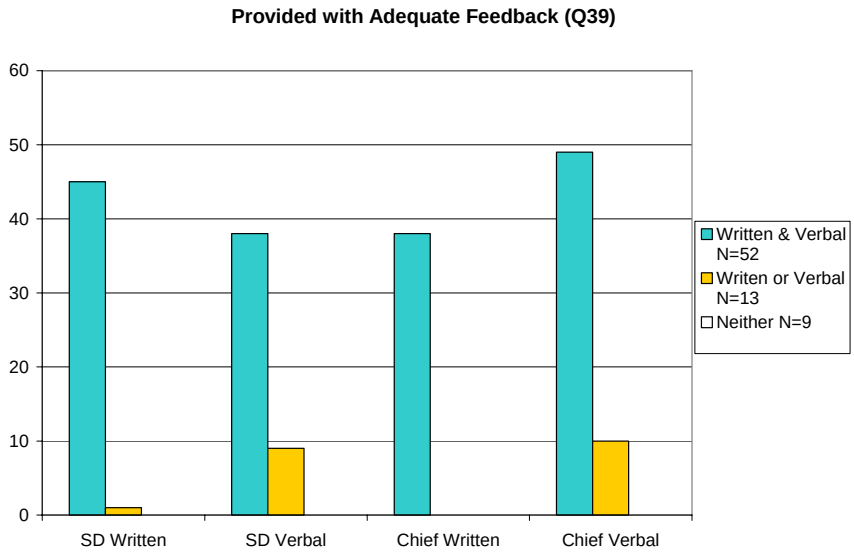
recommended, 20.0% received the full increase, while 13.3% received none. When staffing increases were recommended, 44.4 received the recommended amount, while 18.5% received none.

If some of the recommended increases did not materialize, did you receive an explanation? If yes, did the explanation provide a satisfactory justification for why not? (Q38)

When an increase was recommended but did not materialize, 46.7% were given an explanation, 53.3% were not. Of those given an explanation, 71.4% found the explanation to be adequate.

Did you receive: Adequate written feedback from your scientific director? Adequate verbal feedback from your scientific director? Adequate written feedback from your lab/branch chief? Adequate verbal feedback from your lab/branch chief? (Q39)

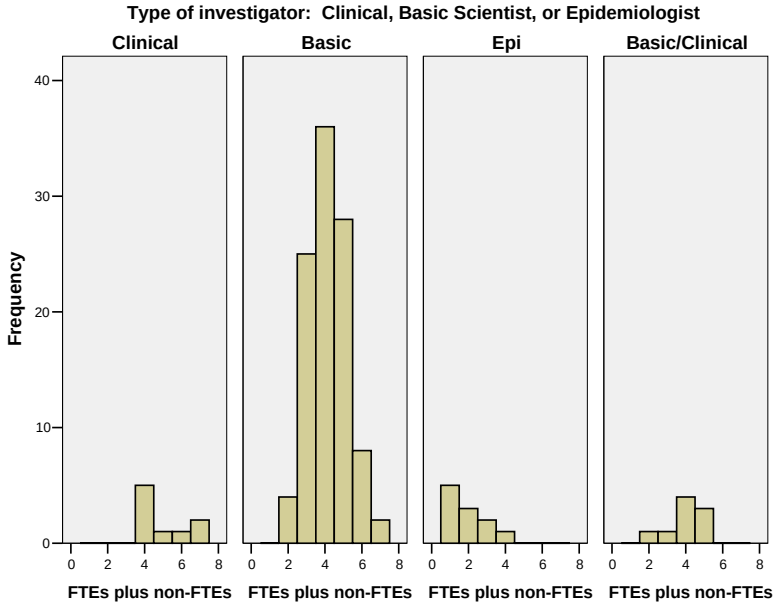
Over three-quarters of TTIs reported receiving adequate written and/or verbal feedback from their scientific director; 63.5% received written feedback, and 65.8% received verbal feedback (50.7% received both written and verbal feedback). About 80% received adequate written and/or verbal feedback from their lab/branch chief; 53.4% received verbal feedback and 80.8% received written feedback. A total of 21.9% of respondents reported getting inadequate written and verbal feedback from their scientific director, and 19.4% reported getting inadequate written and verbal feedback from their lab/branch chief. Overall, 12.2% of TTIs reported getting inadequate feedback from both their scientific director and their chief.



E. Personnel Resource Allocation (Questions 40-55)

How many FTEs and non-FTEs have been allotted to you? (Q40-41)

Number of FTEs and non-FTEs by type of investigator

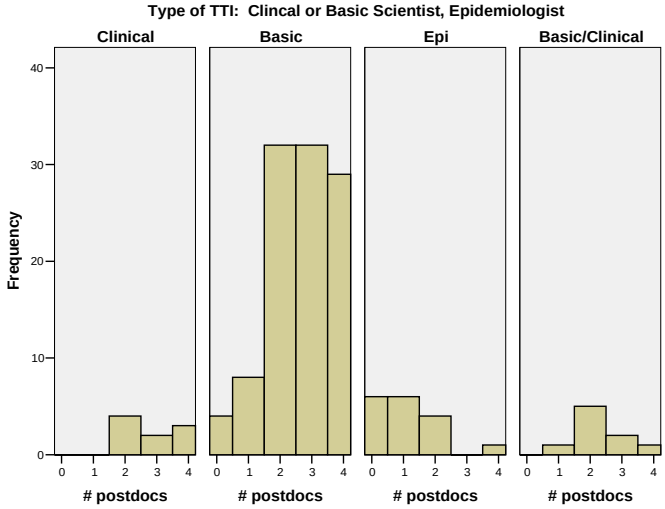


(N = 9) (N = 107) (N = 18) (N = 9)

- The number of FTE and non-FTE personnel allotted ranged from one to seven or more (mean = 4, SD 1.3).

How many of them (FTE and non-FTE) are postdoctoral fellows? (Q42)

Number of post-doctoral fellows by type of investigator

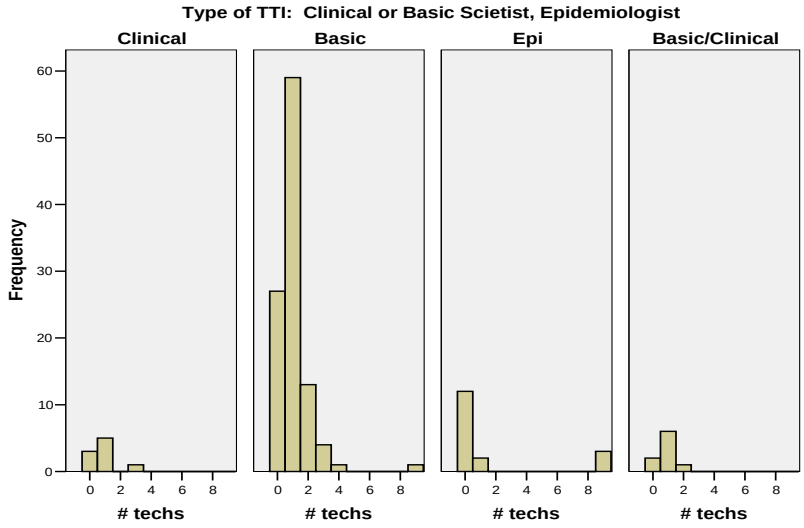


- Among their FTEs or non-FTEs, 4 out of the 105 basic scientist tenure track researchers (3.8%) reported not having a post-doc; 8 (7.6%) report having only one post-doc. This means 11% of the basic scientists have only one post-doc or less.
    - 8 of the 12 (67%) had been on tenure-track for two years or more.

- Tenure track scientists did not always have FTEs or non-FTE's available immediately upon arriving with 19% waiting a year or more for FTEs (11 or 8% said they never were able to get an FTE). 7% reported they waited a year or more for a non-FTE (Q48 and 49).

How many are technicians (FTE and non-FTE)? (Q43)

Number of technicians by type of investigator



- For 13 tenure track scientists (9.2%), no technician was allowed (Q44).
    - Five tenure track scientists were epidemiologists, for whom it is not surprising "no technician allowed", but seven were basic science and one was a clinical researcher, for whom a technician would seemingly be very helpful to have.
    - For the eight basic and clinical researchers, six were in medium sized institutes

- When trying to hire a technician, 27 (19%) tenure track scientists reported they did not have the knowledge or the administrative support to hire one (Q45).
    - Not counting the epidemiologists, 21% of the clinical and basic science researchers reported not having support to hire a technician. This is over one fifth of the TTI who have most need for a technician and appears high.

        - This question exhibited a difference by gender; 33% of female TTI reporting lack of support compared to 18% of male TTI.

- Several moderate to large barriers in hiring a technician were identified (Q46) including visas (19), difficulty in posting an ad (25), getting applications (34), having sufficient salaries (31), and the largest barrier was finding technicians who were competent (60). (Note: Respondents could pick more than one category so the total sums to more than 143.)
    - Among the basic science TTI, 64% said that finding competent technicians was a moderate to large barrier. 44% of clinical or basic/clinical TTI reported this as a moderate to large barrier. Among epidemiologists, 67% reported the largest barrier to them was money for hiring.

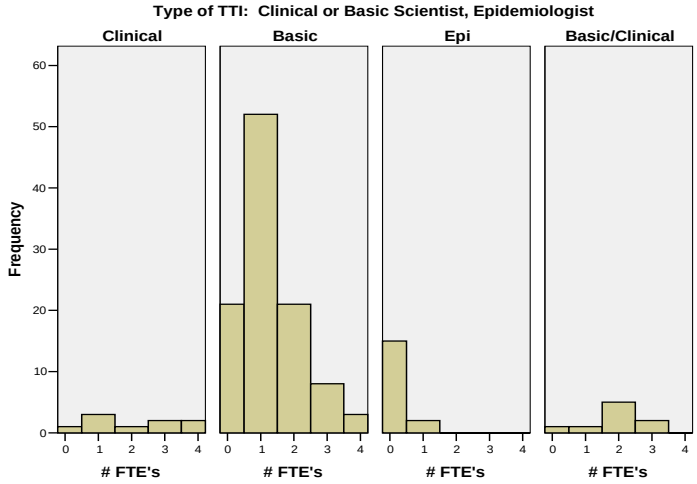
- 92% report having access to secretarial help (Q52) and this is largely for personnel actions (80%) and travel (93%). A few have help with correspondence (10%) but hardly anyone has assistance with manuscripts (99% report they do not). These proportions seemed very similar to the 2001 survey.

- Core facilities are available (Q53) to 117 (82%) with 55 (38.5%) reporting there is no charge to them to use the facility while 33 (23%) pay from their CAN. Ten (7%) have money from their lab or other budgets to pay for core facilities and 14 are unsure how payment occurs.
    - Among the basic scientists, 47% report no charge for using a core facility while 31% report they use their CAN. 8% of basic science TTI have lab budgets, set-asides, or other funding sources for core facilities. 14% reported they were unsure how the core facility was paid. 100% and 71% of the clinical or basic/clinical researchers respectively were not charged for core facilities. Among epidemiologists, only 1 (9%) reported no charge for core facilities.
    - Core facilities are available at no charge to 54% of TTI from small institutes, 75% of the TTI from medium sized institutes, and 17% of TTI from large institutes. The differences by institute size were highly statistically significant.

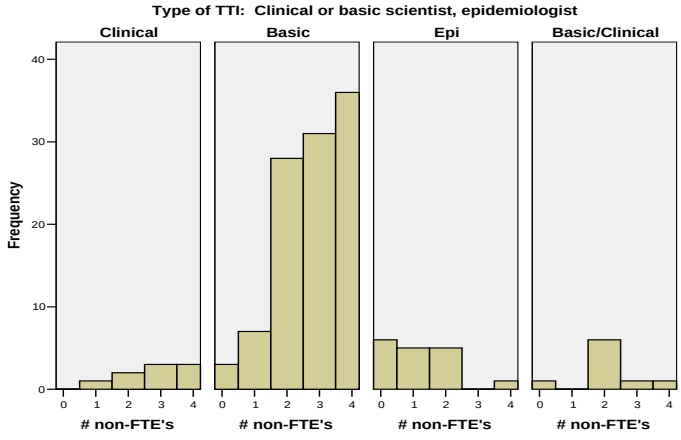
- Seven TTI are responsible for running a core facility; all are men.
    - Six are basic scientists.

- Between 25 and 75% of the clinical or clinical/basic TTI report inadequate access to subject recruitment, database and protocol management, programmers, and statistical assistance (Q54). Fourteen and 12 tenure track scientists report having no access to programmers or statisticians, respectively.
    - These deficiencies are most prevalent among the clinical or clinical/basic TTI, and not among the epidemiologists. Among the clinical and clinical/basic TTI:
        - 38% report no assistance with database management
        - 57% report no programming assistance
        - 44% report no statistical assistance
    - Among clinical researchers, 75% report no assistance with protocol management. This compares to 50% among epidemiologists, 43% among basic and clinical researchers, and 31% among basic scientists. Protocol management assistance seems to be unavailable to those who need it most.

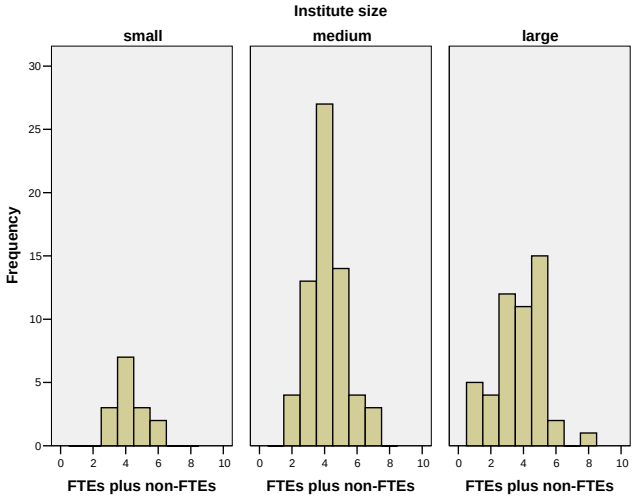
Number of FTEs by type of investigator (Q40)



Number of non-FTEs by type of investigator (Q41)



Number of FTEs and non-FTEs by size of the institute



Numbers and percentages of personnel (both FTE and non-FTE) by the type of investigator (Q40 and 41). (This table is also shown graphically)

FTEs plus non-FTEs * Basic, Clinical, Epi Crosstabulation

			Basic, Clinical, Epi				
			Clinical	Basic	Epi	Basic/Clinical	Total
FTEs plus non-FTEs	1	Count	0	0	5	0	5
		% within Basic, Clinical, Epi	.0%	.0%	45.5%	.0%	3.8%
	2	Count	0	4	3	1	8
		% within Basic, Clinical, Epi	.0%	3.9%	27.3%	11.1%	6.1%
	3	Count	0	25	2	1	28
		% within Basic, Clinical, Epi	.0%	24.3%	18.2%	11.1%	21.2%
	4	Count	5	36	1	4	46
		% within Basic, Clinical, Epi	55.6%	35.0%	9.1%	44.4%	34.8%
	5	Count	1	28	0	3	32
		% within Basic, Clinical, Epi	11.1%	27.2%	.0%	33.3%	24.2%
	6	Count	1	8	0	0	9
		% within Basic, Clinical, Epi	11.1%	7.8%	.0%	.0%	6.8%
	7 Plus	Count	2	2	0	0	4
		% within Basic, Clinical, Epi	22.2%	1.9%	.0%	.0%	3.0%
Total		Count	9	103	11	9	132
		% within Basic, Clinical, Epi	100.0%	100.0%	100.0%	100.0%	100.0%

Numbers and percentages of postdoctoral fellows by the type of investigator [Q42]. (This table is also shown graphically)

 # postdocs * Basic, Clinical, Epi Crosstabulation

			Basic, Clinical, Epi				
			Clinical	Basic	Epi	Basic/Clinical	Total
# postdocs	0	Count	0	4	6	0	10
		% within Basic, Clinical, Epi	.0%	3.8%	35.3%	.0%	7.1%
	1	Count	0	8	6	1	15
		% within Basic, Clinical, Epi	.0%	7.6%	35.3%	11.1%	10.7%
	2	Count	4	32	4	5	45
		% within Basic, Clinical, Epi	44.4%	30.5%	23.5%	55.6%	32.1%
	3	Count	2	32	0	2	36
		% within Basic, Clinical, Epi	22.2%	30.5%	.0%	22.2%	25.7%
	more than 3	Count	3	29	1	1	34
		% within Basic, Clinical, Epi	33.3%	27.6%	5.9%	11.1%	24.3%
Total		Count	9	105	17	9	140
		% within Basic, Clinical, Epi	100.0%	100.0%	100.0%	100.0%	100.0%

F. Budget (Questions 56-64)

Do you have your own annual budget for your laboratory? (Q56a)

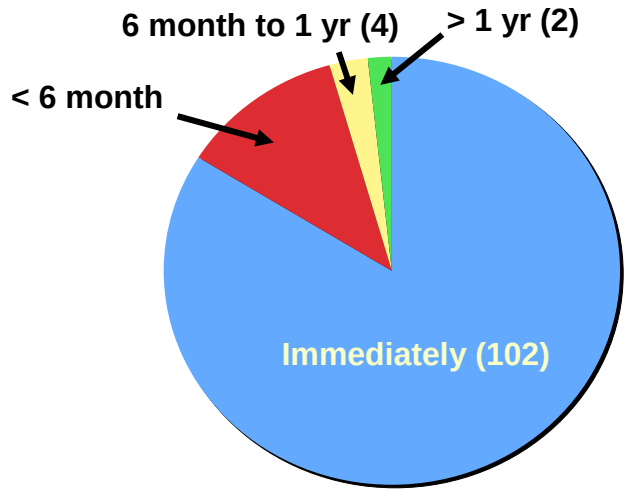
10 TTIs (7% of respondents) do not have their own annual budget. No significant change was noted from survey done in 2001 (9 TTIs; 7% of respondents). Most of those without their own annual budget (8 out of 10) were in epidemiology, with the remaining two in the basic sciences.

Was the amount specified in your tenure-track contract agreement? (Q56b)

24 TTIs (19% of respondents) said their annual budget was not specified in their TT contract.

When did you get it (Q56c)?

21 TTIs (17% of respondents) did not get their budget immediately, with 6 TTIs (5% of respondents) being delayed greater than 6 months.

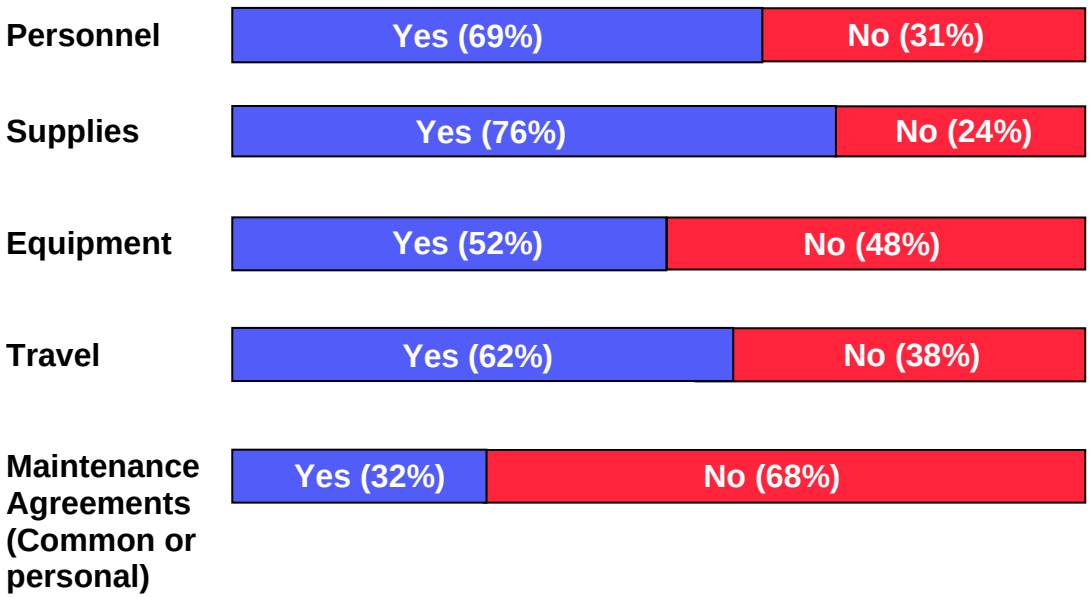


Although almost all TTIs got their budget immediately, 17% of TTIs did not get their budget immediately.

Is the amount adequate (Q56d)?

22TTIs (18% of respondents) thought the amount was not adequate.

Is your budget allocation broken down by (check all that apply) (Q56e):

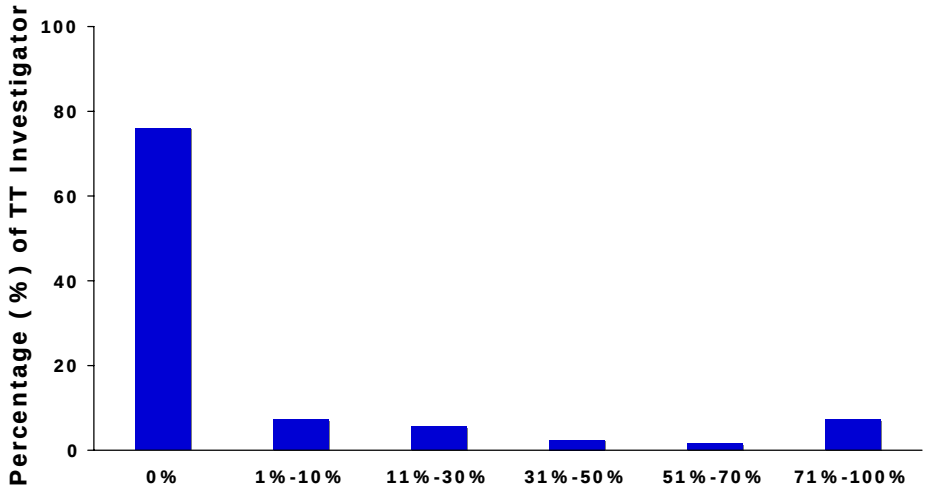


There is variability in how TTI budgets are broken down.

Do you have your own CAN number? (Q57)

11 TTIs (8% of respondents) do not have their own CAN number. This is only a slight change from the survey done in 2001 (12 TTIs; 9% of respondents). Most of those without their own CAN (9 out of 11) were in epidemiology, with the remaining two in the basic sciences.

What percentage of your budget is not under your direct control because it is tapped by the Section or Lab/Branch to cover general costs over which you have no influence (Q58)?



24% of TTIs report that some portion of their budget is not under their control.

Do you obtain enough information to track the costs shown in your budget reports and to verify them? (Q59)

33 TTIs (25% of respondents) do not have enough information to track costs shown in the budget report

48 TTIs (37% of respondents) do not have enough information to verify their costs.

With regard to institute size, 30% (17 TTIs) of those from large, 45% (31 TTIs) of those from medium and 19% (3 TTIs) of those from small institutes said they either did not have enough information to track costs or verify their expenditures.

Who sets your budget (check all that apply) ? (Q60)
Who decides on increases/decreases of your budget (check all that apply)? (Q61)

Table. Budgetary Decision Making

	Who sets your budget	Who decides change of your budget	
		This time survey	Last time survey
Section Chief	3	3	7
Lab/Branch Chief	59	55	75
Scientific Director	111	110	97
Institute Director	3	4	2
BSC	0	3	2
Not Sure	1	2	4
Others	3	2	3

Are you involved in these decisions? (Q62)

Majority of respondents (75 TTIs; 56%) said they are not involved in decisions regarding budget increases/decreases. This is similar to results from the 2001 survey (66 TTIs; 51%).

With regard to institute size, 61% (34 TTIs) of those from large, 51% (35 TTIs) of those from medium and 25% (4 TTIs) of those from small institutes were not involved in decisions regarding their budget.

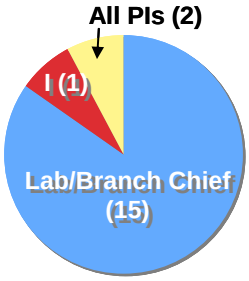
Have you ever had money taken out of your budget you had planned to use for specific projects, even though you had planned your spending so that funding would last until the end of the year (Q63)?

32 TTIs (24% of respondents) said that money was taken out of their budgets unexpectedly. This is an increase from the 2001 survey (20 TTIs; 15% of respondents).

How do you get new expensive pieces of equipment when the cost is beyond your budget (check all that apply)? (Q64)

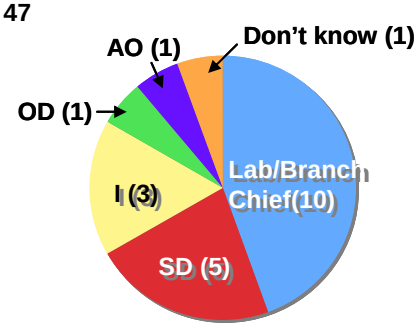
Request to Scientific Director	**80**
Request to Lab/Branch Chief/Section Head	**64**
Capital equipment request within IC	**24**
Competitive Supplements proposal	**27**
General Lab/Branch equipment budget	**21**

Who decides?
(18 out of 21 responded)



End-of-year funds	**47**

Who decides?
(21 out of 47 responded)

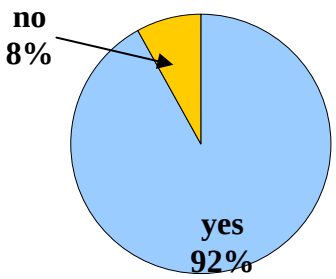


N/A	**18**
No mechanism exists	**2**
Outside funds	**3**
Don't know	**10**

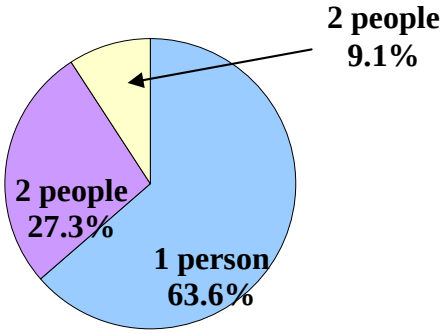
There is variability in how TTIs request and purchase expensive equipment (129 respondents).

G. Office and Lab Space (Questions 65-69)

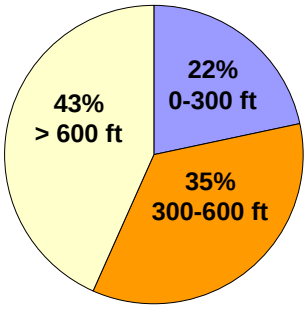
Do you have a private office? (Q65a)



If not, how many people share the common space? (Q65b)

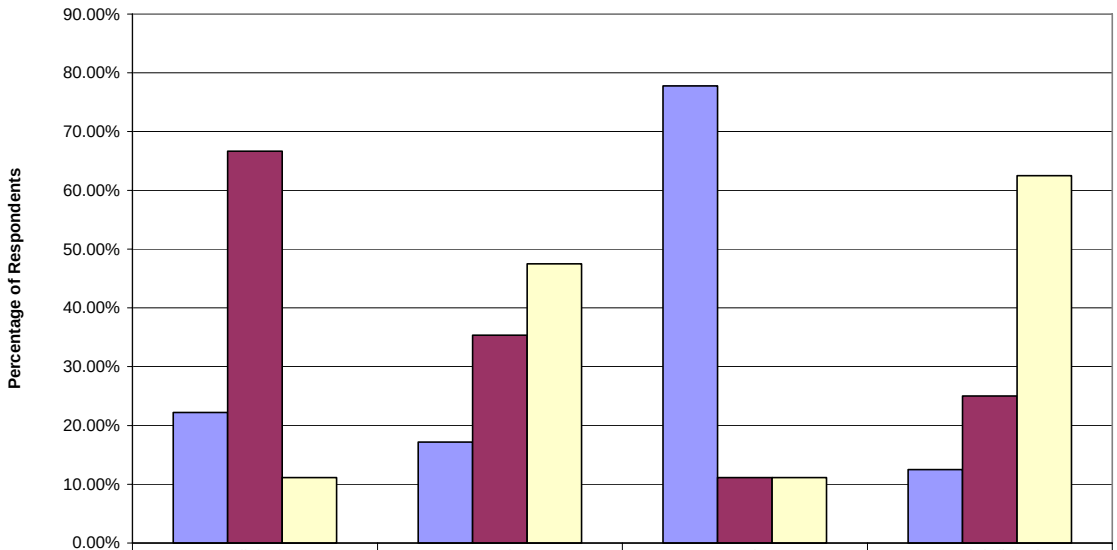


How many square feet of lab space does your lab have? (Q66a)



Association of "lab space" (Q66a) with other variables:

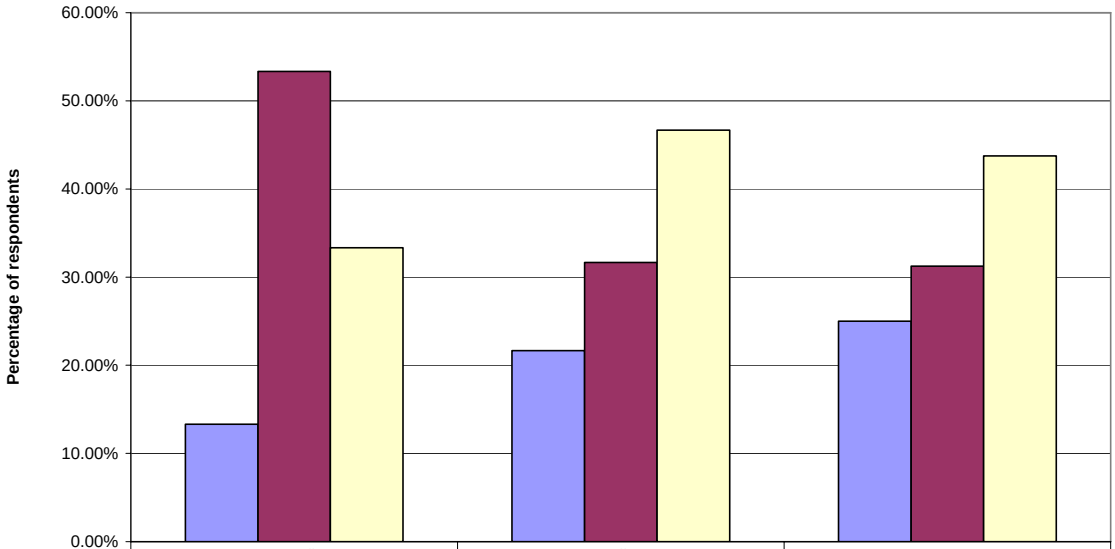
Laboratory Space vs. Research Type



	Clinical	Basic	Epi	Basic/Clinical
0-300 ft	22.22%	17.17%	77.78%	12.50%
300-600 ft	66.67%	35.35%	11.11%	25.00%
> 600 ft	11.11%	47.47%	11.11%	62.50%

Research Type

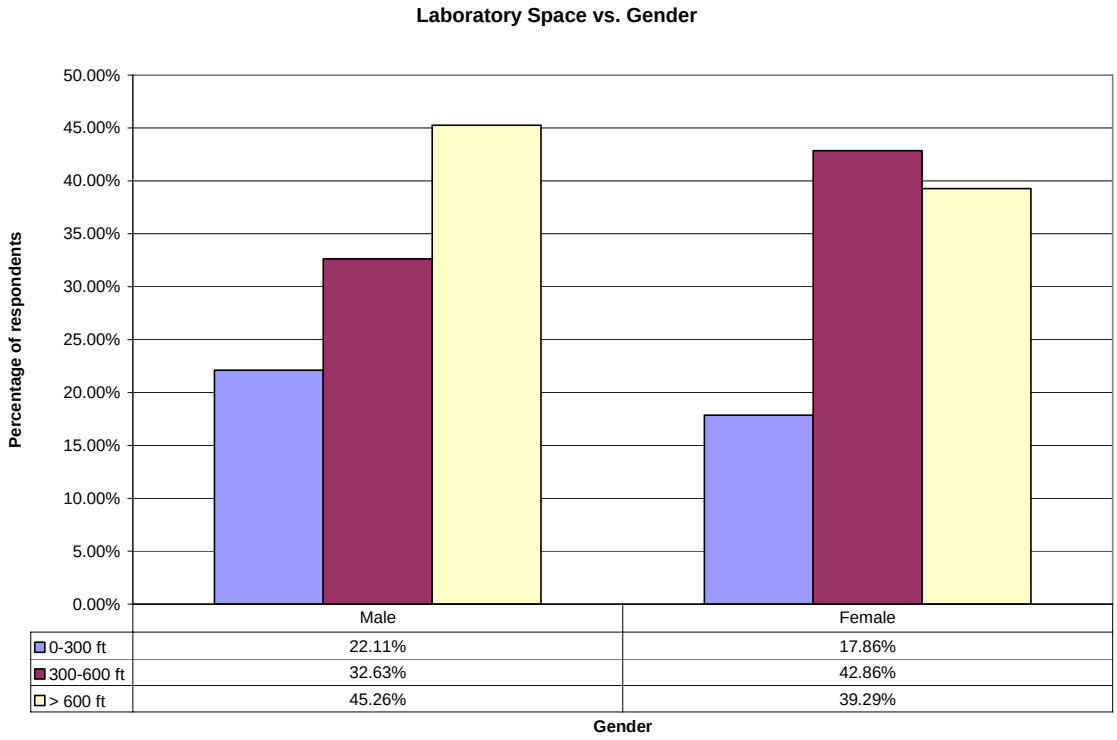
Laboratory Space vs. Institute Size

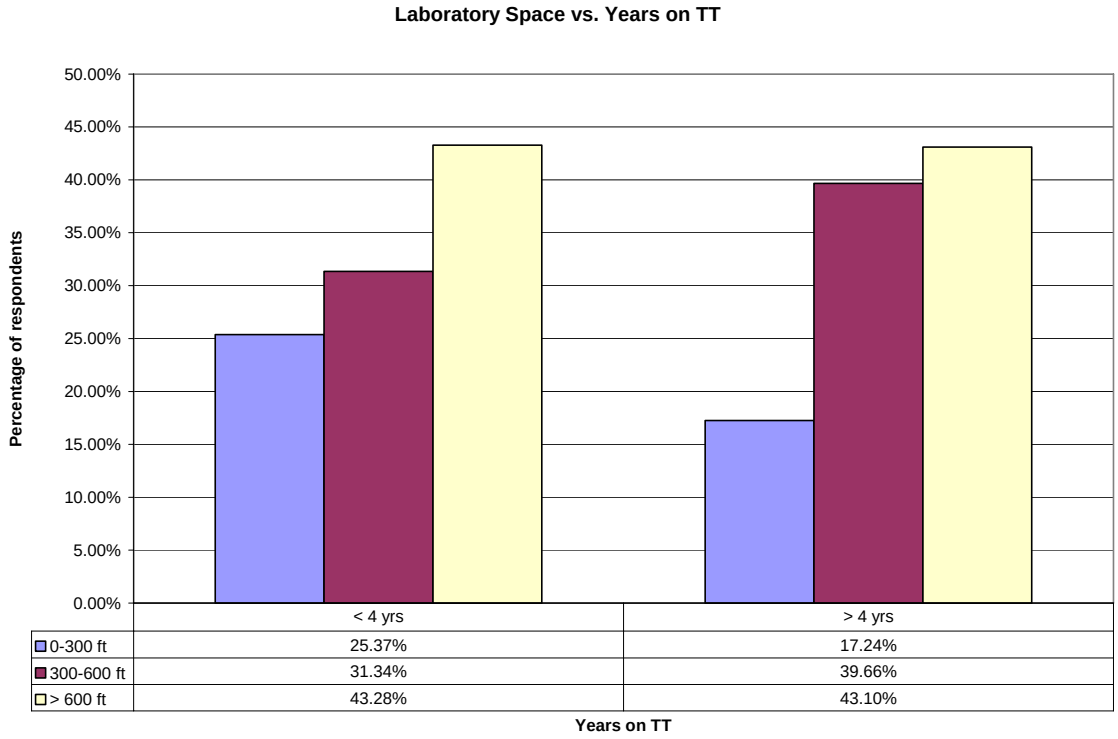


	Small	Medium	Large
0-300 ft	13.33%	21.67%	25.00%
300-600 ft	53.33%	31.67%	31.25%
> 600 ft	33.33%	46.67%	43.75%

Institute Size

Association of "lab space" (Q66a) with other variables (continued):

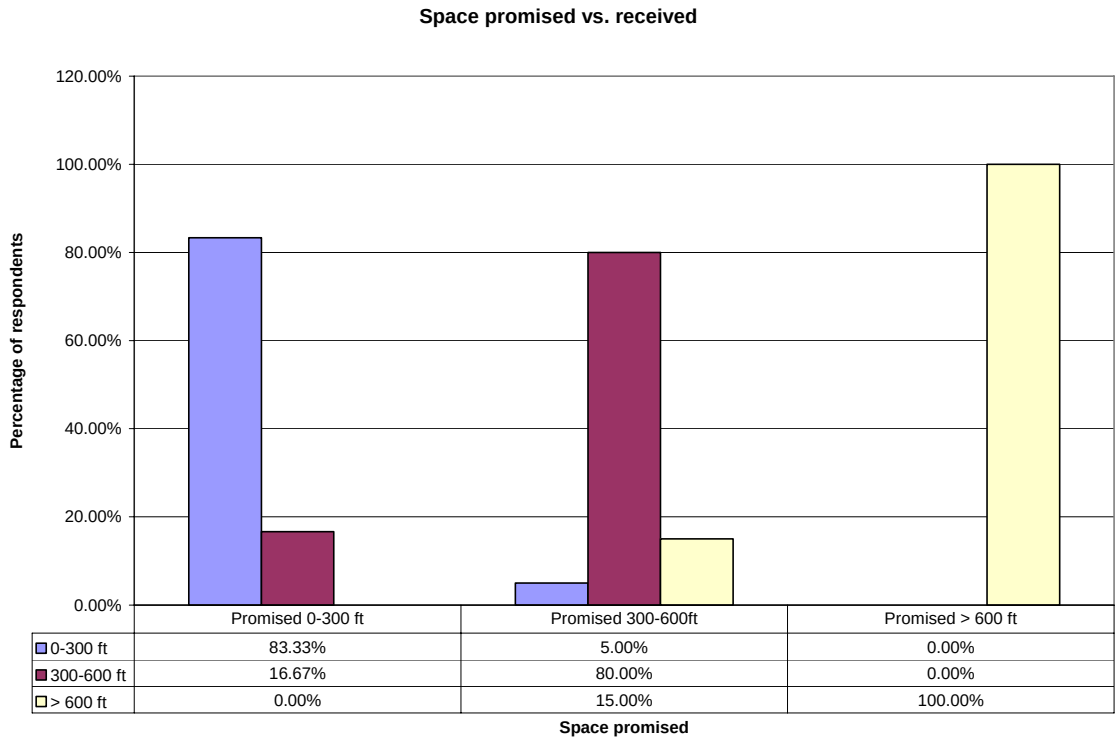




Square feet of space categorized * Time on TT:

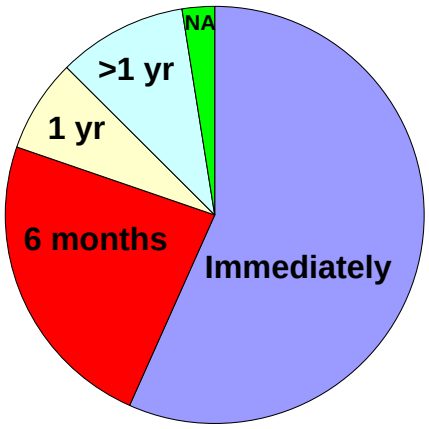
			Time on TT:		
			Under 2 years on TT	Two years or more on TT	Total
Square feet of space categorized	0-300	Count	7	13	20
		% within Time on TT:	24.1%	14.9%	17.2%
	400-600	Count	12	31	43
		% within Time on TT:	41.4%	35.6%	37.1%
	more than 600	Count	10	43	53
		% within Time on TT:	34.5%	49.4%	45.7%
Total		Count	29	87	116
		% within Time on TT:	100.0%	100.0%	100.0%

How much space were you promised in your contract? (Q66b)



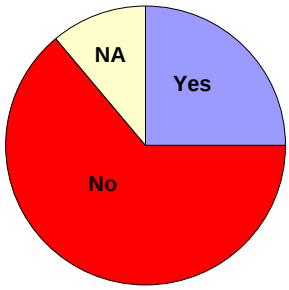
ow soon did you get promised lab space? (Q66c)

56.7% (72) received space immediately, 23.6% (30) received space within 6 months, 7.1% (9) waited one year, 10.2% (13) waited more than a year and 2.4% (3) responded "NA".

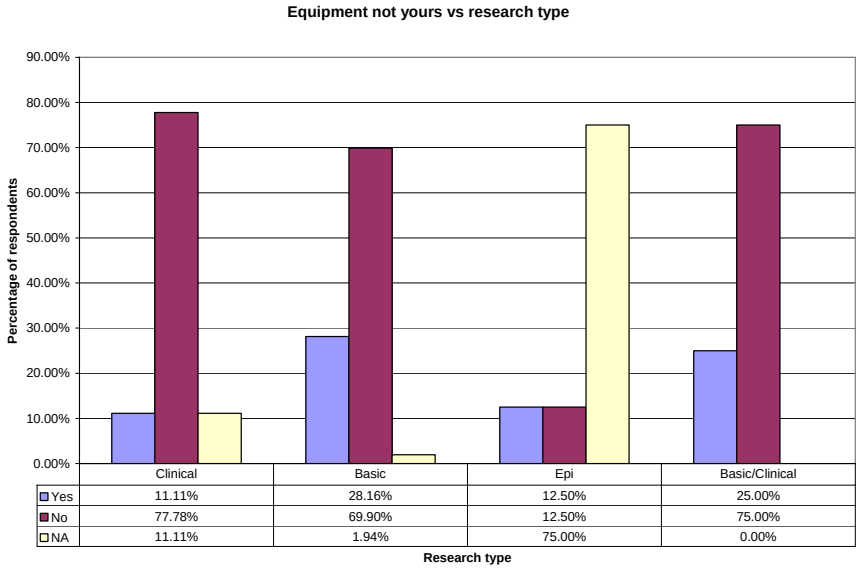


Do you have equipment in your lab that is not yours? (Q67)

The majority, 64.0% (87) do not have other people's equipment in their lab. 25.0% (34) do and 11.0% (15) responded "NA".



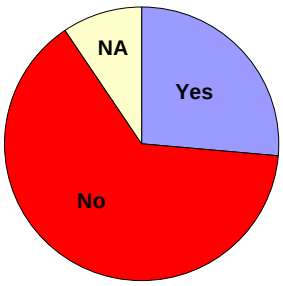
Association of "equipment not yours" and research type:



	Clinical	Basic	Epi	Basic/Clinical
Yes	11.11%	28.16%	12.50%	25.00%
No	77.78%	69.90%	12.50%	75.00%
NA	11.11%	1.94%	75.00%	0.00%

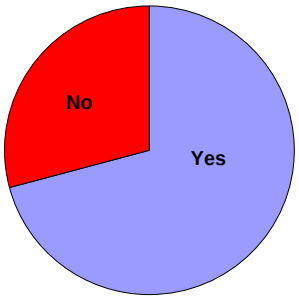
Do you have separate space for storage? (Q68)

The majority of TTIs (64.0%) have NO separate storage space. One fourth (26.5%) DO have storage space and 9.6% responded "NA"



If you entered tenure track from another position at NIH did your lab space increase when you entered tenure track? (Q69)

The majority of the 31 TTIs who did come from another NIH position (71.0% or 22) had an increase in space and 9 (29.0%) did not.



Appendix 2: Questions from 2005 Tenure-Track Investigator Survey

RESOURCE ALLOCATION QUESTIONNAIRE FOR NIH TENURE-TRACK SCIENTISTS

This is a survey of NIH Tenure-Track Investigators to assess the allocation of resources and to identify whether there are problems, either specific to individual labs or branches or common across the Institutes/Centers.
Completion of the survey is voluntary and confidential. The final results will be summarized for your review and for presentation to the NIH Deputy Director for Intramural Research, the Scientific Directors and the Institute Directors.
Please complete the survey and submit your responses and any general comments before .

Thank you.

Joan P. Schwartz, Assistant Director, Office of Intramural Research, OD
on behalf of the NIH Tenure-Track Investigators Committee

Although efforts have been made to make each section inclusive for all, we realize that not all the questions apply to everyone. This means that some questions may be "not applicable (N/A)", and we suggest that you choose that option when appropriate.

A. General

1 - Your Institute <pop up list of all NIH IC abbreviations>

2 - Your academic degrees:
<pop-up list:
MD only
PhD only
MD and PhD
DVM
Other: (overwrite this field)>

3 - How long have you been on the tenure-track? Years
<pop-up list: 0, 1,2,3,4,5,6,7> Months <pop-up list: 1,2,3,4,5,6,7,8,9,10,11>

B. Supervision, Mentoring and Scientific Independence

4 - Who is your direct supervisor?
<pop up list:

Section Chief
Lab/Branch Chief
Scientific Director
Other: overwrite this field>

5 - How often do you have formal meetings with this person to discuss your work, progress, etc. <pop up list: once/week, once/month, once/6 months, once/year, other: overwrite this field, never, N/A>

6 - How often do you spontaneously or casually interact with this person?
<pop up list: daily, weekly, monthly, 6 times/yr, less often, never>

7 - How helpful has your relationship with your direct supervisor been to your progress ?
<pop up list: very helpful, helpful, somewhat, not at all>

8 - Do you have direct meetings with the Scientific Director? <buttons: yes/no>
If yes, how many times a year? <pop-up list: 1,2,3,4,5, 6, more than 6>

9 - How helpful has your relationship with your Scientific Director been to your progress ? <pop up list: very helpful, helpful, somewhat, not at all>

10 - Does your lab/branch chief provide career guidance and mentoring to a level you find adequate? <pop-up list:yes, no, N/A>

If not, what are the main reasons (check all that apply)?

- Too busy
- Conflicting scientific interests
- Personality differences
- You don't desire guidance
- Other
- N/A

11 - Rate the quality of mentoring provided by your lab/branch chief:
<scale of 1-5; 1=poor, 5=ideal>

12 - Rate the quantity of mentoring interactions with your lab/branch chief:
<pop up list: too little; sufficient; too much>

13 - The primary modes of mentoring provided by your lab/branch chief are (check all that apply):

- casual interactions
- intellectual guidance on projects
- formal evaluations of progress
- critiques on mauscripts and seminars

- encouragement and motivation
- help in resolution of conflicts & difficulties
- minimal/none

14 - Do you have a scientific mentor other than your lab/branch chief? <yes/no>

(For the following questions, “publications” are peer-reviewed original publications, not book chapters, abstracts, or reviews)

15 - While on tenure track, how many publications have you produced?
<pop-up list:0,1,2,3,4,5,6,7,8,9,10, 11+>

16 - On how many of these publications are you the senior author?
<pop-up list:0,1,2,3,4,5,6,7,8,9,10, 11+>

17 - How many publications include your lab chief, other senior lab member, or other supervisor:
... as a co-author? <pop-up list:0,1,2,3,4,5,6,7,8,9,10, 11+>
... as the senior author? <pop-up list:0,1,2,3,4,5,6,7,8,9,10, 11+>

- How many publications include a senior scientist outside NIH <pop-up list:0,1,2,3,4,5,6,7,8,9,10, 11+>

18 - Of these publications, were any of the co-authorships out of ‘courtesy’ rather than based on merit in your opinion? <pop-up list:yes, no, N/A>

C. Performance Evaluation

19 - Since you became tenure track, have you ever had a performance evaluation (not including BSC or site visit review)? <button: yes/no>
If yes, how many months elapsed before you received your first evaluation?
<pop-up list with numbers 0-24, >24>

20 - Have you received ***annual*** performance evaluations since entering tenure-track? <Pop-up list; “yes, oral”, “yes, written” “yes, both oral and written” “no”>

21 – If you answered yes to question 21, does your direct supervisor perform the annual evaluation? <buttons: yes/no>

22 - If you have an annual performance evaluation performed by someone other than your direct supervisor, please describe the process: <open ended text field, large enough to display two lines and expand to more if needed>

23 – To your knowledge, is there a written report of your evaluation? <yes/no>

24 - If you answered yes to question 24, did you sign it and receive a copy? <yes/no>

25 – If you have had performance evaluations, have they contributed to your development as a scientist/leader? <buttons: yes/no, text field for comment>

D. Mid-Term Evaluation by Board of Scientific Counselors or Site Visit Team

26 - Have you had a mid-term (between 1-4 years after starting tenure-track) evaluation BY YOUR IC'S BSC OR SITE VISIT TEAM? <yes/no>
[If no, skip to Section E, "Personnel." If "yes, please answer the following:]

27 – If yes, have you had more than one? <yes/no>

28 – If more than one, was the most recent mid-term evaluation of you carried out as a part of the Board of Scientific Counselors' review of your lab or branch? <yes/no>

29 - How many years had you been on tenure-track when the most recent mid-term review occurred? <pop up list: blank,1,2,3,4,>

30 – How many months ahead were you told that your mid-term evaluation would occur? <pop up list: 0, 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, >12>

31 - Did you know in advance what procedures would be followed in the midterm evaluation? <yes/no>

If yes, who advised you?
<Pop up list:
Section Chief
Lab/Branch Chief
Scientific Director
Other: overwrite this field>

32 – Did you receive mentoring on the preparation of your written report for the midterm review <yes/no>; on your oral presentation? <yes/no>

If yes, who mentored you? (check all that apply)
<Pop up list:
Section Chief
Lab/Branch Chief
Scientific Director
Other: overwrite this field>

33 - Did you know who the members of the review team would be in advance? <yes/no>

If yes, who advised you? (check all that apply)
<Pop up list:
Section Chief
Lab/Branch Chief
Scientific Director
Other: overwrite this field>

34 – How many months ahead of the review did you learn who the members of the review team would be? <pop up list: 0, 1, 2, 3, 4, 5, 6, >6 >

35 – Did you have an Ad Hoc reviewer in your field? <yes/no>

36 – How many of the reviewers were knowledgeable about your research?
<pop up list: 0, 1, 2, 3, >3 >

37 - If increases in resources were recommended, did these materialize?

Budget increase: <pop-up list: “none recommended”, “none materialized”, “some materialized”, “all materialized”>

Space increase: <pop-up list: “none recommended”, “none materialized”, “some materialized”, “all materialized”>

Staffing increase: <pop-up list: “none recommended”, “none materialized”, “some materialized”, “all materialized”>

38 - If some of the recommended increases did not materialize, did you receive an explanation? <yes/no>
If yes, did the explanation provide a satisfactory justification for why not?
<yes/no>

39 – Did you receive:
- adequate written feedback from your Scientific Director? <yes/no>
- adequate verbal feedback from your Scientific Director? <yes/no>
- adequate written feedback from your Lab/Branch Chief? <yes/no>
- adequate verbal feedback from your Lab/Branch Chief? <yes/no>

E. Personnel Resource Allocation

40 - How many ***FTEs*** have been allotted to you? <pop up list: 0,1,2,3, more than 3, N/A, don’t know>

41 - How many ***non-FTEs*** have been allotted to you? <pop up list: 0,1,2,3, more than 3, N/A, don't know>

42 - How many of them are postdoctoral fellows? <pop up list: 0,1,2,3, more than 3, N/A, don't know>

43 - How many are technicians? <pop up list: 0,1,2, more than 2, N/A, don't know>

44 - What ***mechanism*** was used to hire a technician? (Check all that apply) <radial buttons including "No technician allowed", "Temporary GS", Technical Pre-IRTA", Other"> <after "Other" have a write-in field, one-line showing>

45 - Did you have enough knowledge/ administrative support to hire a technician?
<pop up list: yes/no/ N/A>

46 - What were the barriers (ranked from large to none) you had in hiring a technician?

	Large	Moderate	Minimal	None
Visa				
Posting an ad				
Getting applications				
Finding someone competent				
Money for salary				
Other <open field comment here>				

47 - Did you have hiring assistance from other sources besides Human Resources Branch personnel? (check all that apply)

Popup: Administrator officer
Senior Investigator
Mentor
Branch chief
Other (_____)

48 - FTEs were available to me at the following time after entering the NIH tenure track program:

Immediately (As soon as I could hire them)
Within year 1
Within year 2
Within years 3-4
Within years 5-6
Never
Not applicable
Don't know if they were available or not

49 - Non-FTEs were available to me at the following time after entering the NIH tenure track program:

Immediately (As soon as I could hire them)
Within year 1
Within year 2
Within years 3-4
Within years 5-6
Never
Not applicable
Don't know if they were available or not

50 - Were you allowed to fill the positions promised in your contract at the time you were hired? <pop up list: yes/not sure/no>

If no <pop up list: One person less than promised
Two persons less than promised
Three or more persons less than promised>

51 - Are any of your personnel shared with someone else? <yes/no>

If yes, what % total effort do these shared personnel work with you?
<pop up list: 25%, 50%, 75%>

52 - Do you receive secretarial help? <yes/no>
If yes, for what? (Please check all that apply)
<four radial buttons>

Personnel actions
Travel
Correspondence
Typing manuscripts

53 - Are Core Facilities available to you?

<pop up list: yes/no/unsure/ N/A>

If yes, how do you pay for Core Facility work?

Popup No charge
My CAN
Lab budget to which I contribute
Lab fund set asides
Other?
Unsure

Are you responsible for running a Core Facility yourself? <yes/no>

54 - Do you have adequate informational technical support, such as:

- access to patient or subject recruitment,

- clinical or general database management,
- protocol management,
- programmers,
- statistical assistance

For each sub-question above<pop up list: yes/no/ N/A>
If no, would you say you have:
No support at all
About a third of what you need
About a half of what you need
Most of what you need

55 - Do you have adequate patient or subject travel support monies?
<pop up list: yes/no/ N/A>

If no, would you say you have:
No support at all
About a third of what you need
About a half of what you need
Most of what you need

F. Budget

56 - Do you have your own annual budget for your lab? <yes/no>

Was the amount specified in your tenure-track contract agreement? <yes/no>

When did you get it? <immediately/within first 6 months/within first year/more than one year later>

Is the amount adequate? <yes/no>

Is your budget allocation broken down by: (check all that apply)
<pop up list: personnel, supplies, equipment, travel, maintenance agreements (common or personal)>

57 - Do you have your own CAN number? <yes/no>

58 - What percentage of your budget is not under your direct control because it is tapped by the Section or Lab/Branch to cover general costs over which you have no influence? <pop up list: 0%, up to 10%, up to 30%, up to 50%, up to 70%, up to 90%, up to 100%>

If greater than 0%, how is your share determined <open comment field>

59 - Do you obtain enough information to track the costs shown in your budget reports? <yes/no>
- to verify them? <yes/no>

60 – Who sets your budget (check all that apply):
Section Chief
Lab/Branch Chief
Scientific Director
Other <open text field>

61 - Who decides on increases/decreases of your budget? (check all that apply)
Section Chief
Lab/Branch Chief
Scientific Director
Other <open text field>

62 - Are you involved in these decisions? <yes/no>

63 - Have you ever had money taken out of your budget that you had planned to use for specific projects, even though you had planned your spending so that funding would last until the end of the year? <yes/no>

64 - How do you get expensive new pieces of equipment when the cost is beyond your budget?

(check all that apply)

Request to Scientific Director
Request to Lab/Branch Chief/Section Head
Capital equipment request within IC
Competitive Supplements proposal
General Lab/Branch equipment budget
(Who determines priorities? – open field comments)
End-of-year funds
(Who determines priorities? – open field comments)
N/A
No mechanism exists
Outside funds
Don't know

G. Office and Lab Space

65 - Do you have a private office? <yes/no>
If ***not,*** how many people share the common space? <pop –up list: 2,3,4,5, more than 5>

66 - How many square feet of lab space does your lab have? <pop up list: 0-100, 100-200, 200-300, 300-400, 400-500, 500-600, more than 600, N/A>

- How much space were you promised in your contract? <same pop up list>

- How soon did you get it? <immediately/within 6 months/within one year/more than one year later>

67 - Do you have equipment in your lab that is not yours? <yes/no/ N/A>

68 - Do you have separate space for storage? <yes/no>

69 - If you entered tenure track from another position at the NIH, did your lab space increase when you entered the tenure track? <yes/no/ N/A>

H. Life After Tenure Track

70 - Do you expect to receive additional resources after receiving tenure? <yes/no>

71 - If so, what would they include? (check all that apply):
<radial buttons: “larger budget”, “budgetary control”, lab space”, “personnel”, “Other”>
<after “Other”, add an open-ended field with one blank line showing>

Appendix 3: Proposed template for tenure-track self reporting

Please include the following:

- Peer-reviewed manuscripts published or accepted for publication
- Review articles published or accepted for publication
- Invited lectures
- Participation in grant reviews/study sections
- Participation in manuscript reviews
- Mentoring(students/postdocs)
- Clinical activities (if applicable)
- Participation on NIH committees and/or in interest groups
- Collaborations within and outside NIH
- Other notable accomplishments during the past year not reflected above
- Problems/concerns regarding your progress to date

Also write one paragraph briefly outlining research goals for the coming year