

BUILDING AND SUSTAINING A DIVERSE FACULTY: IMPLICATIONS FOR FACULTY ADVANCEMENT AND REWARD SYSTEMS



UC DAVIS ADVANCE ROUNDTABLE REPORT

Friday, April 10, 2015

University of California, Davis



Building and Sustaining a Diverse Faculty: Implications for Faculty Advancement and Reward Systems

GOALS OF THE ROUNDTABLE:

1. Evaluate the impact of practices and policies that aim to assure equity in faculty advancement and reward systems with the goal of defining best practices
2. Discuss the continuing barriers to equity and their effect on career choice particularly for URM STEM researchers.
3. Assess the impact of our current reward metrics and systems on attaining and sustaining a diverse faculty

Roundtable Presenters (in order of appearance):

- **Karen McDonald**, Professor, Chemical Engineering & Materials Science, Co-PI and Faculty Director, UC Davis ADVANCE
- **Linda Katehi**, Chancellor, UC Davis, and PI, UC Davis ADVANCE
- **KerryAnn O'Meara**, Associate Professor, Higher Education & Affiliate Faculty in Women's Studies, Co-PI and Co-Director, UMD ADVANCE Program, University of Maryland
- **Adela de la Torre**, Vice Chancellor of Student Affairs, Professor, Chicana/o Studies, and Co-PI UC Davis ADVANCE
- **Laura Grindstaff**, Professor, Sociology, and Co-Investigator, UC Davis ADVANCE
- **Yvette Flores**, Professor, Chicana/o Studies, and Co-Investigator, UC Davis ADVANCE
- **Mary Lou de Leon Siantz**, Professor, Nursing, Founding Director of CAMPOS, and Co-Investigator, UC Davis ADVANCE
- **Linda F. Bisson**, Professor, Viticulture and Enology, and Associate Director, UC Davis ADVANCE
- **Diana Bilimoria**, KeyBank Professor, Chair, Organizational Behavior, Case Western Reserve University
- **Stergios (Steve) Roussos**, Interim Executive Director, Blum Center, Office of Research, Director, Community Research, Health Sciences Research Institute, UC Merced
- **Susan Carlson**, Vice Provost for Academic Personnel, UC Office of the President
- **Maureen Stanton**, Vice Provost for Academic Affairs, Professor, Evolution and Ecology, and Co-PI, UC Davis ADVANCE

INTRODUCTION

This report is a synopsis and synthesis of the UC Davis ADVANCE Roundtable on April 10, 2015. 70 faculty, administrators, and staff from across the system gathered to engage through presentations and discussions. The focus on building and sustaining a diverse faculty addressed both issues of faculty retention and appropriate reward matrices.

Supporting documents, literature and videos from the event can be accessed at:

<http://ucd-advance.ucdavis.edu/event/uc-davis-advance-roundtable-building-and-sustaining-diverse-faculty-implications-faculty>.

WELCOME

Linda Katehi, Chancellor, UC Davis

Chancellor Katehi welcomed attendees with her message that UC Davis needs to lead in diversity. She shared that the University of California is recognized as the number one university system in the world. This has come as the result of exceptional faculty and staff. As a result of being a leader, the university must also push for progress and lead the way for other institutions to follow. She invited guests to think of diversity as a way of excellence, and that excellence is not a destination but rather a journey. Once we get to the destination, we must raise the bar higher.

Chancellor Katehi reported that in the year 1984-1985, 25% of faculty appointments in the UC System were women and only 7% were underrepresented minorities (URMs). In 2014-2015, 40% of faculty appointments were women and 14% were underrepresented minorities. Additionally, there has been a change in the student cohorts entering. Our campuses are changing and UC Davis is now becoming a Hispanic Serving Institute (HSI). She further reported that there has been an increase in the number of Latina/o students admitted, as a university “we have a wonderful challenge to match the demographics of the state.”

She continued to comment that in her experience of ADVANCE programs, UC Davis has been highly successful in bringing the campus together not just to recruit and hire diverse faculty, but to also retain faculty on campus. This has been the result of having faculty really committed to the cause. In 2014, 104 new faculty members were hired at the university, by 2020 this number will rise to 650. Currently, UC Davis is in an aggressive recruitment period. The key is not just to recruit diverse faculty, but to retain them and give them the opportunity to succeed in their profession.

She closed her welcoming remarks by sharing that as a UC system, only 2 out of 10 chancellors are female, as is the President, however there are no underrepresented minorities. Chancellor Katehi that the new challenge for the UC system is to diversity the administration of the universities.

THE PROMOTION AND TENURE POLICIES OF EQUITY-MINDED INSTITUTIONS

KerryAnn O’Meara, Associate Professor, Higher Education & Affiliate Faculty in Women’s Studies, Co-PI and Co-Director, UMD ADVANCE Program, University of Maryland

Dr. O’Meara opened her talk by sharing her experience with other ADVANCE grants as she is the CO-PI and Co-Director for the ADVANCE grant at the University of Maryland. Her keynote addressed the stages in which an institution can become supportive of diverse faculty and diverse forms of scholarship.

She contextualized general findings from her fifteen years of conducting research on the diversification of faculty, and noted significant lack of agency from administrators to change systems that are wrong. Acceptance of inequalities contributed to the perpetuation of inequalities. When a university acknowledges there is a change to be made, then they go from being indifferent to taking action as Figure One indicates.

When making the case to universities about change there are several arguments that can be made. The full participation argument, states that we need more women in faculty positions.

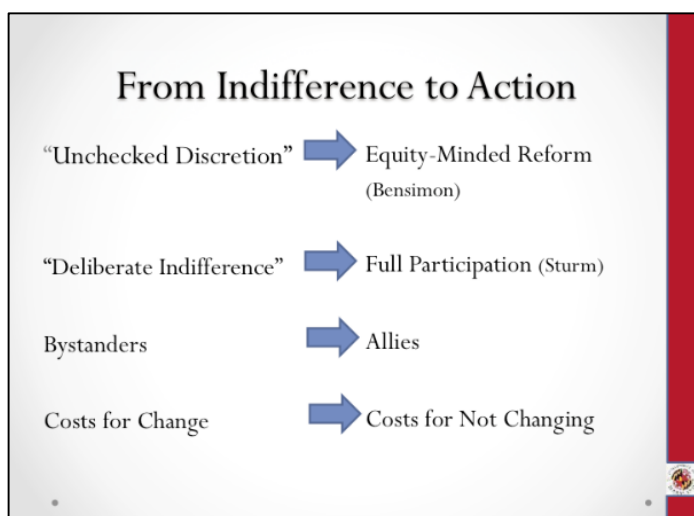
For full citations, see O’Meara’s PowerPoint slides at: http://ucd-advance.ucdavis.edu/sites/main/files/file-attachments/omeara_advance_roundtable_presentation.pdf

Equity-minded reform is aware of the socio-historical context of exclusionary practices in higher education. It also takes ownership and responsibility for equity in the process and outcomes. According to Dr. O’Meara an equity-minded campus:

1. Broadens the definition of scholarship,
2. Accepts and assesses new scholarly products,
3. Encourages varied metrics for impact,
4. Removes noise and adds relevance to external review,

5. Owns bias,
6. Creates MOU/Mentoring plans,
7. Recognizes pace and trajectory will vary
8. Organizes fair workloads,
9. Values collaboration,
10. Analyzes pay gaps and creates alternatives to outside offer-only raises,
11. Resists arguments for cheap labor and replaces with fair stipends and benefits for Postdoctoral fellows and NTT faculty, and
12. Becomes accountable for outcomes and displays transparency and accountability.

Figure 1: From Indifference to Action



By broadening the definition of scholarship, campuses value scholarly activity that is dynamic, increasingly interdisciplinary, engaged, digital and can be policy-related. Dr. O'Meara provided the example of the definition of the University of Maryland where the university is "defining scholarship as the discovery, integration, engagement, and transmission/translation of knowledge." The quality of scholarship is assessed through peer review, impact and significance. It is the candidate's responsibility to demonstrate each of these three elements of their scholarship. This is particularly important because we know women and underrepresented minorities are represented in higher numbers in scholarship that is interdisciplinary.

Accepting and assessing new scholarly products allows universities to change language in promotion and tenure guidelines stating that non-traditional forms of scholarship are also important. Examples of these include training videos, development of new school curriculum impact on policy and other products. Each discipline can then create a list of alternative forms of scholarship. To make this work, promotion and tenure

guidelines should provide concrete examples of potential alternative products/evidence of scholarship.

Campuses encourage varied metrics for impact because there is recognition that impact does not accurately measure the impact in the scholarly community. Dr. O'Meara emphasized that contextualization is key to measure impact. She further stated that it is important to allow alternative impact metrics for the advancement of scholars that are relevant to field and the audiences the work targets.

Dr. O'Meara stated that reviews based on prestige of reviewer have been found to be biased towards underrepresented minority women. Additionally, we must move away from asking a reviewer if the candidate would be tenured at the reviewer's institution. Rather, reviewers should be given guidelines from the institution of the candidate and asked to assess the candidate using those guidelines. To add relevance to the review process, reviews should be based on their expertise in the field and are aware of newer scholarly forms. If relevant, chooses reviewers who can evaluate alternative impacts.

According to Dr. O'Meara, equity-minded institutions own their bias by recognizing bias and working towards ending damage. There is a move from the institution to identify that bias exists in promotion and tenure documents. Furthermore, by educating faculty about this bias and empowering faculty to comments on such bias and affirming with committees the impact of such bias, the institutional commitment to promoting inclusive excellence will become reality.

Dr. O'Meara recommended the creation of MOUs and Mentoring plans, as a mechanism to avoid bias and increase faculty retention. These are detailed written agreements between the incoming faculty, dean and senior faculty in the department. This document will outline the specific type of scholarship (e.g. engaged, digital, interdisciplinary) incoming faculty will be expected to conduct over the course of their career. This document follows the faculty and becomes part of their dossier.

Institutions must recognize that the pace and the trajectory of each faculty member will vary. Not all scholars follow the same path of post doctorate research; have the same number of grants, nor the same number of publications. What is important to assess is the quality of the work being created. Institutions should place value on a candidate meeting standards of excellence rather than the length of time it took to achieve this. It is very important that policies prevent candidates from being disadvantaged for using policies such as parental leave.

Equity-minded institutions organize fair workloads. Time is one of the most valuable resources faculty members have to accomplish their goals. Course releases are a common incentive for various faculty activities to help faculty achieve work/life balance. Dr. O'Meara shared that women faculty have been found in many studies to spend less time than men on research. Furthermore, women and underrepresented minorities spend more time on campus service. Time spent on campus service has been found to negatively impact women's time to advancement from associate to full professor.

Valuing collaboration is another trait of equity-minded institutions. Institutions must move towards seeing collaboration as a mechanism to strengthen scholarship. It is important for authors to identify their contributions to co-authored publications, co-written grants and projects and for evaluators to recognize the full value of such collaborative contributions.

As in society, pay gaps exist in the academy. Institutions analyze pay gaps and create alternatives to outside offer-only raises. As in society, pay gaps exist in the academy. Institutions should analyze salaries and adjust as needed. Equity-minded campuses create alternative ways to provide raises based on assessment of productivity and local contributions and not on outside offers. Dr. O'Meara shared that women are ten percent more likely to change jobs for an outside offer.

Equity-minded institutions resist arguments for cheap labor and provide fair stipends and benefits for postdoctoral scholars and non-tenure track faculty. These institutions focus on ways to improve working conditions, salaries, benefits, and advancement opportunities for non-tenure track faculty and postdoctoral fellows.



Lastly, equity-minded institutions track and are accountable for the outcomes of their reward system efforts. As such, they collect data and share it widely (e.g. tenure decisions, promotion, outside offers by race, gender, NTT faculty, postdoctoral scholars), place language in their Promotion & Tenure documents that requires periodic examination of this data for equity concerns and identify a process for revisiting guidelines and addressing equity issues as they appear.

AGAINST ALL ODDS: CAREER PATH OF PPFP LATINA SCHOLARS

Adela de la Torre, Vice Chancellor of Student Affairs, Professor, Chicana/o Studies, and Co-PI UC Davis ADVANCE. Laura Grindstaff, Professor, Sociology, and Co-Investigator, UC Davis ADVANCE. Yvette Flores, Professor, Chicana/o Studies, and Co-Investigator, UC Davis ADVANCE. Mary Lou de Leon Siantz, Professor, Nursing, Founding Director of CAMPOS, and Co-Investigator, UC Davis ADVANCE

Dr. Adela de la Torre opened the presentation by sharing the legacy of the President's Postdoctoral Fellowship Program (PPFP). This fellowship was created by the Office of the President in the 1980s as a mechanism to enhance the diversity of postdoctoral fellows who would then be eligible to enter the academy. Dr. de la Torre shared that she was part of the first cohort in the fellowship year of 1987-1988. Over the years 537 postdoctoral scholars have been awarded fellowships, only 58 have been Latinas. Studying Latinas in this postdoctoral fellowship pool allows us to understand the mechanisms through which we can attract and retain Latinas in the academy. "The reality, whether we want to accept it or not, is that the legitimacy of a Latina scholar is if a white scholar reviews them," concluded Dr. de la Torre.

To understand the factors that enable success of Latina faculty, the mission of the social science research initiative is to:

1. Identify the personal and institutional factors influencing the career paths of Latina STEM scholars in academia,
2. Inform the UC Davis ADVANCE program initiatives, and
3. Contribute to the literature explaining the under-representation of Latinas in STEM.

Dr. Laura Grindstaff proceeded to share the methodology being utilized in this study. This is a qualitative study employing in-depth, semi-structured interviews to reveal the reality experienced by the women being interviewed. This method allows contextual factors and nuances experienced by the participants to be elucidated by eliciting information on what participants say and do. Each interview takes approximately two to three hours to conduct and approximately fifteen to thirty hours to transcribe. Each transcription is then subject to layered analysis using grounded theory. The themes that emerge from the transcription are then parsed out to link and find patterns. Dr. Grindstaff also added that there is an emotional cost for those who conduct the interviews, those who transcribe, and those who listen to the transcription because of the painful experiences being reported by the women being interviewed.

Preliminary themes that have emerged from the transcriptions are early childhood experiences (home, school and neighborhood), mentoring, structural and programmatic supports, role of family in pathway, work-life balance, conflicts/challenges, resilience and positionality.

Most of the women interviewed grew up in poverty. The violence they experienced has been profound. Many have had to rely on family members to act as mentors for them and cheer them to continue with their studies and eventually enter the academy. The frequency of microaggressions increased as the women went through the pipeline. The microaggressions they suffered were because of their gender and ethnicity. Many of the women expressed continual suffering of imposter syndrome. Dr. Grindstaff shared the experience of one of the interviewees "At Berkeley, I was asked if I was the janitor." Lastly, work/life balance doesn't exist for these women. "There is no balance," one interviewee shared, and as a result many do not have children.

Dr. Marylou de Leon Siantz then presented on the importance of mentorship. She shared that mentorship has occurred across the lifespan of the women. In many instances there was an individual who identified a special talent in them and encouraged them to continue with their education. Peer mentors were equally important. It was their more advanced peers who helped them with homework and helped them engage with social networks. Peer mentors were deemed equally important to faculty mentors. Most of the interviewees heard about the president postdoctoral fellowship informally through a peer who had previously applied.

Dr. Yvette Flores concluded the presentation by sharing the importance of programmatic supports. Programs such as MARC, MBRS, Bridge Programs, UC-TAP, UC-TAG, Ford Foundation and PPFP are critical to mentoring and

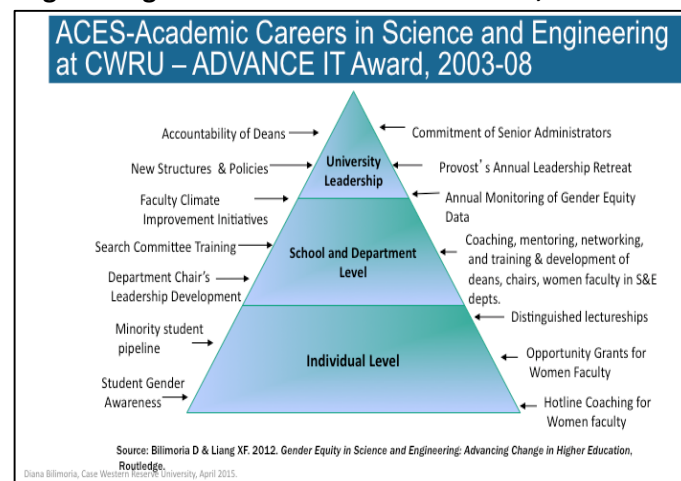
keeping women of color on the academic route. These programs are especially crucial for the most disadvantaged.

ACHIEVING EQUITY THROUGH LEADERSHIP DEVELOPMENT OF WOMEN AND MEN FACULTY

Diana Bilimoria, KeyBank Professor, Chair, Organizational Behavior, Case Western Reserve University

Dr. Bilimoria opened her presentation by sharing that Case Western Reserve University (CWRU) is a private university in Ohio and was established 1826. It is ranked 38th in the United States with approximately 5,000 undergraduates, 6,000 graduate students and 3150 full-time faculty. The institution received an ADVANCE award from 2003 to 2008. CWRU set out to create institutional change at three levels: (1) individual level, (2) school and department level, and (3) university leadership.

Figure 2: ACES-Academic Careers in Science and Engineering at CWRU – ADVANCE IT Award, 2003-2008



In the second ADVANCE grant, the institution received a PAID award from 2009-2012. This grant was awarded to seed institutional transformation at six northern Ohio research universities – Bowling Green State University, Cleveland State University, CWRU, Kent State University, University of Akron, and University of Toledo. The goal of the grant was to develop a cohort of formal and informal leaders at each partner institution to implement, adapt and sustain customized gender equity change on individual campuses. To reach this goal, CWRU hosted four lead leadership development sessions annually. Some of the grant outcomes were the establishment of a Presidential Task Force for Women in STEM, the creation of a Faculty Enrichment & Leadership Center,

and inclusion of faculty diversity goals in strategic planning. **Figure 3** represents the changes in number of tenure-track faculty across the six participating universities. **Figure 4** is a graphical representation of the changes in leadership positions across the six participating universities.

Figure 3: Number of Tenure-track Faculty across Six Universities

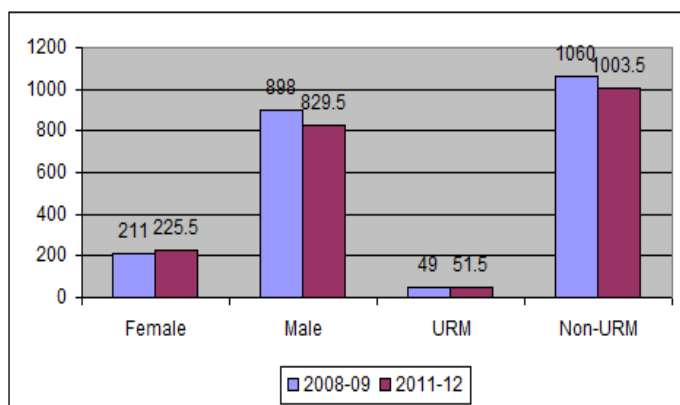
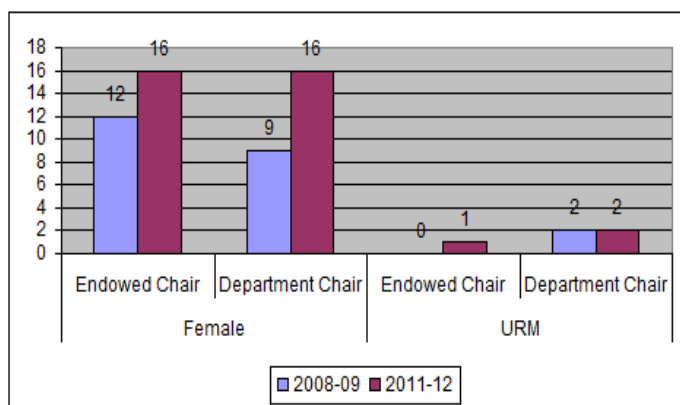


Figure 4: Leadership Positions across Six Universities



Currently, CWRU has a program named Leadership Development through Academic Coaching (ACES). Executive coaching is provided through four sessions for all new department chairs, associate deans and deans. For faculty, there are three sessions provided to all new or promoted/tenured women faculty in STEM areas. Additionally, the university has Hotline coaching where one to two sessions are made available to all full-time faculty members to gain advice on an urgent issue, problem or opportunity.

Dr. Bilimora shared that to date CWRU has held ten annual half-day retreats to provide leadership development for deans and chairs. Keynote speakers address the importance of creating gender equity.

Furthermore, this creates the space to conduct annual presentations and discuss gender equity indicators and climate survey findings every three years.

Since 2011, CWRU has held annual Department Chair Leadership Forums, which are run through the Provost's office. These take the form of two lunchtime sessions per semester. Examples of these interactive sessions include: managing faculty conflict, recruiting women and URM faculty, faculty climate survey findings, best practices in faculty annual evaluation, university strategic plan implementation, and online teaching innovations.

The Flora Stone Mather Center for Women has run the Women Faculty Leadership Development Institute (WFLDI) since 2009. The goal of WFLDI is to promote diversity through improved retention of women faculty, and to provide faculty development that meet the expectations and needs of women faculty scholars. WFLDI programs include Women Faculty Connect (twice annually), Advice from Women Full Professors (twice annually), and external annual speaker series.

Dr. Bilimora also shared about the Women Faculty of the School of Medicine (WFSOM), and FLEX program, which started in 2012. The goal of the WFSOM is to empower women to pursue career opportunities with national and international presence, and develop a leadership pipeline of skilled and qualified women. Additionally, the Women Staff Leadership Development Institute, WSLDI, has been in existence at CWRU, since 2010. This program is aimed at increasing the number of women staff members with skills that enable better communication, more collaboration, and development of trust across university units, which would create a synergy that promotes the university's best practices.

For the development of students, CWRU has created the Women in Science and Engineering Roundtable (WISER). WISER is open to all women STEM undergraduate, graduate and professional students. The Peer Mentoring Program pairs first or second year students with WISER upper-class or graduate students in a similar field of study. The Professional Mentor Program pairs WISER junior, senior or graduate students with women mentors from industry/business. WISER hosts monthly workshops, panel discussions and provides a space for outreach activities. These outreach activities take place at a middle school after-school girls' science and engineering club, and international outreach through various initiatives for underprivileged girls in Bangalore, India in partnership with a nonprofit organization, Seva.



Roundtable participants (L-R): Donna Shalala, Karen McDonald, KerryAnn O'Meara, Mary Lou de Leon Siantz, Alison Galloway

VALUING THE SCHOLARSHIP OF ENGAGEMENT AND OUTREACH

Stergios (Steve) Roussos, Interim Executive Director, Blum Center, Office of Research, Director, Community Research, Health Sciences Research Institute, UC Merced

Dr. Steve Roussos opened by sharing the objectives of his presentation:

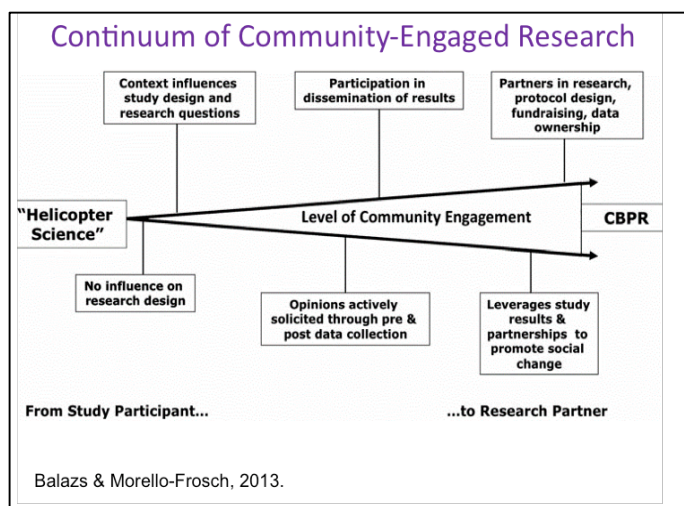
1. Examine the role of Community Engaged Research (CEnR) in equity in faculty advancement and rewards systems
2. Discuss findings from a UC-wide study of campus and system infrastructure to support CEnR

According to Harkavy, Cantor & Burnett (2015), propositions for engagement include:

- There are significant societal problems that cannot be solved without full inclusion.
- Inclusion will result in better science and a better society.
- Higher education-community engagement focused on locally manifested universal problems is an effective strategy for realizing full inclusion and for producing better science and a better society.
- Issues of knowledge generation, STEM equity, and social cohesion are faced by societies all over the world; they are universal problems that are manifested locally, which no single society can

solve. An ongoing, global learning community focused on higher education-community engagement and STEM equity is needed to produce better science, broaden participation, reduce inequalities and improve societies.

Figure 5: Continuum of Community-Engaged Research



Dr. Roussos shared some of the uses of community engagement for researchers and research. This methodology allows for scholars to provide a service and contribute to the communities in which they are conducting research. This engages communities and creates benefits and knowledge gain to both the researcher and the community.

In CEnR, the role of community members in research can vary. In traditional research, the local context is not considered nor does the local community have influence on the research question or design.

In this methodology, the role of community members increases. They might participate in research design, might be involved with pre and post data collection, and might also participate in the dissemination of results. This transforms community members from “study participants” to “research partners,” who share in doing, interpreting and acting on research.

While these are not new approaches to research, they are new for research-intensive universities. These research comprise a method to retain and promote underrepresented minorities because they provide a venue to conduct research that is conducive to creating change. Furthermore, Dr. Roussos stated that community engagement during undergraduate education promotes retention of underrepresented minority students. This in turn contributes to graduate pursuits of STEM and research overall. Lastly, graduate students are increasingly searching for community

engaged research training programs and careers to balance their academic training.

Figure 6: UC Systemwide Survey Distribution and Response

	Invited	Responded	Response Rate
Tenured	1,633 (55%)	194 (48%)	12%
Tenure track	560 (19%)	44 (11%)	8%
Non-tenure track	748 (25%)	167 (41%)	22%
Total	2,941	405	14%

The second part of Dr. Roussos presentation focused on the UC systemwide survey aimed at understanding the components of a CEnR definition and to identify presence and value of known important infrastructure factors. The survey sample was developed after conducting a literature review identifying methods, content and framing of CEnR, and discussions with CEnR experts and peers. The survey was rolled out after pilot testing and refinement. **Figure 7** indicates there is a large percentage of female faculty members engaging in CEnR work.

Figure 7: Key Demographics of Survey Respondents Versus Overall UC Faculty

	Survey	UC
Tenured Female	54.5%	28.8%
Tenure-track Female	76.2%	41.0%
Tenured Latino	10.4%	5.5%
Tenured African American	2.0%	2.4%

Key findings from the survey include:

- **92%** of respondents believe community members gain tangible product and or benefit from CEnR work
- **88%** believe CEnR includes non-academic decision-makers
- **81%** agree that community members co-participate in dissemination of research
- **34%** reported that CEnR matters to UC regents.
- **88%** reported that CEnR matters to community leaders in region most served by campus
- **36%** reported having community organizations within region served by campus are receptive to collaborating in CEnR, while 34% reported having community organizations within region

served by campus as having the capacity to collaborate in CEnR

- Only **8%** of respondents reported having a one-stop office at their campus offering support for those interested in CEnR
- Only **5%** of respondents reported being at a university where tenure, review and promotion support CEnR.

Dr. Roussos shared recommendations for increasing Community Engaged Research at universities. First, it is important to change incentive and reward system to value CEnR. Second, CEnR should be implemented and assessed as part of review. Lastly, universities should make this a higher priority for any human subject research. IRBs should include questions for the investigator about what input was obtained from the target population in regards of the study design and content.

Dr. Roussos concluded his presentation with a quote from Judith A. Ramaley, Community engaged scholarship thought leader, “A 21st century education must prepare all of our students to be creative, innovative solution-finders who can deal with problems they have never seen before while working with people they have never met before, many of whom are very different in values, culture, experience and expertise.”

BIAS IN GRANT REVIEW: THE FAULT IN OUR METRICS?

Linda F. Bisson, Professor, Viticulture and Enology, and Associate Director, UC Davis ADVANCE

Dr. Bisson opened her presentation by posing the questions, “Who does NIH fund?” and “Is it biased?” Ginther et al. (2011), found Asian and African American faculty are less likely to obtain grant money. Furthermore, underrepresented faculty needed more attempts to get a grant funded. However, we do not have a mechanism for truly assessing how many grants were awarded to underrepresented Chicana/o Latina/o faculty. The chart below is a graphical representation of grants awarded to faculty by race and ethnicity taken from the Ginther study.

In the “Economies of Science Funding for Research,” Paula Stephan (2010), found that once a faculty member received one grant; they were more likely to be successful in getting another grant awarded. Furthermore, the presence of demonstrated expertise and strong preliminary data play an especially key role in

the review process. Often faculty members at top institutions are more likely to receive grants. Lastly, grants are scored on “do-ability”- having enough preliminary data to guarantee success.

In “Rescuing US biomedical research from its systemic flaws,” Bruce Alberts et al. (2014) found that the federal grants system is a hypercompetitive system that is discouraging to potential outstanding students and faculty. The level of hyper-competitiveness varies by discipline and sub-discipline, but all are moving in the same direction. Analyses across disciplines and agencies continue to show an aging of the successful grant awardees and an ever increasing age of the contingent of faculty obtaining their first grant. Further, the current culture of “required resubmission” of grants in order to be successful cripples faculty time. Policies, practices and attitudes of academia are based on the assumption of continued rapid growth of federal funding sources to match growth in costs and in people, but funding levels have not kept pace with this belief. Lastly, the system favors those who can guarantee results rather than those with potentially path-breaking innovative or risky ideas. He and his co-authors are calling for series discussion and revision of federal granting processes.



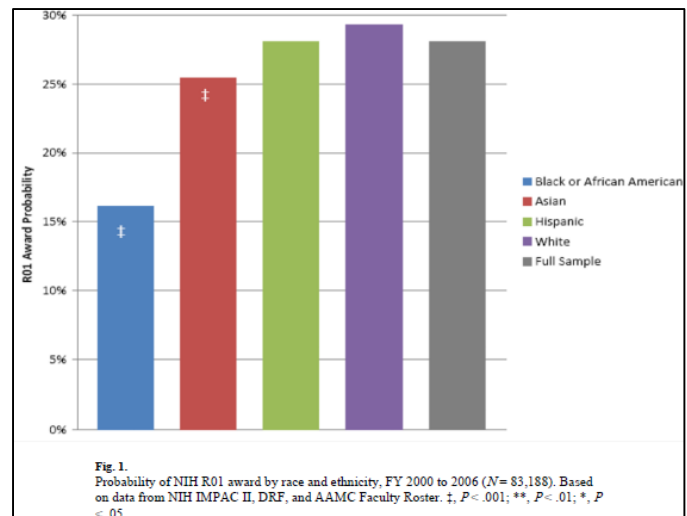
Roundtable participant: Felix Wu

Danielle Li reports in “Information, Bias, and Efficiency in Expert Evaluation: Evidence from the NIH,” that reviewers are biased in favor of applications from their own subfield. This is partially because reviewers are more informed about the quality of work in their own areas. Holding applicant quality metrics constant, every additional permanent grant panel member an applicant is “related” to increases her chances of being funded by 2.9 percent. Reviewers shape committee decisions by both increasing bias toward their own areas and by improving information. Lastly, the gains associated with review by potentially biased experts dominate the losses.

Dr. Bisson concluded by sharing that both age and other bias in federal grant awards are documentable, as data

have clearly shown evidence of this. Bias is partially due to implicit bias, both direct or indirect, and bias toward metrics of quality that display inherent implicit bias (also referred to as institutional bias). Lastly, potential junior faculty, and particularly URM faculty, are discouraged by the hyper-competitiveness of federal funding and the “crippling” demands on time.

Figure 8: Probability of NIH R01 award by race and ethnicity, FY 2000-2006



OPEN DISCUSSION: CURRENT REWARD SYSTEMS, THE NEED FOR CHANGE AND OUTCOMES

Susan Carlson, Vice Provost for Academic Personnel, UC Office of the President, Maureen Stanton, Vice Provost for Academic Affairs, Professor, Evolution and Ecology, and Co-PI, UC Davis ADVANCE

During a working lunch, participants were asked to respond and discuss pre-assigned questions, with table members. In the open discussion period, each table was asked to share their key responses to their assigned question. Each table gave a response, then the audience had an opportunity to ask questions and add further comment. The following summary provides the question posed, response from the table and comments made by the audience.

Addressing Implicit Bias in the Review and Reward System

Question 1: Social science research documents the role of implicit bias across the spectrum of faculty work – in

the terms used in teaching evaluations, in credit given in collaborative work, and in the expectations for participation in service activities. Training of review committees can help in mitigating the impact of implicit bias in our metrics of excellence but does this go far enough? What are the best practices for reduction of implicit bias in faculty review? Is there a need to adjust our metrics of excellence to be more inclusive of alternative career pathways?

Response: Structural changes are more important than training individuals. It is important to introduce anonymity into the review process. Each institution should assign a staff member to review the merit process going forward to assess bias. Service and teaching expectations of the department should be clearly stated at the beginning when a faculty member is hired.

Commentary by audience:

- How can we call it and own it when implicit bias is present? If an underrepresented minority is suffering from this bias, whose responsibility is it to address? Should it be the chair?
- Deans need to have responsibility. It is also the responsibility of the chair of a search committee to give guidance and direction to review committee.
- Prevention. Presume training provided in workshops will also help prevent this.
- One way you can avoid implicit bias is to really insist there are clear examples of review of work in a way that outside people can understand.
- Department chairs play key role in organizing the dossier and in helping the candidate put the case for advancement together. They are also important in moderating the discussion when conversations go off-track; the leader needs to bring the conversation back to the issue at hand.
- Strong leadership of chairs will make the job of deans easier.

Question 2: Our current APM policies reward achievement, not effort. Often achievement is judged by external factors such as offers from other institutions. However, research demonstrates that the requirement to obtain external offers is viewed differently by individuals and spans from the perspective of a game played merely to secure a higher salary to a genuine lack of appreciation of accomplishment by the home campus. Does this practice that encourages our top faculty to seek rewards elsewhere serve our campuses well especially if women and URM faculty are more likely to leave? What alternative practices should we employ to assess market

value of faculty? Should we place an even greater value on internal versus external assessments of faculty achievement and how is that best achieved?

Response: There should be a better way to monitor salaries, we need a data base for analytics. Having this information is a way faculty can be better equipped to make the case for their own retention. Often the role of the chair is neglected in reviews and new hires. Frequently department chairs continue into leadership positions, but they often do not have the training to bring other faculty up with them and do not do leadership development for other faculty members in their department.

Commentary by audience:

- Data already exists in the system. Deans are constantly given information. We need to look at salary data system-wide because we do not want to lose our faculty.
- Outside offers are not just about salaries but also about resources.
- Some institutions can create ways through which you can make the case for yourself. One way to do this is by gathering information about how you rank and comparable salaries. It is about how to get a raise without getting on the airplane. There is also a resentment that builds up when you have to prove you are the best and you are not retained.
- We need to limit the likelihood of disparities within the system. For dual career couples it is hard to organize salaries at the same time.
- The UC has a merit and promotion system. It should be the matrix of value utilized at all UC campuses. We should move away from a system of negotiated fair salaries and just fix the salary scales.

Lessening the Impact of Bias in Federal Grant Review on the Reward System

Question 3: Numerous studies have shown and continue to show the presence of bias in the federal grant review process and a lack of diversity of successful grant applicants. Success rates of faculty over 55 in securing NIH funding have grown while success rates of those under 40 have diminished (Stephan, 2010, 2012). Ginther et al (2011) reported that “data indicate that black and Asian investigators are less likely to be awarded an R01 on the first or second attempt, black and Hispanic are less likely to resubmit a revised application, and black investigators that do resubmit have to do so more often

to receive an award.” There is some debate as to the cause of this lack of diversity in funding but many attribute it to the combinatory role of implicit and pedigree bias and track record of achievement and reputation in attaining grant funding. Even though our current APM places value on publications that stem from grant applications rather than the award of the grant itself, the greater effort required by URM and younger faculty in obtaining grants may have lasting impacts on productivity as evaluated over time. Clearly obtaining federal funding is indicative of the value placed on the research program by the reviewing committee; however, given the uneven playing field imposed by pedigree-based meritocracy and the interview data which suggest URM faculty are dissuaded from academic careers by the appearance of bias in grant awards, how can we lessen the impact of bias in successful grantsmanship in our reward system? What types of support systems (fiscally realistic) are needed to assure a diverse junior faculty will become successful in obtaining grant funding and able to sustain that funding throughout a career?

Response: Underrepresented minorities are dissuaded from pursuing academic careers. It is important to increase and reward collaborations at the junior and senior level. We know inequity begins with startup packages and therefore, this is where we need to begin to level the playing field. Campuses should gather data on the range of start-up packages to assess equity.

Commentary by audience:

- Blind grant review works in other countries. We can learn from the ways other countries do their review process. A first step for each campus is to reassess their start-up packages.
- Good mentoring is important. New faculty might not know how to use prior work as preliminary data for grant writing.
- We need to encourage our faculty to use the feedback provided and resubmit their grants.
- The issue is what is being valued. We need to look at other grant mechanisms.
- Reviewing grants is time consuming but it puts a faculty member in the position to be a meetings and be part of a review system to learn what funding organizations are looking for.
- Successfully getting a grant is more likely if a faculty member previously sat on a review committee.
- With funding being limited there is a big incentive to get out of academia and seek another job.

Managing the Conflict between Work-life Balance and the Culture of Achievement

Question 4: There is an inherent conflict between the cost to an individual of achieving creative excellence and the personal sacrifice involved in sustaining a record of achievement. Although policies aimed at assuring work-life balance have been implemented, many eligible faculty do not take advantage of these policies believing that there is no effective way to reduce or make up for lost productivity. Currently our policies not only reward achievement but achievement attained within a defined period of time. Should we adopt a more time-flexible approach to attainment of tenure and of advancement to full professor and include a greater series of overlapping steps? Are there other mechanisms to lessen the impact of achievement within a narrow timeframe across the spectrum of a career? What are the best local departmental practices that will enable work-life balance within the department and acknowledge the importance of that balance?

Response: It is important for universities to promote work-life balance. It is well documented that academics have imbalanced lives. When people utilize “stop the clock” program, this has residual effect on their career. Institutions should provide faculty members who utilize “stop the clock” program with funding for example to attend conferences so that they can become visible again.

Commentary by audience:

- Faculty success programs are important. Managing career is about work-life balance.
- Faculty meetings in the evenings are problematic for faculty with family. Faculty meetings should take place at better times.
- Family situations vary; this needs to be recognized and we need to move away from pointing at successful faculty who raised a family and telling junior faculty to be just like them as times (dual career balance) and work demands have changed.

Question 5: APM 740 defines the purpose of sabbatical leaves as follows: “Sabbatical leaves are granted, in accordance with regulations established by the President to enable recipients to be engaged in intensive programs of research and/or study, this to become more effective teachers and scholars and to enhance their services to the University.” The sabbatical process was created to enable faculty to focus on research particularly in novel directions as well as fostering interactions across institutions and the creation of productive collaborations. However, the traditional off-campus

sabbatical leave is challenging for dual career faculty and there is a greater tendency to take quarter or semester-long leaves instead. In residence sabbatical leaves carry a teaching requirement not enabling a complete focus on creative activity. Should we change the policy for in-residence sabbatical leaves to enable an exclusive focus on creative activity? Should we consider a practice of a sabbatical type leave for faculty who have “stopped the clock” to aid in regaining lost productivity and maintaining grant competitiveness? Should the sabbatical leave process be used for extended modified duties?

Response: In general, sabbatical leaves are not applied equally to all faculty members. There is an inequality in the system. When faculty members take an in-residence sabbatical or they are still in town, there is a lack of respect for faculty member’s sabbatical. Chairs need to reassign the administrative duties given to that faculty while they are in sabbatical. Another problem is taking sabbatical, but then having to double up your teaching when you return. If the faculty member is in interdisciplinary units, when they take sabbatical there often aren’t replacement funds for the courses that should be taught, so then faculty need to teach that class upon their return so students can graduate.

Commentary by audience:

- Service needs to be reassigned. The department needs to distribute duties through the chair.
- It is difficult to get the department to reassign. When you teach diversity courses, the department does not want to replace you.
- It is problematic that there are penalties for “stop the clock.”

Question 6: The University has great flexibility in payroll titles for faculty. Should we develop policies/practices enabling greater flexibility in shifting between tenure and non-tenure track positions? Does tenure still have value in our current career climate?

Response: There is a financial implication. Tenure has a real value and it is emotional. It is difficult for faculty members to have a shared structure if some are not tenured, but it is also difficult to get faculty members to retire.

Commentary by audience:

- We should never attempt to dilute tenure. Higher education has been always under attack. Tenure was created to protect people.

- Evidence from Scandinavian countries show that teaching evaluations have had real consequences. Tenure protects faculty.
- We have policies outlining the role of part-time faculty positions. These policies are the least developed and thus create a host of implications. Part-time faculty members are subjected to the pressures of their evaluations. APM contains some guidelines for these evaluations.

Valuing the Full Spectrum of Faculty Work

Question 7: The 1991 Pister report on the UC faculty reward system made several recommendations for achieving a better balance of recognition for the spectrum of activities expected of faculty-teaching, research/creative activity and university professional and community service. Does our current reward system continue to undervalue teaching and service activities? How can we enable faculty to assume major service or teaching responsibilities without negatively impacting their research careers and grant competitiveness? What are the best practices for assessing achievement in university or community service?

Response: The STEP plus system has a goal to reward service and teaching. URM’s have historically had higher service loads and need the appropriate recognition for this service. The departments need to set forth clear service and research expectations. Departments need to teach faculty how to read the APM, specifically in regards to advancement.

Commentary by audience:

- We need to have a peer evaluation system for teaching and learn the mechanisms through which we can use our merits for promotions. One way is to reach out to faculty members who have been recognized for their excellence.
- We have done a good job recognizing service on off-scale and the half step. The key to receiving these advancements lies in well-written letters for advancement.
- How can we allow taking on large teaching loads with service? It is impossible. This minimizes our rates of advancement.
- Departments must reassign your duties during sabbatical. This has to happen in a clear way where the department says, “You are off service for a year.”

Question 8: In surveys faculty across all ranks and demographics complain of the devaluation of mentoring in our reward system and cite the importance and impact of mentoring at all levels, undergraduate and graduate students, postdoctoral fellows and junior colleagues and collaborators. What are the best metrics for excellence or achievement in mentoring? What practices would enable mentoring to be given more consideration in the merit process?

Response: When you are heavily engaged in mentoring you are worse off than if you are service/teaching heavy as the time demands for teaching and service activities are generally clear and apparent. The time spent on mentoring per mentee is variable. It is hard to have any meaningful matrix when mentoring is not valued. There is not a clear difference between advising and mentoring of a student. Mentoring is one-on-one and very time consuming when done well. Faculty members need to learn how to position their mentoring effectively in their personal statements, for example keeping URM in the field. To help your case, letters from mentees are very helpful.

Commentary by audience:

- Michael Fleming at Northwestern University has developed a mentor assessment.
- There are administrative aspects to asking a faculty member about mentoring. Departments need to have a consistency of this definition with faculty members.
- Universities should establish a senate award for excellence in faculty mentorship for the junior and senior level.
- In order for mentorship to be effective, it needs to be specific to the student and needs to be personalized.



Roundtable participants during the open discussion

Optimizing the System of Review

Question 9: The research and creative activity enterprise is changing from the traditional individual investigator research platform and single author books to collaborative efforts that enable novel approaches and outcomes. Currently in the reward system faculty are asked to assess their own contributions to collaborative works and faculty believe that review committees downplay their own self-assessments of contributions. What are the best practices for assessing contributions of individuals to jointly authored work and collaborative research efforts? How can we best balance a desire for external validation of effort in collaborations that by their nature are not “arm’s length?”

Response: Department chairs and deans help on merit and promotion packages. Individuals need to learn to better represent themselves. Coaching junior faculty is very important. Junior faculty members need to learn to document everything. Universities should move to a system where transdisciplinary approaches are rewarded.

Commentary by audience:

- Collaborative projects take more time than solo projects. This is not easy when you are racing against the clock to obtain tenure.
- The culture of reporting collaborative work is convoluted. How do we know faculty members have accurately reported their contributions?
- Contributions to publications can be very remarkable in terms of what work is being done.
- What about actually having percentages?
- It is beyond a percentage. Faculty members need to be able to describe their contributions in words.



Roundtable participants during the open discussion (L-R) Gregg Camfield, Diana Bilimoria

Question 10: Faculty often believe that the only impact of their work that is valued during review is the impact factor of the journals in which they publish. Basic research journals that are highly cited often are weighted more heavily than journals that publish translational work but the impact to society of that work may be pronounced. What are the best metrics for assessing societal impact of translational research and how can that assessment be incorporated into our review process? How can we assess other types of scholarship such as the scholarship of community engagement and outreach? Do we need to broaden our definition of research excellence to encompass other types of research and creative activity? How can we value the impact of newer modes of assessment of impact such as altmetrics?

Response: We need to remember that in evaluation comparative numbers have power. Meaning a system that yields a “score” may be weighted more heavily than equally valid qualitative assessments. There are many activities faculty members engage in that can’t be put in a matrix. There is a trend to receive more credit for collaborative work and your “metrics” as you progress in your career. However, this also depends on who is doing the evaluation. Metrics can also contain implicit bias that the evaluators may be unaware of if they are not thoroughly familiar with the elements that go into that score. For example, many people are shocked to learn how journal impact factors are actually calculated.

Commentary by audience:

- In CEnR work, community needs to provide insight about both the research project and the methods being employed. The merit and promotion process is different by department.
- It is a challenge for people doing work in underserved communities because it might be difficult for community leaders to attest to value the scholar is bringing to the community.
- There are unique ways to show your work. We need to make greater use of technology.

NEXT STEPS

1. Initiate discussion about the APM to assess what changes need to be made
2. Prioritize the changes needed in the APM to pursue changes that will have the greatest impact. (Charge to the UCD ADVANCE Policy and Practices Initiative)
3. Need to create a system where campuses can share resources with one another. Some campuses have developed best practices and these should be accessible to other campuses

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Report authored by: Lisceth Brazil-Cruz, UC Davis ADVANCE

FOR MORE INFORMATION:

UC Davis ADVANCE

ucd-advance.ucdavis.edu

Phone: (530) 752-4792