Background

EH&S programs play an important role within universities, but....

EH&S staff understanding and appreciation for how universities work is often lacking

- Patently obvious from recurrent discussions in the UTS EH&S Academy courses and multiple EH&S program peer reviews

The better we as a profession understand our clients, the better service we can provide
Covey’s 5th Habit

“seek to understand, then be understood”

(The 7 Habits of Highly Successful People)
Objectives

- Describe the three main university constituencies, and the relative importance of each
- Describe how a person becomes a faculty member
- Describe what a faculty member does, and how they are measured
- Explain the underlying basis for some of the common critiques of faculty
- Discuss measures that can be taken by EH&S programs to improve services to faculty
Three Main Constituencies

- Students
- Faculty
- Staff (Administration)

Who is most important?

What group is “necessary and sufficient” to achieve the missions of the institution?
University Core Missions

- Teaching
- Research
- Service

Where do the funds come from to do this work?
### Major Current-Fund Revenue Sources for All Public Degree-Granting Institutions

<table>
<thead>
<tr>
<th>Year</th>
<th>Other</th>
<th>Federal Grants and Contracts</th>
<th>Tuition and Fees</th>
<th>Sales and Services</th>
<th>State Appropriations</th>
</tr>
</thead>
<tbody>
<tr>
<td>1980-81</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1985-86</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1990-91</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1996-97</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2000-01</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Percentage Distribution**

- **Other**
- **Federal Grants and Contracts**
- **Tuition and Fees**
- **Sales and Services**
- **State Appropriations**


*Revenue at Public Institutions (from NACUBO Website)*
Revenue at Private Institutions
(from NACUBO Website)

Major Current-Fund Revenue Sources for All Private Degree-Granting Institutions

What is it EH&S Wants from Faculty?

- Complete training, have staff trained
- Read, understand and comply with rules
- Maintain inventories
- Fill out, return forms
- Work safely
- Report events, accidents, injuries
- Clean up messes
- Dispose of waste properly
- Serve as model for others
Becoming a Faculty Member

- Develop a keen interest and aptitude in an area
- Complete terminal degree
- Post doctoral fellowship?
- Job search (*Chronicle of Higher Education*)
- Recruitment, promises?
- Hiring
- Contract, perhaps yearly or 5-7 yrs
Tenure Track vs. Non Tenure Track

- Faculty positions come in two main classes
- Tenure definition
  - a statement by the university: “we place value on what you have to say”
  - establishes security
- Finite number of tenure track positions
- Non tenure track positions can be added (or deleted) more easily
Faculty Hierarchy

- Adjunct
- Instructor, Lecturer, or Research Associate
- Assistant Professor
- Associate Professor
- Professor
# Faculty Hierarchy

<table>
<thead>
<tr>
<th></th>
<th>Non Tenure Track</th>
<th>Tenure Track</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assistant Professor</td>
<td><img src="image" alt="Fish" /></td>
<td><img src="image" alt="Fish" /></td>
</tr>
<tr>
<td>Associate Professor</td>
<td><img src="image" alt="Fish" /></td>
<td><img src="image" alt="Fish" /></td>
</tr>
<tr>
<td>Professor</td>
<td><img src="image" alt="Fish" /></td>
<td><img src="image" alt="Fish" /></td>
</tr>
</tbody>
</table>

![Shark](image)
How Faculty are Measured?

- **Teaching**
  - Class taught, guest lectures, student evaluations

- **Research**
  - Funded grants, scholarly (peer reviewed) publications, abstracts

- **Service**
  - Editorial boards, committees, advisory panels
Generic Process Steps

- School, school, school
- Dissertation, defense
- Post-doctoral training
- Land faculty position
  - sign contract
  - teaching, research, service
- Start up money?
- Preliminary results?
  - Remember, inherent to research is failure
- Seeking support
  - who funds your kind of work?
  - what’s the business plan?
  - what’s the science?
  - what will it cost?
  - necessary reviews
- Initial rejection (success rate may be 1 in 3 or 1 in 4)
- Re-apply, more forms
- Teach, service
Generic Process Steps

- Notification of award
  - not as much as you needed
  - not coming when you need it
- Periodic progress reports
- Eventual results
- Inability to bank funds
- Submit for publication, critical review

- Renew, continue?
- On track for promotion, tenure, career change?
Why Be a Faculty Member?

- Rewards of teaching
- Excitement and rewards of discovery
- Intellectual stimulation
- Elevated status by being associated with university
- Professional achievement
Peer Review

- Faculty are “hard wired” for critical review
- Scholarly work must be constantly defended – it’s the basis of the process
- Hence, faculty often apply critical review to other institutional aspects as well
- Expect critical review, but don’t take it personally
- Address concerns and move on
Faculty Frustration

Anything that interferes with actual teaching, research, or service

- Interruptions
- Apparent bureaucracy
- Chores, meetings
- “Pushing down” of tasks
- Impediments to getting grants out the door
The Great Irony

- Research, by definition, is doing work that has not been done before.
- Yet, funding agencies and institutions demand timelines and budgets to describe how this will be done.
- Thus, from the onset, faculty are frustrated with the process, yet it is essential to success.
Indirect Cost Recovery

- The cost of overhead negotiated between the university and the funding agency.
- An amount of money above and beyond the direct cost of the research.
- A constant source of contention between faculty and administration.
- Funds awarded to institution, but wouldn’t have been awarded without faculty effort.
Contracts vs. Grants

A “contract” is a business arrangement for the supply of certain goods or services at a fixed price.

A “grant” is the formal bestowing or transfer of funds, in hopes that some societal benefit may occur ("cast money upon the waters...").

What about “grants” with “subcontracts in” or “subcontracts out”? 
Pre-award and Post-award

Pre-award process
- Division, department, school reviews and approvals
- Scientific reviews
- Human subjects, animals, hazardous materials
- Other collaborators and associated ICR, reviews
- Cost sharing, waivers
- Deadlines

Post award process
- Award receipt
- Account set up
- Subcontracts in or out
- Time and effort reporting
- Expenditure reviews
- Progress reports
- Subcontractor compliance
- Renewals
- terminations
Promotion and Tenure

At pre-determined time, faculty member will apply for promotion, tenure or both – in effect “up or out”

Teaching, research, service outcomes assessed by peers both internal and external to the university

Vote (secret ballot?)

Outcome – promotion or no promotion, tenure or no tenure
Conceptual Timeline

- Assume complete bachelors degree at age 22
- Pursue masters, doctorate: +6 yrs
- Post doctoral fellowship: +4 yrs
- First faculty job – sign 7 yr contract, by 5th year will be able to predict PT success or failure

That’s 15 years of career uncertainty! (now at age 37)

If one fails, professional options greatly limited, given the time and effort invested

Talk about stress!!!!!
Other Faculty Complaints

- Not enough time – too many demands
- Genuine love for one aspect, but impacts outcomes in others – balance is important
- “Didn’t realize I would be a small business operator”
- Too much paperwork
- Absence of “bridging funds”
- Interfering with academic freedom
- Lack of mentoring
Common EH&S Complaints About Faculty

- Last minute
- Pack rat
- Irritable
- Doesn’t comply
- Constantly criticizes policies
- “Creative”
Typical Administrative Response to Client Concerns

- 1 person - a fruitcake
- 2 persons – fruitcake and friend
- 3 persons – troublemakers
- 5 persons – let’s have a meeting
- 10 persons – we’d better listen
- 25 persons – our dear friends
- 50 persons – a powerful organization
Suggestions for EH&S Programs

- Ensure that every staff member understands the needs of faculty
- Invite faculty to department to talk about their work and the challenges they face
- Make the department apply for a grant or two, and manage it
  - Even better if some portion of salary “put at risk”
- Have department staff attend seminars and “research days” to see the outcomes of the work they support
Suggestions for EH&S Programs

- Have director (and others if possible) get active faculty positions
- Design systems with faculty challenges in mind – make it simple and non-invasive
- Solicit faculty feedback – don’t assume you know what is best
The faculty are key component of any institution of higher learning. The challenges that face faculty are daunting – must constantly demonstrate success in teaching, research and service. Develop and understand of the faculty, and design systems with these needs in mind. Solicit feedback. Show how your program furthers the mission of the institution!