

**Committee on Class and Labor:
Phase 2 *Faculty Concerns***

Spring 2016



EMORY

EXECUTIVE SUMMARY

Genesis of the Work

In the spring of 2010, students, faculty, and staff raised concerns related to contract labor on campus. These concerns led to a series of campus dialogues, which in turn prompted Provost Earl Lewis and Executive Vice President for Business and Administration (EVP/BA) Michael Mandl to signal Emory University's commitment to examine class and labor. In February 2011 they charged the first Class and Labor Committee, which focused on staff (referred to hereafter as Class and Labor 1). Provost Lewis and EVP/BA Mandl expressed their hope that this would be the first phase of a three-phase process that looked at distinct labor segments, namely staff, faculty, and students. In January 2013, the Class and Labor 1 Committee released their report and recommendations. That committee's three overarching recommendations are fully endorsed in the current report, with modifications to #3:

1. The entire Emory community should review and engage with this report through appropriate mechanisms;
2. The Provost and EVP/BA should assume primary responsibility and accountability for carrying forward the recommendations of the committee, including assigning individuals or units on campus to implement specific recommendations, track progress, and secure funding where necessary;
3. An Oversight Committee of staff, faculty, students, and administrators, under the auspices of the University Senate, should be appointed to work with the Provost and the EVP/BA toward monitoring the implementation of our recommendations and addressing campus culture issues related to class and labor more generally.
 - a. We add to this recommendation that this Class and Labor Senate Oversight Committee should focus on concerns related to both staff and faculty matters and should be a standing committee of the University Senate.

Charge

On October 2, 2013, Provost Claire Sterk charged the Class and Labor: Faculty Committee (Class and Labor 2) on behalf of herself and EVP/BA Mandl. Appendix A includes the Committee Roster and Appendix B acknowledges other individuals who assisted in the effort. The original charge to Class and Labor 2 is found in Appendix C. The modified charge, delineated in detail in the Report, is intended to ensure consistent approaches in data gathering, data interpretation, and format across all four components of the charge in the development of this report and our recommendations.

Building on the work of Class and Labor 1, which culminated in a report released to the public in January 2013, this phase of the conversation about class and labor at Emory University was designed to focus on the ways in which class (and its related distinctions of power and status) affects the life and work of faculty members.

The charge had four areas of emphasis. The first pertained to the role of class. Questions associated with the role of class related to the presence of class as a factor in influencing the life and relationships of faculty members, the association between and

impact of status and respect, and the ways in which university policies and procedures affect the faculty employment relationship. The second focused on the role of Emory as an employer in the academic labor market. Questions associated with this area of emphasis pertained to the contours of the academic labor force and its related labor market, the link between Emory's vision of being a destination university and faculty compensation and benefits, and the comparison between compensation for Emory faculty within the schools and colleges and between Emory and its peers. The third area of emphasis was that of recruitment, promotion, advancement, and professional development. The questions related to the factors associated with hiring and retention, as well as the availability and nature of mentoring programs. The final area of emphasis was the role of nontenure-track (NTT) faculty. Questions associated with this topic related to the principles that guide decisions about appointment track and rank, comparison between NTT faculty at Emory and both their tenure-track (TT) peers at Emory and their NTT track peers at benchmark institutions, and the consistency of policy implementation related to NTT faculty across the schools and colleges.

Guiding Themes and Recommendations

Our eight guiding themes (community and culture; diversity, inclusivity, and equity; workplace expectations; recruitment and retention; professional development and advancement; workplace satisfaction; and NTT faculty), described below, address issues of class and labor generally. In addition, we present 44 recommendations. The guiding themes emerged from the committee's in-depth examination of all the quantitative and qualitative data it had collected. Some of these recommendations are broad and general, and others more specific. We recognize that some of the recommendations apply to more than one theme. Given the charge to the committee and our recommendation for an Oversight Committee, these recommendations require further specificity and operationalization. Class and Labor 2 committee members voted on these recommendations and prioritized the ones they believe to be most important to begin work on in the next 1-2 years. The committee believes that implementation of all of these recommendations will foster positive changes.

Overarching. These overarching recommendations build upon and expand the overarching recommendations of Class and Labor 1.

- The entire Emory community should review and engage with this report through appropriate mechanisms.
- The Provost and Executive Vice President for Business Administration (EVP/BA) should assume primary responsibility and accountability for carrying forward the recommendations of the committee including assigning individuals or units on campus to implement specific recommendations, track progress, and secure funding where necessary. An Oversight Committee of staff, faculty, students, and administrators, under the auspices of the University Senate, should be appointed to work with the Provost and the EVP/BA toward monitoring the implementation of our recommendations and addressing campus culture issues related to class and labor more generally.
 - This Class and Labor Senate Oversight Committee should focus on concerns related to both staff and faculty matters and should be a standing committee of the University Senate.

Community and culture. One of the hallmarks of Emory University is its vision of being an “ethically engaged and diverse community, whose members work collaboratively for positive transformation” (<https://www.admin.emory.edu/Vision/index.cfm>). In an effort to elaborate the concept of ethical engagement, Emory has articulated “A Statement of Guiding Ethical Principles” (<http://emoryhistory.emory.edu/issues/character/principles.html>). Among these, “Emory seeks to uphold the dignity and rights of all persons through fair treatment, honest dealing, and respect. Emory is committed to creating an environment of working, teaching, living, and learning that enables all persons to strive toward their highest potential.” Thus, important aspects of life as an Emory faculty member include being accorded respect and civility and having the opportunity to engage in collaborative leadership and shared governance [1, 2]. This approach to governance is effective when the attitudes, values, and expectations of all of the interdependent stakeholders are at the core of the university governance structure as decisions are explored and made [3]. Unfortunately, our data showed that many faculty members feel they do not have adequate “voice” in decisions about their own work life and the community more broadly. Moreover, our data, combined with the literature, suggest that faculty may hold implicit as well as explicit biases about individuals from different faculty classes as well as from their own class [4-6].

To ensure that the Emory community is well informed, and to create a collaborative and respectful culture, the committee members viewed the following as the highest priority recommendation.

- Educate the Emory community about the nature and impact of class and labor dynamics and factors that maintain these dynamics, such as implicit bias, unresolved conflicts, abuse of power, and subcultures that are hierarchical and not inclusive.

Committee members also offered the following recommendations related to community and culture.

- Build and utilize mechanisms for bidirectional communication between faculty constituencies and their representatives on department, school, college, and university level committees.
- Develop and disseminate a living document of community norms to foster a “culture of civility” that respects all persons, balances the aspirational” standard of civility against the protection of academic freedom, and promotes voice safety and voice efficacy.
- Encourage and provide incentives for faculty on all tracks to exercise voice through existing structures of faculty governance, such as the University Senate, the Faculty Council, and school- and college- specific faculty governance organizations.
- Create and institute structures within each school and college and in the university at large (e.g., University Senate, Faculty Council) for collaborative and shared leadership characterized by transparency, communication, consultation, and the engagement of all stakeholders in decision-making and policy-making on key matters.

Diversity, inclusivity, and equity. Emory prioritizes diversity and inclusion and has put into place infrastructure to advance this priority (for instance, the Office of Equity and Inclusion and the Advisory Council on Community and Diversity). Despite these and other efforts, analyses revealed significant differences in perceived levels of voice safety and efficacy by gender and by sexual orientation; gender inequities in salary across schools and ranks; disproportionately higher rates of males in senior leadership roles and in faculty appointments (including tenured/TT positions) in some schools and colleges; disproportionately lower rates of women and ethnic/racial minority faculty who are tenured; and perceptions of differential work responsibilities between males and females. There has been a long-standing awareness of gender differences in salaries at Emory, as well as concerns about salary differences based on other sociodemographics (e.g., race/ethnicity, sexual orientation, ability status). Unfortunately, when concerns are expressed about possible inequities related to leadership roles and salary, the response often has been to say that if such differences do exist, they do not reflect either explicit or implicit bias. The data indicate that the gender-based differences in salary are inequitable (there were not sufficient data to be able to study salary differences for other sociodemographics). The committee also finds that the faculty is not sufficiently diverse, and that current hiring and retention policies are not sufficiently robust to diversify the faculty appropriately.

To ensure that diversity, inclusivity, and equity are valued and prioritized, committee members prioritized the following recommendations.

- Aim to make Emory a leader among its peers in diversity, inclusivity, and equity.
- Ensure ongoing salary equity between genders and among ranks and tracks by committing substantial resources and creating targets and accountability structures, such as salary equity committees, in each school and college or at the university level.
- Charge the University Senate Class and Labor Committee to liaise with the Office of Institutional Research to conduct regular salary and appointment studies. These studies should be used to monitor the balance or imbalance of salaries and the distribution of TT and NTT faculty by sociodemographics. Where discrepancies emerge, they should be addressed through the above-noted accountability structures.
- Implement, require, and measure the effectiveness of diversity and implicit bias trainings for senior administrators and faculty leaders to increase sensitivity to diversity in all forms with regard to hiring, retention, and academic promotion.
- Hold the deans responsible for increasing the diversity of their faculty at all levels and on all tracks by including a review of and systematic efforts to enhance diversity hiring, retention, and academic progression in their annual review by the provost.

Committee members also offer the following recommendations associated with the theme of diversity, inclusivity, and equity.

- Survey on a regular basis faculty members' perceptions of diversity, inclusivity, and equity in all aspects of faculty life and develop action plans to address of concern revealed via these surveys.

- Offer and evaluate the effectiveness of diversity and implicit bias training and associated protocols in accord with best practices for all members of the Emory community.

Workplace expectations. Many concerns were raised about lack of clarity vis-à-vis the nature of appointments and resources and infrastructural support for faculty activities. These concerns were articulated primarily by NTT-Regular faculty (i.e., full-time NTT faculty with benefits, options for promotion, and contracts that may be longer than one year), whose appointments are by definition limited. There are relatively few university guidelines for limited appointments; the Gray Book instructs the reader to consult the individual school or college for more information. However, while limited appointments are made by the dean of each school or college, school- or college-specific information on limited appointments is sometimes difficult to find and frequently lacks detail about types of appointment, expectations of appointments, resources available to faculty members in different appointments, and guidelines for evaluation and advancement.

Thus, our recommendations aim to ensure greater clarity and appropriateness of workplace expectations.

- Review the Faculty Handbook biannually, modifying it as necessary for consistency, accuracy, full accessibility, and utility and disseminating it widely while noting the revision date.
- Rename the Gray Book “The Principles Governing Faculty Relationships” and appoint a committee of trustees, administrators, and faculty members to revise it for readability and consistency with current practices.
- Ensure that faculty handbooks for all schools and colleges are available on-line, readily accessible, and updated as changes are made.
- Develop and make transparent criteria for providing resources and infrastructural support (e.g., postdoctoral fellows and teaching assistants; office, classroom, and laboratory space; administrative assistant) to enhance the scholarship, service, and teaching of all faculty, regardless of rank or track, based on faculty input and scope of responsibilities.
- For all tracks, develop standardized and transparent criteria for tenure and promotion that acknowledge that conditions change over time.

Recruitment and retention. Myriad factors are associated with effectiveness at recruiting and retaining excellent and diverse faculty. Salaries are an important consideration in people’s decisions to come to and remain at Emory. Data from the Report on Recruitment and Retention (Appendix D) prepared for the Committee on Class and Labor 2 by the Office of Institutional Research reveal that faculty salaries at Emory overall (even adjusted for cost of living) are low compared to those at peer institutions—although there is variability in terms of school and college (data are not available for all schools and colleges). Although comparative salary data are available, there is much less comparative information about faculty benefits. Our analysis of recruitment efforts, particularly with regard to sociodemographics, was limited by the Emory data available. The data we do have suggest that many schools and colleges are failing to recruit the diverse faculty that is needed; we consider it highly likely that implicit bias is an important factor in the failure to recruit a more diverse faculty. In

addition, an analysis of initial salaries upon hiring indicated gender inequities in initial salary offers (see Section 3). That finding suggested the need for examining faculty start-up packages by various sociodemographic groups, for which there are currently no data. While many schools and colleges have high acceptance rates for faculty offers, one factor hindering many recruitment efforts was a lack of better support for dual-career couples; our information suggests that such support will be increasingly important. There is some concern that the high acceptance rate for faculty offers may be somewhat misleading, as frequently official offers are made relatively late in the recruitment process. Thus those acceptance rates might mask recruitment difficulties during earlier, informal phases of recruitment, when compensation and dual-career concerns might surface. It is important to note that almost all of the data about faculty salaries and recruitment pertain to TT faculty. Given the number and importance of NTT faculty, this lack of data is unfortunate but typical among our peer institutions. Retention also is vital for maintaining faculty excellence, particularly because the best faculty members tend to be recruited to other institutions. There seems to be a significant difference in the number of retention packages being offered to men, compared to women.

The committee prioritized the following recommendations associated with improving Emory's efforts related to recruitment and retention, particularly in regard to diversifying our faculty.

- Review and revise, if possible, university policies that prohibit the release of information on race/ethnicity and gender to faculty search committees, and examine the extent to which current policies limit Emory's ability to recruit a diverse faculty.
- Develop a comprehensive Human Resources data system that includes complete salary data for all schools and colleges, allows for analysis and reporting of many aspects of our work force, and facilitates benchmarking with peer institutions.
- Use salary benchmark data to ensure that salaries and salary adjustments are competitive with those at our peer institutions.
- Develop university-wide policy guidelines with regard to competitive and pre-emptive (i.e., proactive rather than counter-offer) retention offers and strive to have this guidance comparable to that of Emory's peer institutions.

The Committee also offered these recommendations related to recruitment and retention.

- Collect data on the sociodemographics of the pool of individuals who apply for faculty positions compared to those who accept offers of employment, and use these data to create recommendations for increasing the diversity of the faculty pipeline and improving the sociodemographic distribution of faculty across ranks and tracks.
- Provide resources to expand and make more accessible the Emory Dual Career Network to assist spouses/partners of recruited faculty with job search needs inside and outside of academia. Place this network under the joint auspices of the Provost's Office and Human Resources.
- Explore and address potential differences in start-up packages for faculty by sociodemographic groups.

Professional development and advancement. Professional development should be a career-long process and commitment for faculty members. To ensure the satisfaction and career advancement of all faculty members, institutions of higher education must offer comprehensive and multi-faceted professional development opportunities. Both the information obtained from focus groups and the survey data indicated that many faculty members feel that they do not have the resources and opportunities for advancement. Some faculty members, in addition, are unaware of the expectations and processes for advancement. Moreover, there are different degrees of support and resources for TT versus NTT-Regular faculty (e.g., less access to sabbaticals for NTT-Regular in some schools and colleges), as well as for faculty across schools. There was also uneven access to mentoring. There are two opposing models for faculty advancement: either faculty are hired and then left to succeed “on their own”, or they are guided and mentored in their career advancement. The first model, although seemingly egalitarian, hides various classist assumptions, including the belief that any faculty member, no matter what their background, will know what is required and expected of them, and will face equal challenges in meeting those expectations. Whatever the merits of those assumptions, such a model does not make optimum use of faculty assets; likely slows the progression of many faculty in their careers; and increases turnover, which is an expensive outcome.

The committee feels strongly that Emory is best served if faculty members are actively supported in their professional development and advancement and to this end prioritized the following recommendations.

- Provide and evaluate the effectiveness of annual trainings for department chairs/unit leaders and associate deans on topics focused on improving the culture related to class and labor, including but not limited to collaborative and shared leadership, conflict management, faculty evaluation, and mentoring.
- Afford all faculty members (across all tracks, within all ranks, and across all schools and colleges) the opportunity to apply for and the ability to be granted professional development leave time with appropriate funding.

In addition, the committee offers these recommendations related to professional development and advancement.

- Ensure availability and accessibility of resources and opportunities that reflect departmental and school- and college-wide commitment to the professional development and advancement of all faculty members.
- Make public documentation regarding the procedures, processes, criteria, and expected timeline for the review of all TT and NTT faculty for promotion at the departmental, school, college, and university levels.
- Prioritize the creation and implementation of mentoring programs in all schools and colleges, as well as university-wide, for all faculty members.
- Provide incentives for senior faculty mentors to acknowledge and reward their contributions as mentors.
- Ensure that the Center for Faculty Development and Excellence (CFDE) has the expertise, authority, and resources to assist schools and colleges in the implementation of mentoring programs.

Workplace satisfaction. While compensation is the #1 factor that matters most in terms of satisfaction and engagement, a number of other workplace factors account

for faculty members' satisfaction as well. One factor associated with workplace satisfaction is infrastructural support. Schools and colleges vary considerably in the degree to which they offer support for education, scholarship, and service. Our data on workplace satisfaction were obtained from focus groups and a survey of faculty. The results of the satisfaction survey can be viewed from two different perspectives: The results can be seen as positive, in that a majority of faculty expressed satisfaction with most areas of their faculty lives. On the other hand, in many cases a significant fraction of faculty expressed dissatisfaction. For example, 28% of OX faculty expressed dissatisfaction with how their work at Emory affected their family and other non-work aspects of their lives and SOM faculty were most vocal in the focus groups with regard to their difficulties balancing work and family commitments. Another factor affecting the level of work satisfaction is the degree of conflict in the workplace. Significant numbers of faculty had experienced, or witnessed, instances of harassment or abusive conduct or workplace bullying related to a number of sociodemographics as well as seniority and faculty status. Historically, there have been calls for the creation of an ombuds office at Emory, as there has not been such an office for approximately 30 years. More recently, the Faculty Council initiated a peer mediation program to address conflicts between faculty members.

The recommendations offered below are intended to increase the faculty's level of satisfaction with the workplace.

- More equally distribute faculty members' roles and responsibilities for service to the department, school, college, and university to ensure better balance of workload, greater inclusiveness of people and perspectives, and a greater sense of fairness among all faculty members.
- Convene an ad hoc committee of faculty, representatives from the Office of Equity and Inclusion, and representatives from the Office of the General Counsel under the auspices of the provost to develop a policy on workplace bullying, so that victims have an avenue to seek redress for this form of faculty misconduct.
- Support and evaluate the Faculty Council initiatives related to peer mediation.
- Re-evaluate the faculty's perception of the need for an ombuds office in three years after the initiation of the peer mediation program.

NTT faculty. The proportion of, and reliance on, faculty not on the tenure track at Emory has dramatically increased, as it has at all of our peer institutions. This trend makes it increasingly important to examine policies as they relate to NTT faculty. NTT is a very large rubric, and each school and college has different titles for these individuals. Overall, NTT faculty fall into five primary categories: (1) employed full time with benefits and options for promotion and their contracts may be longer than one year (e.g., assistant, associate, and full professors on the various NTTs; lecturers, senior lecturers, and professors of pedagogy/practice/performance); (2) employed full-time faculty on one-year contracts with no option for promotion (e.g., law); (3) employed full-time faculty on "soft money" with benefits whose positions are non-continuous and dependent on such funding (e.g., instructors, research associates, senior associates); (4) employed, typically as part-time faculty, due to their unique expertise, are not dependent on their teaching for their primary salary and benefits, and have appointments that are non-continuous (e.g., artists in residence, physicians and attorneys in the community); and (5) employed on a temporary and part-time basis, are dependent on teaching as one of

their primary sources of income, often put together multiple positions to ensure adequate salary and levels of employment, and are not eligible for benefits (i.e., contingent faculty). For simplicity's sake, we refer to the first three categories as NTT-Regular, the fourth category as NTT-Practitioners, and the final category as NTT-Contingent. When we refer to all five categories together, the term used will be NTT. The reliance on NTT faculty, especially NTT-Contingent faculty, varies across schools. The structure of most NTT-Regular faculty positions seems to be consistent with or more progressive than, national norms in terms of contract length and opportunity for promotion. Yet, in some cases, the national norms would not be considered progressive, and Emory is in a position to become a leader. Data are mixed with regard to differential experiences related to class between NTT-Regular and TT faculty, but in general, NTT-Regular faculty are likely to be viewed and treated as lower class than their TT colleagues. The nature and extent of the differences vary across schools and across departments within schools. For example, NTT-Regular faculty in Emory College of Arts and Sciences (ECAS) feel more vulnerable than the TT faculty, a finding not necessarily true elsewhere in the university. While policies within each school related to NTT versus TT faculty are relatively similar, their implementation is variable among schools and between departments within schools.

Therefore, our recommendations are designed to increase the value and respect awarded to NTT faculty. To this end, the committee prioritized the following recommendations.

- Investigate salary differences between NTT-Regular and TT faculty within schools and colleges and make salary adjustments when these differences are inconsistent with those at peer and neighboring institutions and/or the value placed on the labor performed.
- Study ways to reduce Emory's reliance on NTT-Contingent faculty when they could be replaced with TT or NTT-Regular faculty.
- Institute a plan that is not only consistent with our benchmark institutions but leads the way nationally in ensuring just wages for NTT-Contingent faculty.

Committee members also offered these recommendations related to NTT-Regular faculty.

- Develop formal, state-of-the-art policies within each school and college to standardize roles of NTT-Regular faculty, including job responsibilities, expectations around promotion, compensation, opportunities for leave, course relief, and performance evaluation.
- Develop consistency within schools and colleges in general policies on the involvement of NTT-Regular faculty in faculty-related matters, such as attending faculty meetings, determining departmental policies and procedures, and participating in hiring decisions.
- Strive to have the minimum appointment length for NTT-Regular faculty paid by committed funds to be three years and for NTT-Regular faculty paid on research grants ("soft money") to be longer than one year if funds are available.

Take Home Messages

- Issues of class affect faculty working relationships and faculty life in myriad ways at Emory University.

- There is growing tension, and at times conflict, between faculty members involved in teaching, scholarship, and service and administrators and managers with authority over resources and time.
- Sociodemographic and professional factors, such as gender, race/ethnicity, track, and rank, can inappropriately affect a faculty member's standing.
 - Of such sociodemographic factors, gender and race/ethnicity are dominant. For example, the salaries of women faculty are lower than men's across the University. Faculty diversity in terms of race/ethnicity is low in all schools/ colleges and is increasing at unacceptably low rates especially given the changes in the student body. Changes need to be made in faculty recruitment and retention processes, and deans must be held accountable for increasing the diversity of their faculty.
 - With regard to professional factors, track (TT versus NTT) is a significant class issue in some schools and colleges within the Emory system. Following national trends, greater percentages of faculty in all schools and colleges are not on the TT as compared to the past, and the proportion of such faculty has been increasing. Unfortunately, there are no comparative salary data for any NTT faculty. Given the major role of NTT faculty throughout the university, it is essential that they be paid competitive and appropriate salaries that reflect their education and abilities; in many cases there needs to be better and more standardized policies for NTT faculty.
- Despite Emory's emphasis on recruiting and retaining excellent faculty, faculty salaries that can be compared are lower than in our peer institutions and have lost ground in the last decade. This represents a severe barrier to attracting and retaining the best faculty.
- For Emory to optimally support its faculty, all faculty members must have access to appropriate, high quality and diverse faculty development resources and programs, as well as to leadership training and opportunities.
- A major impediment to improvement of class issues in the Emory community is the nature of the culture of the institution. One major cultural problem is implicit bias. A related and prevalent bias throughout the university is that faculty diversity may stand in contrast to faculty excellence. Unless and until the existence and importance of implicit bias is recognized and addressed systematically by both faculty and administrators, it is unlikely that real change will be possible or sustained.

The issues mentioned above are by no means unique to Emory. In fact, Emory has been path-breaking in confronting issues of class and labor, first among staff in Phase 1 and now among faculty in Phase 2. In addition, several schools and colleges at Emory have been leaders in developing solid career paths for faculty not on the TT. However, Emory's vision of being an "ethically engaged and diverse community, whose members work collaboratively for positive transformation" calls us to do much more. We are fortunate to have a solid financial basis and outstanding faculty as a basis for the

changes that must occur. The best of collaborative, transformational, and courageous leadership efforts are needed to be successful in this process. This leadership must be guided by ongoing inquiry, objective analysis, and review and evaluation of the efforts that are implemented. Such success will require true dedication to sustainable change.