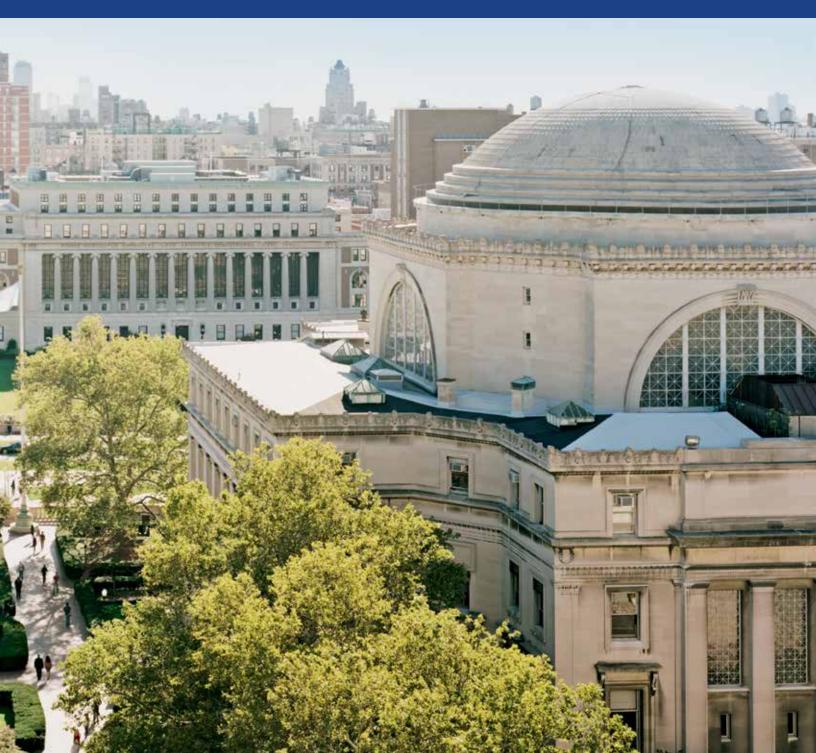COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Office of the Provost

GUIDE TO BEST PRACTICES FOR DEPARTMENTAL CLIMATE

CONTENTS

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INTRODUCTION

The Office of the Vice Provost for Faculty Advancement and the Climate Change Workgroup have developed this guide inspired by and building upon the work of the Faculty of Arts and Sciences publication *Improving Department Climate: Tools and Resources for Departments and Department Chairs.* We developed this new guide to inform faculty, department chairs, and administrators who seek to gain a better understanding of the importance of academic workplace climate and its impact on productivity, job satisfaction, and faculty retention.

Climate has been defined as "the atmosphere or ambiance of an organization as perceived by its members. An organization's climate is reflected in its structures, policies and practices; the demographics of its membership; the attitudes and values of its members and leaders; and the quality of personal interactions" (Fine and Sheridan 2015).

As Liddle et al. note, "Workplace climate matters. It affects employee recruitment, adjustment, productivity, stress and commitment" (Liddle et al. 2004). Climate plays an important role in work satisfaction, and perceived collegiality of department colleagues can impact effectiveness, productivity, engagement and decisions to remain or leave (Daly and Dee 2006; Hagedorn 2000; Lindholm 2004; Rosser 2004; Ryan et al. 2012; Trower 2005, 2014). Studies have also shown that departmental climate and faculty satisfaction have a positive impact on faculty productivity, as measured by number of publications. Productivity increases when (1) faculty feel more welcomed by the department (Monk-Turner and Fogerty 2010), (2) faculty feel more collegiality in the department (Sheridan et al. 2017), and (3) faculty perceive the departmental climate to be warm toward underrepresented groups (Sheridan et al. 2017).

The benefits of increased productivity extend beyond underrepresented groups to the unit or department as a whole (Sheridan et al. 2017). Negative climates decrease job satisfaction and increase the intention to leave, while positive climates increase productivity for all faculty members and increase retention of faculty.

Departmental climate cannot change overnight, and it cannot change through the actions of any one individual, regardless of that person's role. Change begins with a willingness to engage in candid discussions to examine and question long-held norms. The principles and practices outlined here may be used by anyone who seeks to improve morale within their unit; school and department leaders, as well as faculty and staff, can all make vital contributions to this effort.

A note on organization: Following a checklist of best practices for improving departmental climate, sections of this guide provide:

- an overview of roles and responsibilities for improving departmental climate
- an outline of principles that form the foundation for this work
- a literature review and overview of research findings
- an outline of best practices for a positive departmental climate
- a template for strategic planning
- a resource library containing helpful links, research articles, and books

This guide is by no means prescriptive; it is meant as a springboard for self-reflection and discussion. Individual units and departments have unique strengths and challenges and will have different approaches to improving their climate. For this reason, we welcome your feedback.

Please address all comments and suggestions to Vice Provost for Faculty Advancement Dennis A. Mitchell at dmitchell@columbia.edu.

LETTER FROM THE PROVOST

Photo: Eileen Barroso

Dear Colleague,

This is a guide that concerns fundamentals, the very premise of faculty lives as scholars, teachers, and administrators. In our quest for inclusive excellence across the various dimensions of professional practice, a supportive climate is of basic significance. When absent, faculty cannot stretch the limits of creative analysis, productive initiative and personal satisfaction. Discord, when it appears, frays the fabric of academic life in our departments and schools, for the absence of collegiality can make intellectual collaboration difficult and induce faculty to find other venues for their work.

Our University is diverse and complex and our environment is made more challenging by Columbia's location within the vexing vibrancy of New York. When we succeed in creating spaces where individuals and collectivities gain a sense of belonging, it becomes possible to conduct robust, even difficult, conversations that are the heart and soul of scholarly and pedagogical life.

To assist in collective efforts to support our faculty, I thus am pleased to share this valuable resource, the result of a review of existing literature and of resources developed at peer institutions. This document serves as a companion to the *Guide to Best Practices in Faculty Search and Hiring* (2014), the *Guide to Best Practices in Faculty Mentoring* (2016), and the *Guide to Best Practices in Faculty Retention* (2018).

Whether you are new to Columbia or a long-standing member of the community, I hope that this document will spark reflection and discussion. Please note that as colleagues engage more deeply in work to enhance our climate, they will discover useful resources for strategic planning in Appendix B.

In all, the goal of this guide is to help nurture a sustained effort to enhance the circumstances and atmosphere of our craft.

Sincerely,

Ira Katznelson
Interim Provost
Ruggles Professor of Political Science and History

CHECKLIST: ACTION STEPS

A good first step in creating an intellectual community that fosters a sense of belonging is to conduct an assessment of the current departmental climate (see page 14 for examples).

The checklist below is an overview of practices that support an inclusive work environment. It can be used to examine current department practices and think about changes. The practices are grouped under principles that will be discussed later in this handbook.

	TRANSPARENCY: Making all kinds of information available and easy to find	☐ Offer programming to introduce new faculty to key offices and resources ☐ Hold regular unit/department meetings and announce them in advance ☐ Explicitly discuss expectations for faculty communication and behavior ☐ Communicate school/department policies and expectations clearly, in multiple formats, and on an ongoing basis, and communicate changes or updates to policies in a timely manner
	UNIFORMITY: Dealing equitably with all faculty	☐ Develop transparent, equitable, inclusive policies for recruitment, promotion, and leadership opportunities ☐ Conduct annual reports that track appointments, promotions, salary, recruitment and retention efforts, as well as resignations, to identify any disparities ☐ Evaluate faculty on a regular basis
	ASSISTANCE: Attending to the needs of everyone	**Opportunities for professional growth** ☐ With the input of all members of the community, plan informal meetings, such as brown bag lunches, to provide an opportunity for faculty to connect ☐ Create opportunities for faculty to participate in formal and informal mentoring sessions, including peer mentoring ☐ Provide junior faculty the opportunity to meet with department leaders ☐ Provide opportunities for professional collaboration and growth through colloquia and sponsored events **Work/Life integration** ☐ Familiarize yourself with and advocate for flexible and accommodating policies and practices that support the families of faculty ☐ Provide support for dual-career faculty beyond the recruitment process ☐ Encourage faculty to take advantage of tenure clock extension and modified duties when the need arises ☐ Provide opportunities for social connection ☐ Avoid scheduling early morning or evening events, as these can create conflicts for faculty with caregiving and other responsibilities
	RESPECT: Acknowledging and valuing a variety of contributions; welcoming and including all department members	☐ Formally thank faculty who take on additional service obligations ☐ Publicly celebrate faculty accomplishments ☐ Review decision-making processes, checking for biases ☐ Offer new and underrepresented faculty more opportunities to participate in decision making ☐ Model effective and supportive communication ☐ Demonstrate ongoing support for faculty work, regardless of the discipline or specialty ☐ Provide safe venues for voicing ideas, opinions, and complaints

CREATING A POSITIVE CLIMATE: ROLES AND RESPONSIBILITIES

A. SUPPORTING A POSITIVE CLIMATE FROM OUTSIDE THE DEPARTMENT: UNIVERSITY LEADERSHIP

The structure at Columbia University is similar to that of other academic institutions across the United States. The President, Provost, Vice Presidents, Vice Provosts, and Deans are the outward face of Columbia, responsible for enacting its mission. These leaders then provide the connections that unite departments, schools, and centers and create a university. The department-level administration is responsible for guiding and supporting the faculty, who ultimately implement the mission through instruction, research, and practice. *There is one key way in which this hierarchy differs significantly from the equivalent structures in organizations outside academia: it is also the faculty who collectively set the mission of the University through governance committees.*

Collaboration between university leaders, administrators, and faculty best facilitates a community that fosters learning and invigorates discovery. The leadership can underscore the importance of a positive climate in statements of vision, and the administration can provide expert guidance on how to improve climate through briefings, workshops, handbooks (such as this), and codes of conduct. However, studies of such actions have shown that this top-down approach alone is rarely sufficient to ensure effective outcomes. In the business world, engagement of "managers" (in our case, faculty) is of vital importance (Dobbin et al. 2018), and the leadership and administration need to be aware of and responsive to the experiences and needs of the faculty within the departments.

B. CONSTITUENTS WITHIN THE DEPARTMENT

The distributed structure of responsibility for climate at the University-wide level is mirrored within departments:

The **department chair** is the bridge between institutional policies and practices and department-level conduct. It is important that the chair, in particular, strives to set a positive tone. As a symbolic figure, the way a chair treats members of the department is often reflected in the actions of other members of the community. As the head of the department, the chair is responsible for communicating and enacting policies and practices and maintaining academic ethics and boundaries for collegial interpersonal behavior among department members. They also facilitate decision-making and managing disputes within departments As such, the chair must be attuned to and prepared to represent *all* members of the department across differences of experience and opinion.

The **department administrator** partners with the chair to provide practical support and day-to-day knowledge of Columbia's resources. They can connect department members with the administrative offices that exist to provide expertise on aspects of academic life beyond a faculty's research.

While the chair and department administrator are important, it is impossible for them, or any member of the department, to set the climate alone. In many academic departments, the chair is a position that rotates among several faculty over the course of a decade. They are not considered any faculty member's "boss" or manager. Rather, the faculty are the core around which the department is built and they share the responsibility for the department and, hence, for the departmental climate.

The **faculty** set the policies and make the decisions about teaching, mentoring and advancement, admissions to graduate programs, and the hiring of faculty and promotions of all members. Their goal is to create conditions that support research and learning for students with a wide range of backgrounds, experiences, and needs. A starting point for a positive climate is the ways in which the faculty interact with each other as they discuss these issues. Many departments lack hierarchy in decision making, so a commitment to collegiality and a respect for differences becomes vital.

Other members of the department include **administrative support staff, research assistants** (who are often not employees or subordinates of the faculty), and **apprentices** such as undergraduate and graduate students and postdocs. The faculty, department administrator, and chair need to work together to be collectively aware of and responsive to the needs of these department members.

C. ORGANIZING A STRUCTURE TO SUPPORT A SUSTAINABLE EFFORT

One approach toward building and maintaining a positive climate in conditions of distributed responsibility with rotating leadership and multiple stakeholders in different roles is to form a committee such as an equity and diversity committee. The committee would include representatives for all these groups, serving as a connection between them and providing continuity in policy and implementation. **A guideline to starting such a committee, with some possible first actions outlined, can be found on page 15.**

Examples of administrative offices that help faculty include: the Office of the Vice Provost for Faculty Advancement, Human Resources, Columbia Libraries, the Office of Research, the Office of University Life, the Office of Work/Life, the Ombuds Office, the Office of Equal Opportunity and Affirmative Action, and the Center for Teaching and Learning (see full list in Appendix A).

CREATING A POSITIVE DEPARTMENTAL CLIMATE: PRINCIPLES

Columbia endorses four principles as a framework for thinking about a positive climate: transparency, uniformity, assistance, and respect. These principles are drawn from Waltman and Hollenshead (2005) and the handbook *Creating a Positive Department Climate: Principles for Best Practices,* developed as part of the NSF ADVANCE program at the University of Michigan.

In the following sections, each of the four principles of a positive departmental climate is described in more detail. Additional resources and practices from other institutions are given in Appendix B.

TRANSPARENCY

Making all kinds of information available and easy to find

Transparency relates to communication and information and **can extend to University policies, which are communicated (and possibly interpreted) by departments, or intradepartmental policies and norms.** Requests for increased transparency may be related to unspoken beliefs and practices that may not be fully articulated among all members of the department, or that were developed in the past and have not been discussed with and vetted by the current department members. One example of an unspoken guideline is the relative value of different kinds of productivity in determining promotions or salary increases. Lack of transparency could also relate to existing policies that have not been circulated to all members of the department and that are not easy to find.

Communication

It is good practice to provide information about important policies and practices in multiple forms, including communication during department meetings, in written handbooks or memos, on the department website, and also in individual meetings. Leaders often believe that they only have to say something once. However, in practice this is not enough, as people are more receptive to information when it applies to their current situation. Especially when communicating about job expectations, it is important to be clear and direct and follow up later to ensure understanding. **In practice, communication about the same issue should occur multiple times, through different media, and over the course of time to ensure the message is received by everyone. It is almost impossible to communicate important information too many times.**

Bylaws

Departmental bylaws provide a vehicle to capture and communicate the important policies and practices related to decision making within the department. If departmental bylaws are incomplete or out of date, engaging the department in updating the bylaws can create an opportunity to codify key policies.

In April of 2019 the University Senate passed a resolution "that all faculty members of every school, department, division, institute, or center have ready access to a document that lays out [its] core principles and practices, as well as their own rights and responsibilities and any compatible variations in rules and procedures that characterize their own academic unit . . . THEREFORE BE IT RESOLVED that the University Senate call on all Columbia academic units, including schools, departments, divisions, centers, and institutes, to produce by-laws if they do not exist or, if they do, to review and revise them at regular intervals," and that these should be made available online. For more information: https://www.senate.columbia.edu.

UNIFORMITY

Leveling the field and dealing equitably with all faculty

The principle of uniformity relates to equity and fairness. If department members feel that they are treated unfairly and that some people are given special treatment, this undermines department morale. **Resources such as salary, research assistance, teaching assistance, office and laboratory space, or protected research time should be allocated using guidelines understood by everyone in the department.** Uniformity and fairness in assigning departmental service is also important. The department chair should exercise care in assigning workload so that tasks are equitably distributed in terms of the necessary time commitment, a task's influence on decisions regarding

promotion or tenure, and the career (and life) stage of each faculty member in the unit.

⊕ ASSISTANCE
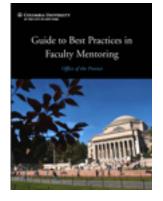### Attending to the needs of everyone; offering mentoring and other types of help

Assistance typically means additional financial or human resources to help a faculty member complete a significant body of work, reach a career milestone, or address a work/life issue. While the principle of uniformity is important, it is also important to understand that different people may need different kinds of assistance depending upon circumstances. Sometimes assisting an individual may mean reallocating existing departmental resources or identifying existing available resources within the University. In other cases it may mean creating a proposal, *quantifying the amount of resources necessary,* and pitching a new idea to senior administrators at the appropriate level in the organization.

Mentoring

Mentoring is a form of assistance for faculty members that can apply to junior, mid-career, or even more senior faculty, depending upon the situation. **Within the academy, mentoring is the primary means of on-the-job learning and is necessary for helping junior faculty members understand how to advance professionally.** Mentoring can help individuals to manage work and family responsibilities, or to move past a difficult or unproductive period in their career. The Provost's Office has developed the *Guide to Best Practices in Faculty Mentoring: A Roadmap for Departments, Schools, Mentors and Mentees* that provides guidance and suggestions to assist in developing and implementing a mentoring program tailored to the needs of your faculty. A&S also has a template for departmental mentoring plans posted on the FAS website: https://fas.columbia.edu/faculty-resources.

Resources Available for Families

Many resources are available at Columbia University for faculty families, including assistance navigating child and elder care, emergency backup care, and identifying schooling options, in addition to wellness programs, breastfeeding support, guidance on non-Columbia housing options and

faculty spouse/partner dual-career support. The Office of Work/Life develops and offers these programs and works in partnership with Human Resources and other offices that support faculty. Department chairs, senior faculty, and administrators should regularly highlight Work/Life offerings and, if appropriate, invite Work/Life staff to present at their meetings. For additional information, see the *New Parents' Guide For Benefits Eligible Officers and Non-Union Support Staff* as well as the Office of Work/Life website.

🤝 RESPECT
Acknowledging and valuing all contributions to academic life, including all departmental members in the community

Respect for department members is shown through thoughtful application of the other three principles: transparency, uniformity, and assistance. It is also shown on an interpersonal level through the words and behaviors one person exhibits toward another. Lack of respect for one's research, teaching, service and participation (e.g., verbalized communication in meetings) is a frequent complaint of women and ethnic or racial minority faculty members. Respect or disrespect can be identified in interpersonal communications, both verbal and nonverbal, and actions, such as who is assigned different tasks or given different resources. Rectifying the equitable allocation of tasks and resources can be addressed by policy or practice, but mandating improvements in interpersonal behavior cannot be so easily prescribed. Some departments, schools, or even universities have taken on the task of developing statements that describe how the community intends and expects to interact with one another.

Defining Boundaries for Respectful Communication

One method for addressing conflicts and establishing communication guidelines for individuals in the department is to establish communication protocols. Larry Hoover (2003) outlined one such process and provided examples of communication protocols developed. You may wish to adapt this exercise for your department's needs. Remember that going through *the process of discussing how department members wish to communicate with one another* is more important than merely implementing a set of rules. See www.creducation.net/resources/cmher_vol_4_1_hoover.pdf for more information.

Recognition

Respect is also about recognizing the contributions of

all members of the department. One way to do this is by celebrating important achievements during faculty meetings. Department chairs should also make it a practice to regularly thank faculty for their service contributions to the department; this can be done on an individual basis and in department meetings, where colleagues can also acknowledge each other's efforts.

Bullying

Research in workplace bullying dates back to 1976, with psychologist and anthropologist Carol Brodsky's book *The Harassed Worker* (Frazier 2011). Workplace bullying, which, if there is more than one perpetrator, is also known as mobbing, refers to covert or overt mistreatment over time, often resulting in "severe, psychological and psychosomatic problems in the victim" (Einarsen and Mildkelsen 2003, as cited in McKay et al. 2008). These effects include "humiliation, offense and distress" (McKay et al. 2008). Because of the long-term relationships that many (tenured) faculty develop, academic bullying can occur over the course of many years and can lead victims to feel stuck or trapped professionally (Frazier 2011, Keashly and Neuman 2010). In the academic context, bullying can take the form of excluding, isolating, harassing, undermining, withholding feedback, or impeding access to key resources (Keashly and Neuman 2010). The effects of bullying are compounded when there are witnesses who may feel powerless to intervene. Bullied faculty may resort to aggression themselves or withdraw, becoming less productive and engaged.

Harassment/ Discrimination

Unfortunately, the opposite of respectful behavior can occur within departments. **Harassment, discrimination, gender-based misconduct and bullying all have lasting adverse effects on individuals and communities and must never be tolerated.** These types of behaviors

impact the departmental and institutional climates. The department chair, as well as all members of the department, should be equipped with the resources to support the well-being of department faculty, staff, and students if harassment or discriminatory actions should occur. **In the event that a department chair is notified of such behaviors toward a member of a Protected Class, the chair should immediately report this to the Office of Equal Opportunity and Affirmative Action (EOAA).** The EOAA office will work with the department chair to take necessary steps and also to help department members in the aftermath of the situation. Visit the EOAA website to view the Columbia University Employee Policy and Procedures on Discrimination, Harassment, Sexual Assault, Domestic Violence, Dating Violence, and Stalking.

As a reminder: All University faculty members, staff members and administrators, with the exception of those working in a confidential capacity, who learn of suspected instances of discrimination, harassment, or gender-based misconduct, directly or indirectly, have a duty to refer the information immediately to the Office of Equal Opportunity and Affirmative Action or the Gender-Based Misconduct Office.

RESEARCH FINDINGS: BARRIERS TO A POSITIVE CLIMATE

Multiple studies have shown that faculty from underrepresented groups feel the departmental climate to be more hostile and unwelcoming than their majority counterparts (Callister 2006; Settles et al. 2006; Stanley 2006; Maranto and Griffin 2011; Riffle et al. 2013). Even if you feel there is no climate problem in your department, someone else in the department might have a different experience. Indeed, the lack of recognition of this difference is itself an exacerbation of the problem itself—and the first barrier that needs to be overcome if meaningful change is to take place.

> **FREQUENTLY CITED FACULTY CLIMATE ISSUES**
>
> 1. Lack of respect and/or politeness
> 2. Faculty's lack of influence on department matters
> 3. Lack of support for work/life needs and unwillingness to support family and child or elder care responsibilities
> 4. Low sense of community and insufficient communication
> 5. Lack of mentoring
> 6. Insufficient access to important university and department information, including unclear tenure and review processes
> 7. Excessive service/mentoring/committee duty assigned to underrepresented faculty
> 8. Illegal behaviors and use of problematic language and behaviors
>
> *Sources: Aguirre 2000; Callister 2006; Settles et al. 2006; Stanley 2006; Skachkova 2007; Maranto and Griffin 2010; Riffle et al. 2013; Campbell and O'Meara, 2014; Sheridan et al. 2017; Edwards and Ross, 2018.*

1. Lack of overall respect/politeness

There have been many studies examining overall civility, specifically in the academy (see Clark 2009, 2012; Cipriano 2012; Knepp 2012). In extreme cases it can take the form of workplace bullying and emotional abuse (Frazier 2011). According to Wright and Hill (2015), faculty incivility can take the form of "(a) giving colleagues or subordinates the silent treatment, (b) micro-management, (c) constant criticism, (d) gossip, (e) exclusion, (f) patronizing behavior, (g) belittling others' work, and (h) taking credit for others' work." A lack of

department collegiality has a ripple effect that ultimately has an impact beyond the faculty to students and staff (Cipriano 2017).

2. Lack of influence on department matters

Voice, defined as input or influence, is a necessary factor in developing a sense of personal agency and human value (Fine 1988; Jack 1991; Jack and Dill 1992; Martin 1996; Tolman 2002). It is also a key component of procedural justice, the perception that the decision-making process is fair (Aryee, Budhwar, and Chen 2002; Colquitt 2001, as cited in Settles et al. 2004). Voice is particularly important for women, and female mentors can help in this regard (Settles et al. 2004). A feeling of being heard can be more important than creating change. A 2004 study found that women scientists may feel more satisfied with their job in poor climates when they perceive themselves to have an influence, even if their influence does not result in real changes or desired outcomes (Settles et al. 2004).

3. Lack of support for work/life needs and unwillingness to support family and child or elder care responsibilities

Women in particular are disproportionately affected by policies and practices that interfere with caretaking and family responsibilities. These can include scheduling meetings after 5:00 p.m. and on weekends (Shollen et al. 2009). They report that the difficulties and time constraints in balancing their careers with their family lives present a bigger challenge for them than for their male colleagues and put them at a disadvantage within their departments (Aisenberg and Harrington 1988; Parson et al. 1991; Riger et al. 1997). As a result, more women than men leave their full-time faculty positions (Barnes et al., 1998; Johnsrud and Heck 1994). Two studies (Rausch et al. 1989; Rothblum 1988) found the rate of voluntary departure before tenure review was more than two times greater for women than men.

4. Low sense of community and insufficient communication

Women and minority faculty, including non–U.S. born faculty, tend to feel more isolated and excluded from informal networks in their departments than their majority counterparts (Aguirre 2000; Stanley

2006; Skachkova 2007; Maranto and Griffin 2010). Unsurprisingly, the departmental climate experienced by female faculty depended on the percentage of female faculty in the department (Maranto and Griffin 2010). Since informal networks can lead to informal collaboration and mentoring, being excluded from these networks can hold women and minority faculty back. As a result, these faculty tend to show lower job satisfaction and higher intention to leave (Callister 2006; Lawrence et al. 2014, Partridge et al. 2014).

5. Lack of Mentoring

Mentoring has been shown to enhance research productivity (Bland and Schmitz 1986; Bland et al. 2002; Byrne and Keefe 2002); to enhance teaching effectiveness (Williams 1991); to increase faculty retention, recruitment, productivity, and satisfaction, as well as to decrease faculty attrition. In addition, mentoring may promote a more positive organizational climate (Corcoran and Clark 1984; Melicher 2000). Women and diverse faculty are less likely to find spontaneous one-on-one mentoring relationships that address the full range of their career concerns (Mott 2002; Zellers et al. 2008; Pololi and Knight 2005; Van Emmerik 2004; Chesler, Single, and Mikic 2003; Chesler and Chesler 2002; Bickel 2014). A lack of mentorship has been identified as an important barrier to career development and satisfaction within academia (Bucklin et al. 2014; Seeley et al. 2015; Jackson et al. 2003.

6. Insufficient access to important University and department information, including tenure and review processes

Navigating University and departmental policies can be a challenge for all new faculty. When policies about tenure and review processes are not communicated clearly, faculty can suffer.

Women report getting less support and approval from senior colleagues and chairpersons and less information about tenure (Astin 1991; Boice 1993; Fox 1991; Johnsrud and Wunsch 1991; Olsen et al. 1995; Olsen and Sorcinelli 1992; Parson et al. 1991; Riger, Stokes, Raja, and Sullivan 1997). In one study women were significantly more likely than men to cite lack of clarity of tenure criteria and review process and relations with the departmental personnel committee as barriers to their success (Johnsrud and Atwater 1993; Johnsrud

and Des Jarlais 1994). Other studies confirm the concern women faculty feel over tenure expectations and unclear information about tenure criteria (Austin and Rice 1998; Menges and Exum 1983).

Faculty of color, who often receive little or no mentoring from senior faculty, can experience additional barriers when it comes to the tenure review process. Those who conduct research that benefits communities of color can find that their particular discipline is not always rewarded in the academy (Stanley 2006).

7. Excessive service/mentoring/community duty assigned to junior and/or underrepresented faculty

Women and minority faculty tend to perform extra service, such as (1) mentoring underrepresented students and/or junior faculty; (2) serving on a variety of diversity committees; (3) helping local communities and/or student groups; and (4) educating majority University administrators, faculty, students, and staff on diversity (Stanley 2006; Edwards and Ross 2018). Women and minority faculty agree that these activities are important, but they also voice concerns that the activities are time consuming and rarely count toward promotion (Stanley 2006; Britton 2017). The academy often seeks representation of diverse groups on committees, which means that faculty of color tend to experience a type of cultural taxation that Tierney and Bensimon (1996) claim works uniquely against them. An additional burden comes from mentoring and advising large numbers of students.

8. Illegal behaviors and use of problematic language and behaviors

Harassment, bias and discrimination by colleagues leads to decreased career satisfaction and results in feelings of isolation, depression and burnout (Price et al. 2002). Microaggressions are defined as "everyday verbal, nonverbal and environmental slights, snubs, or insults, whether intentional or unintentional, which communicate hostile, derogatory, or negative messages to target persons based solely upon their marginalized group membership" (Sue et al. 2007). When individuals are confronted with their microaggressive acts, the perpetrator usually believes that the victim has overreacted and is being overly sensitive (Sue et al. 2007). However, research findings on sexist, racist, and/or homophobic language and behaviors reveal that

minority faculty members are, in fact, navigating through the negative climate created by microaggressions, which limit their comfort and satisfaction in the workplace.

Women scientists who reported more sexual harassment and gender discrimination showed less satisfaction with their jobs (Settles et al. 2006). The cultural stereotype of a scientist as rational, single minded, and objective is more consistent with social prescriptions of men (Settles et al. 2006). As a result, women in the sciences can be perceived as aggressive and competitive (Robinson and McIlwee 1991) and often experience exclusion, isolation, and negative treatment by their male peers (Wyer et al. 2001).

Unsurprisingly, scientists who perceived their departmental climate to be more sexist were less satisfied with their jobs. In particular, women scientists who reported more gender discrimination in their responses to questions such as "Some faculty have a condescending attitude toward women," and "Men are more likely than women to receive helpful career advice from colleagues," felt they had less influence in their departments (Settles et al. 2006). However, when the faculty viewed their departments as having effective leadership that is responsive and communicative, the perceived climate for female faculty was more positive (Settles et al. 2006). This means that clear guidelines on department protocol can reduce unintended gender discrimination (Sonnert 1995).

Minority faculty shared similar sentiments. Faculty of color suffer from institutional and individual racism, which leads to lower job satisfaction (Stanley 2006; Skachkova 2007; Jakakumar et al. 2009). An example of institutional racism would be expecting the minority faculty at predominantly white institutions to assimilate to the majority group culture and change how they act, talk and dress to fit in. An example of individual racism would be a majority faculty member saying, "This side of the hallway sure is looking darker lately" upon seeing two faculty of color in the hallway (Stanley 2006). **Underrepresented minorities in medical schools** cite disparities from recruitment to the promotion process, including access to mentorship and career networking opportunities. Institutional barriers, such as poor retention efforts, also "impeded success and feelings of professional satisfaction after recruitment" (Price et al. 2009). A study of over 4,500 full-time faculty from

26 US medical schools found that underrepresented-minority faculty felt isolated and marginalized and struggled to form relationships with nonminority faculty. Further, they experienced "disrespect, discrimination and racism and a devaluing of their professional interests in community service and minority health disparities" (Pololi et al. 2013). Efforts at inclusion can be perceived as insincere "tokenism" and "window dressing" (Pololi et al. 2013). Many faculty leave academic medicine as a result.

LGBTQ faculty who are "out" in their work environment experience more discomfort, possibly due to microaggressions or more visible homophobic actions (Bilimoria and Stewart 2009; Patridge et al. 2014). Studies have provided details of the harassment, intimidation, fear, exclusion, and discrimination experienced by LGBTQ faculty, including tokenism, stereotyping, increased visibility and scrutiny, isolation (Russ et al. 2002) and constraints on (or devaluation of) choices of scholarship (LaSala et al. 2008). Positive workplace climate for LGBTQ faculty is important because they may be especially vulnerable to bias, discrimination, and retaliation in the academic workplace (Bilimoria and Stewart 2009). As sexual orientation is less "visible" than gender or race, it can require disclosure, which places an additional burden on faculty who face discrimination. LGBTQ faculty in the sciences can face challenges with colleagues who have a lack of exposure to research on the social construction of sexuality, race, and gender and, as a result, hold a less nuanced view of it (Shields 2008; Weber 1998, as cited in Bilimoria and Stewart 2009).

Foreign-born faculty may experience language barriers and difficulty establishing social and professional networks. Additionally, interpreting cultural norms, whether with students or colleagues, can present a challenge.

PUTTING PRINCIPLES INTO PRACTICE

PRACTICES TO PROMOTE A HEALTHY DEPARTMENTAL CLIMATE

(For a quick overview of action steps, please see the checklist on page 4.)

Identifying the Need for Change

A necessary precursor to improving departmental climate is establishing an awareness that change is needed. This begins with what Coleman and Voronov (2008) call *critical reflection,* which helps to "assess the value and consequences of the dominant system of power in any organization." Critical reflection (1) is concerned with building the capacity to question "common sense" assumptions; (2) is focused on the social, political; and historical rather than the individual; and (3) foregrounds the analysis of power relations and privilege (Reynolds 1998, as cited in Coleman and Voronov 2008).

Climate Surveys

Research studies and materials such as *Breaking into the Guildmasters' Club: What We Know About Women Science and Engineering Department Chairs at AAU Universities* and *Enhancing Department Climate: A Guide for Department Chairs* have shown that department chairs often have different perceptions of the climate than faculty members (Niemeier and Gonzales 2004; University of Wisconsin–Madison, 2015). Neglecting these principles contributes to the phenomenon frequently found by climate surveys, where the majority group experiences a significantly different kind of departmental climate than minority group members. Since the department chair's perception of climate may differ from that of the faculty, it is important that the chair find a way to assess the departmental climate. This can be achieved through individual meetings with all faculty members, discussion during a faculty meeting, or by conducting a departmental climate survey. For examples of climate surveys, see Appendix B.

TRANSPARENCY

Welcome new faculty with special programs to learn about key offices and resources. In addition, departments can offer opportunities for social connection, developing partnerships, faculty professional development, collaboration, and networking, such as faculty colloquia, sponsored social events and hosting invited guests.

UNIFORMITY

Share written departmental policies. Transparency and consistency in policies, expectations, and procedures within departments, across departments, and across colleges is key. "Department chairs play a key role in helping new faculty determine what is a 'rule,' whether formal or informal and what is just one person's interpretation of policy" (Bensimon et al. 2000). Information should be shared consistently and in a timely manner.

Exercise fairness in recruitment, promotion and leadership opportunities. Departments should conduct regular, fair and full evaluations as a basis for salary adjustments, retention, promotion and tenure decisions and recognize important faculty contributions in all areas. Recruitment policies should be transparent, equitable and inclusive and should specifically address implicit bias (Price et al. 2009). Further, an annual diversity update report should track appointments, promotions, tenure and salary, along with efforts to recruit and retain underrepresented faculty.

ASSISTANCE

Develop a range of mentorship programs. The role of committed and sustained mentorship is key to faculty success (e.g., Davis 1998; Olmedo 1990; Plata 1996; Thomas and Asunka 1995). In addition, peer mentoring groups, peer coaching, leadership skills workshops and promotion workshops, as well as informal brown-bag lunch sessions with department leadership, should be offered to junior faculty.

Focus on work/life needs. Work-family conflict has been associated with job dissatisfaction, burnout, and psychological distress among employees in a range of occupations (Kelloway et al. 1999; Netemeyer et al. 1996). Departments can advocate for flexible and accommodating policies and practices that can improve the experience of faculty and help with retention. Policies like tenure clock extension and modified duties should be discussed before they are needed, with a clear message that dispels the "stop the clock" stigma. In recognition of faculty family needs, meetings should occur during regular work hours. Department leaders should demonstrate their commitment to the well-being of their faculty by encouraging participation in programs to support their lives outside of work. Administrators should make information available to faculty about the Office of Work/Life, the Employee Assistance Program, and other programs and supports.

> **A note about recruitment:** it is also important to encourage potential faculty to consult early with the myriad services offered by the Office of Work/Life, including Dual Career Services, the School and Child Care Search Service, and the Housing and Relocation Information Service.

RESPECT

 Create a sense of intellectual community. The development of a supportive, collegial community, especially for underrepresented faculty, is key to retention (Alfred 1999; Gregory 2002, as cited in Piercy et al. 2005). Such an environment creates opportunities for scholarly exchange and fosters working relationships based on generosity and mutual respect.

Critically examine existing perceptions and practices. Studies show that department heads often have different perceptions of climate than the faculty themselves (Niemeier and Gonzales, 2004; University of Wisconsin at Madison, 2003). It is important to systematically monitor decisions to eliminate unintentional bias and create opportunities for all faculty. Expectations for faculty communications during meetings (i.e., eye rolling, interrupting) should be explicitly stated and modeled.

Provide venues for voicing ideas and complaints. When considering workplace satisfaction among faculty, having opportunities for complaints to be heard and acted upon is particularly important (Green 1989). Underrepresented faculty should be able to bring ideas and concerns to senior faculty, department heads, the dean, and other senior administrators (Plata 1996). Generally speaking, new faculty need more opportunities to participate in decision making.

Support and value all faculty contributions. The University must value all departments and faculty, and administrators and colleagues should demonstrate ongoing support and interest in faculty work, regardless of the discipline or specialty. Untenured faculty should be given adequate protected time to develop research early in their tenure process.

Examples of Actions to Promote an Inclusive Departmental Environment, by Role

Role	Action	Related Principle (s)
Department Chair	Structure department meetings so all voices are heard; hold occasional informational meetings to include all department members.	Transparency
Department Chair	Create an occasion where work by department members can be publicly acknowledged and appreciated.	Respect
Faculty Member	Propose and help create and run a department committee that works on climate.	Assistance
Faculty Member/Mentor	Serve as a mentor to new colleagues.	Assistance
Faculty Member/Ally	Establish or join an existing affinity group.	Respect
Department Administrator	Share information about University resources with all faculty on an ongoing basis.	Transparency and Assistance

GETTING STARTED: STRATEGIC PLANNING

For units prepared to engage more deeply in this work, a full-blown strategic planning exercise may be useful. Departments can begin by holding an extended conversation about departmental climate. At every step, the plan should be made transparent and should be discussed with the full community. As the plan is implemented, progress should be regularly reviewed and revisited. (For additional resources, please see Appendix B.)

Regularly reassess progress with surveys and ongoing discussions.

- Form a departmental committee
- Develop or update clear goals for department climate
- Run survey; review survey responses; Identify strengths and challenges
- Articulate actions, benchmarks, and timeframes
- Draft and review strategic plan
- Create resources for implementing plan - workshops, materials, partnerships
- Share plan with community

Departmental committees focused on equity, diversity and inclusion may vary widely in their composition and mission. Some committees are broadly inclusive, and are composed of undergraduates, graduate students, staff members and faculty. Some have a combination of faculty members and graduate students, while others may only have faculty representation. In general, the purpose and mission of the committee should be taken into consideration when deciding upon membership.

Two examples of committees at other institutions follow:

Ohio State Department of History – Diversity and Inclusion Committee

https://history.osu.edu/committees/diversity-committee

UC Santa Cruz, Department of Psychology

https://psychology.ucsc.edu/about/diversity_committee.html

There are different ways of articulating shared goals. Examples include codes of conduct and purpose or mission statements. Purpose and mission statements posted online by committees at other universities vary in terms of scope and focus. Some take on a broad mission, such as supporting an existing school- or university-level diversity strategic plan, or promoting the recruitment, retention and advancement of faculty and students previously underrepresented in the department. Many target areas for improvement, often through developing a departmental equity, diversity and inclusion strategic plan.

A survey is one method of assessing departmental health in terms of equity, diversity, and inclusion. Informal self-assessments are a good start, and a more detailed and formal assessment could follow. Detailed recommendations for items to be assessed are provided in the *Strategic Planning for Equity, Inclusion, and Diversity Toolkit developed by Berkeley* and the *Guide to Creation of Departmental Equity Survey* developed by The Hunter College Gender Equity Project. (See Appendix B for links.)

Committees at other institutions have undertaken the following:

- Changing policies and practices to enable equity, diversity and inclusion for groups that have been excluded
- Hearing and addressing complaints and advocating for students, staff and faculty about issues of equity, diversity and inclusion
- Building community through planning, publicizing and organizing social events, orientations and educational efforts to promote diversity and inclusion
- Recognizing faculty, staff and students who have made significant contributions to diversity, equity and inclusion
- Advising the department chair and dean

CONCLUSION

This guide is intended to inspire ongoing conversations about improving department or unit climate. Since climate is created by the collective actions of individuals over time, we must remember that each of us has the power to bring about change. If you are interested in engaging further in this work, we encourage you to speak with your colleagues, perhaps with the goal of forming a department- or unit-wide strategic planning committee.

We want to hear from you. Tell us how your unit is implementing this guide, give us feedback on its content, or join others on campus who are working to improve climate by contacting our office at facultyadvancement@columbia.edu.

APPENDIX A:
ADDITIONAL COLUMBIA UNIVERSITY RESOURCES FOR DEPARTMENTAL CLIMATE

Note: A good starting point is always at the department level. Your department and school administrators can help you navigate through the available resources. For a listing of current Columbia diversity initiatives, please visit https://provost.columbia.edu/diversity-initiatives.

Center for Teaching and Learning (CTL)
The CTL offers workshops on inclusive teaching, as well as individualized teaching feedback and online resources, in its wide array of programs.

The Teaching Hour
A series that explores issues of diversity with both faculty and students in mind. Participants collectively generate strategies to improve teaching practices, meet students' needs, and support faculty in their various roles on campus.

Faculty Affairs
The Office of Faculty Affairs manages the University's system of tenure reviews and implements policies and processes for academic personnel (officers of instruction, officers of research, officers of the libraries and student officers).

Human Resources
Contact the Columbia Benefits Service Center for inquiries about medical and dental coverage, retirement, tuition programs, and disability and the Human Resources Service Center for payroll and accounting, employment applications and verification, and other policies and procedures. Your department administrator or HR point person also can assist. HR also offers training sessions on a wide range of topics.

Leave Management
Faculty and staff with permanent or temporary medical conditions may have a spectrum of needs that can be addressed by Human Resources, including arranging permanent or temporary workplace accommodations, providing information about benefits available during medical leave and required documentation, and easing the transition from a medical leave back to a job with the University.

Individuals with Disabilities
Policies and procedures safeguarding the rights of individuals with disabilities apply to all of Columbia's personnel decisions, including recruitment, hiring, promotions, compensation, benefits, transfers, terminations, and layoffs and to all terms and conditions of employment.

Multicultural Affairs
Multicultural Affairs recognizes that identity, social responsibility, allyship, and equity must be addressed at multiple interconnected levels to best support students' various developmental stages. Their advisers provide programs, resources, and support for personal identity development, mentorship, intercultural learning, social justice education, and institutional advocacy.

The National Center for Faculty Development and Diversity (NCFDD)
The National Center for Faculty Development and Diversity is an independent professional development, training, and mentoring community for faculty members, postdocs, and graduate students, and is dedicated to supporting academics in making successful transitions throughout their careers.

Office of Equal Opportunity and Affirmative Action
The University's Office of Equal Opportunity and Affirmative Action (EOAA) has overall responsibility for the management of the University's employee policies and procedures on discrimination, harassment, sexual assault, domestic violence, dating violence, and stalking. EOAA coordinates compliance activities under these policies and the applicable federal, state, and local laws, and is designated as the University's Compliance Office for Title IX, Section 504 of the Rehabilitation Act and other equal opportunity, nondiscrimination, and affirmative action laws.

Ombuds Office

The Ombuds Office helps to promote civility, mutual respect, and ethical conduct and to identify ways to prevent disruptive conflict by alerting the administration to policy issues and recommending changes in University practices. The Ombuds Office is designed to be an accessible entry-point for individuals at all levels of the University to bring concerns about misunderstandings, incivility, or possible wrongdoing; it is intended to be a safe and open place to discuss issues without fear of retaliation. The Ombuds Office fills a need for those whose complaints do not fall within the scope of any existing policies, procedures, or jurisdictions – providing a resource for people with unusual or "gray area" concerns, or whose conflicts could not be resolved by other University processes.

Office of the Vice Provost for Faculty Advancement

The Office of the Vice Provost for Faculty Advancement promotes and nurtures a vibrant climate of inclusive excellence through creative collaboration with University partners. Their primary focus is on fostering faculty development, diversity, planning, and community-building initiatives that will allow faculty to thrive.

Public Safety

Columbia Public Safety provides emergency response and assistance with personal threats, offers security escorts, maintains the University's lost and found, and coordinates assistance from law enforcement.

University Compliance

The University's compliance hotline is a third-party vendor, staffed by professionals, offering a confidential channel for employees to report or seek guidance on possible compliance issues. Employees have the option to report concerns anonymously.

University Life

The Office of University Life is a hub for University-wide student life information and initiatives and offers valuable resources for faculty and staff.

Work/Life

Columbia University's Office of Work/Life fosters the well-being of the Columbia community and its people in their pursuit of meaningful and productive academic, personal, and work lives.

APPENDIX B:
TOOLKITS FOR SPECIFIC ACTIONS

Uniformity and Transparency: Faculty Commitments Tracker

The grid below is adapted from the University of Wisconsin and can be customized with faculty member names and specific assignments. When assigning faculty members to various roles, committees, and commitments, use this chart to ensure opportunities are well distributed and that each person has some impactful role within the department and not an excess of extremely time-consuming tasks. Mark an "X" in each box that a faculty member is assigned.

Not all organizational and departmental committees and activities require the same level of commitment from faculty. The department chair may create a system to evaluate the amount of time dedicated to each activity to ensure faculty members are recognized for their total contributions, instead of being evaluated solely on the number of commitments.

Faculty Commitment/ Committee/Activity	Faculty Member 1	Faculty Member 2	Faculty Member 3
Conference Planning Committee			
Diversity Committee			
Departmental Representative to Campus Committee			
External Committee and University Service			
Heavy Course Load(s)			
Institutes and Centers			
Mentor for Junior Faculty Member			
Search Committee			
Tenure Review Committee			

RESPECTFUL COMMUNICATION

Brown University's Diversity and Inclusion Toolkit addresses enhancing respect as one of its guidelines:
Enhancing respect in your work areas is one way of supporting colleagues within your department or division and helping them feel valued. Respect can be demonstrated through our choices, delegation, behaviors, and verbal and nonverbal communication.

DO:	DON'T:
▪ Make your expectations clear to your colleagues regarding verbal and nonverbal communication (e.g., avoid eye rolling at meetings, talking over each other when you disagree with a viewpoint, etc.). ▪ Schedule at least one staff/faculty meeting a year specifically focused on discussing the work environment or to assess the climate, discuss feelings of respect, and solicit feedback from colleagues. ▪ Identify best practices for all to model. ▪ Provide consistent feedback to colleagues who need further support on improving their behavior. ▪ Reward/reinforce respectful behavior when you see it. ▪ Manage conflicts and disagreements with respect in a timely and confidential manner.	▪ Assume that all colleagues in your department or division have the same definition of respect as each other or as you. ▪ Avoid conversations about disrespectful behavior in the hope of stopping the behavior all by itself. ▪ Rely on someone else, if you are an area manager/ department chair/center director, to provide vision and tools for respect in your department. This is part of your responsibility as a person in a leadership role.

WHAT ARE SOME SPECIFIC BEHAVIORS THAT CAN CONVEY RESPECT?

- Communication that is open and transparent.
- Decision making that is transparent, communicated, and inclusive.
- Information being shared in a timely and consistent manner.
- Disagreeing without losing one's temper or otherwise conveying disrespect.
- Greeting students, faculty, staff, and visitors by acknowledging them verbally and nonverbally.
- Respecting people's time by arriving at meetings and ending meetings promptly.
- Being open to criticism and feedback.
- Providing critical feedback in a caring and respectful manner and to the specific individual.
- Taking responsibility for the impact of one's actions.

WHAT ARE SOME SUGGESTIONS FOR COACHING AND PROVIDING FEEDBACK ABOUT DISRESPECTFUL BEHAVIOR?

- Choose an appropriate time and private place to offer feedback. It is best not to let too much time pass. Keep calm and do not react to your own emotions.
- Ask the person how they saw their behavior impacting the situation or the other person involved.
- Listen to their own self-evaluation and provide feedback that encourages self-reflection.
- Examine the long-term impact this behavior has on the team or faculty on the job tasks and on their relationships with other colleagues, faculty, staff, or students.
- Engage the person displaying the disrespectful behavior. Ask the person how they will handle the situation the next time.

USING SELF-ASSESSMENT TOOLS

Another way for committees to begin to consider the status of equity, diversity, and inclusion in the department is to use a self-assessment tool. Assessments can be taken individually (and anonymously) and then discussed as a group or used as a jumping-off point for group discussion. Departments may want to customize their own self-assessment tools to meet the particular needs of their faculty. Examples of self-assessment tools are below:

UC Berkeley's Strategic Planning for Equity, Inclusion, and Diversity Toolkit for a Self-Assessment Worksheet. https://diversity.berkeley.edu/sites/default/files/academic-strategic-toolkit-final.pdf

An Academic Unit Diagnostic Tool (AUDIT) developed by the National Center for Professional and Research Ethics https://ethicscenter.csl.illinois.edu/files/2018/02/AUDiT-dashboard.pdf

Achieving a Culture of Inclusion – A Self-Assessment Tool developed with the University of California President's Task Force on Faculty Diversity https://diversity.ucsf.edu/sites/diversity.ucsf.edu/files/meeting-materials/self-assessment-tool.pdf

Gathering and Analyzing Metrics—Things to Consider

Demographic data about each department is available at the school level. At the University level, data is available from the Office of Planning and Institutional Research and from the Office of Faculty Advancement. See https://provost.columbia.edu/content/faculty-diversity for an interactive display of demographic data at the division and school level.

Some considerations:
- Demographic composition of the department by group (undergraduate students, graduate students, staff, faculty) and comparison to benchmarks *(may also consider diversity beyond race/ethnicity/gender)*
- Constituents to be surveyed (whether students, staff, and administrators are included)
- Patterns for different groups across a number of items:
  - Recruitment/admissions
  - Advancement/time to degree
  - Retention/graduation rates
  - Honors/awards
  - Service/class load
  - Exits/patterns of leaving
  - Well-being

- How data is managed, secured, and archived
- Frequency of surveys
- How results are reported

Using Survey Data

Committees can consider existing data from previous department surveys, student surveys, or surveys at the school or University level, such as the PPC Equity Surveys and the Senate Quality of Life Survey.

Gathering Information from Department Members

Committees can also gather information directly from department members by conducting individual interviews or focus groups or by holding open town hall meetings. It is important to compile the information gathered in a way that doesn't reveal individual identities. The department should receive a summary of what was learned so that they can develop a plan to address faculty concerns.
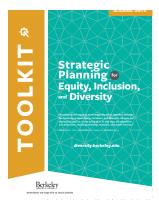
ADDITIONAL TOOLKITS

Improving Overall Climate

Improving Department Climate: Tools and Resources for Departments and Department Chairs https://fas.columbia.edu/improving-department-climate-tools-and-resources-departments-and-department-chairs

Improving the Department Climate: Tools and Resources for Department Chairs was developed by the Office for Faculty Development and Diversity in Arts and Sciences at Columbia University. This toolkit begins with an overview of research findings on departmental climate, including examples of microaggressions and their negative impacts. The following sections of the toolkit are organized around four principles for a positive departmental climate: transparency, uniformity, assistance, and respect. These provide a framework for considering resources and best practices from other institutions that may help improve the departmental climate. An annotated list of tools and resources for enhancing the departmental climate is also included.

Strategic Planning for Equity, Inclusion, and Diversity Toolkit
University of California, Berkeley
(Keywords/Key Phrases: Assessment, Assistance, Collegiality, Communication, Department Goals, Equity, Inclusion, Mentoring, Productive Climate, Strategic Planning, Transparency)

UC Berkeley has developed the *Strategic Planning for Equity, Inclusion, and Diversity Toolkit* to guide departments on achieving transformational change and developing departmental diversity plans. The toolkit includes an introduction to strategic planning, as well as a comprehensive guide of strategic planning steps. The toolkit outlines the following steps: 1) map out planning process; 2) gatherinformation and conduct self-assessment; 3) develop vision–set goals, strategies, metrics; 4) review plan with equity and inclusion; 5) adopt plan and communicate vision; and 6) implement plan. The toolkit includes planning tools (checklists, templates, worksheets) to assist departments in developing this six-step strategic plan. Departments may download versions of the toolkit at diversity.berkeley.edu/planning-process.

Tips for Improving Departmental Climate
University of Arizona
(Keywords/Key Phrases: Collegiality, Communication, Inclusive Climate, Mentoring, Productive Climate)

This ADVANCE document includes a questionnaire for departmental leadership to assess promotion of an inclusive and productive climate. Each department is encouraged to increase collegiality by assessing their current climate, then creating a plan of action that outlines communication styles, by laws and guidelines that are beneficial to all department faculty members.

Creating a Positive Departmental Climate at Virginia Tech: A Compendium of Successful Strategies
Virginia Tech
(Keywords/Key Phrases: Collegiality, Communication, Department Policies, Faculty Evaluation, Faculty Recognition and Appreciation, Mentorship, Promotion and Tenure, Transparency, Values, Work/Life)

The Virginia Tech compendium focuses on the five critical

areas: 1) Creating a sense of intellectual community 2) Providing for fair and full evaluations of staff and faculty 3) Improving communications to insure clarity and mutual respect and understanding 4) Building more effective departmental policies and 5) Helping department members achieve an effective work-life balance.
Each section makes reference to survey data which address the topic. Details of the survey methodology and complete results are available at: http://www.advance. vt.edu/Measuring_Progress/Faculty_Survey_2005/Faculty_ Survey.htm.

Creating a Positive Department Climate: Principles for Best Practices
University of Michigan
(Keywords/Key Phrases: Assistance, Respect, Transparency, Uniformity)

Jean Waltman and Carol Hollenshead developed *Creating a Positive Department Climate: Principles for Best Practices* as part of the NSF ADVANCE program at the University of Michigan. They provide a useful framework for considering department climate and the three principles that support a positive climate for all faculty: 1) Transparency: Making all kinds of information available and easy to find; 2) Uniformity: Leveling the field and dealing equitably with all faculty; and 3) Assistance: Attending to the needs of faculty, offering mentoring and other types of help. The report is organized according to the problems women faculty in particular most often speak about, but these are issues that arise for many faculty, regardless of gender or other identifiable characteristics.

Diversity and Inclusion Toolkit
Brown University Office of Institutional Diversity and Inclusion
(Keywords/Key Phrases: Active Listening, Behavior, Coaching, Communication, Harassment/Discrimination, Hiring, Inclusive Culture, Mentoring, Respect, Transparency)

The Diversity and Inclusion Toolkit has been created to identify best practices for promoting diversity and inclusion at Brown. The toolkit provides guidelines for demonstrating an understanding of compliance, cultural awareness, respect for differences and coaching for positive change toward inclusive practices for all identities. The purpose of this resource is to provide assistance for departmental leadership that seeks to diversify recruiting and establish best practices that respect individual unique attributes of each faculty member.

University of Wisconsin–Madison
(Keywords/Key Phrases: Biases, By-laws, Communication, Harassment/Discrimination/Bullying, Mentoring, Microaggressions, Pay Equity, Respect, Retention, Tenure and Promotion, Transparency, Work/Life)

This document provides practical advice to address eight common department-level climate concerns: 1) lack of respect, consideration and/or politeness; 2) insufficient sense of community or belonging; 3) lack of recognition, visibility, and/or value; 4) ineffective communication; 5) lack of support or inequitable access to professional development opportunities; 6) difficulties achieving balance between work and family or personal life; 7) illegal behaviors and demeaning, sexualizing, hostile, condescending language and behaviors; and 8) retention and/or tenure of women and minority faculty, staff, and students.

Gender

Gender Equity Guidelines for Department Chairs
American Association of University Professors
(Keywords/Key Phrases: Assistance, Equity, Gender, Harassment, Hiring, Mentoring, Retention, Transparency, Uniformity, Work/Life)

The American Association of University Professors (AAUP) provides resources for the retention of women faculty members. THE AAUP recommends procedures that will create a welcoming environment for women faculty through supports and resources in the following areas: 1) Faculty Career Management and Development: Retention and Mentoring; 2) Measuring Gender Equity; 3) Sexual Harassment; and 4) Work and Family Balance. The Gender Equity Guidelines for Department Chairs offers guidelines that department chairs may follow to utilize these principles and create a supportive and equitable academic environment for all faculty members, but particularly for women faculty.

StratEGIC Toolkit: Strategies for Effecting Gender Equity and Institutional Change—Climate
(Keywords/Key Phrases: Departmental Climate, Department Politics, Interpersonal Communication, Gender, Faculty Recognition, Grants, Transparency, Working Environment)

This brief provides an overview of the ADVANCE department climate initiatives that sought to help departments reduce conflict and find ways of working that were less emotionally demanding and more productive for everyone. The brief provides an overview of rationale, purpose, audience, effective models, and best practices of such departmental-targeted climate initiatives.

StratEGIC Toolkit: Strategies for Effecting Gender Equity and Institutional Change—Mentoring
(Keywords/Key Phrases: Assistance, Career Development, Coaching, Collegiality, Isolation, Communities, Mentoring, Mentoring Model Objects, Networking, Support)

This brief provides an overview of rationale, purpose, audience, effective models, and best practices of mentoring and networking programs. In addition, this resource shares benefits and limitations of mentoring and networking activities that may be provided at the departmental level, such as individual one-on-one mentoring, mentoring committees with colleagues, and networking activities with peers or with mixed groups.

Effective Policies and Programs for Retention and Advancement of Women in Academia
UC Hastings College of the Law
(Keywords/Key Phrases: Childcare, Chilly Climate, Dual Career Support, Gender Bias, Faculty Search Committees, Mentoring and Networking Programs, University Policies, Work/Life)

Effective policies and programs that eliminate the chilly climate for women can improve faculty satisfaction and reduce costly attrition rates. This resource is helpful for departments seeking to respond to climate issues that relate to recruiting, retaining, and advancing women faculty. The guide covers topics to support ladder-rank faculty such as: 1) Design of Parental Leaves and Stop-the-Clock Policies; 2) Dual Career Support; 3) Mentoring and Networking Programs; 4) Childcare Needs; 5) Part-Time Tenure Track Alternatives; 6) Flexible Benefits Programs.

Guide to Creation of Departmental Equity Survey
The Hunter College Gender Equity Project
(http://www.hunter.cuny.edu/genderequity/repository/files/equity-materials/guideequitysurvey.pdf)
(Keywords/Key Phrases: Gender, Equity, Evaluation, Promotion, Tenure, Salary, Service)

Some suggestions for metrics to gather and analyze are included here, as well as ideas for methods to use in gathering information about the department climate.

Faculty in STEM

UW–Madison Committee on Women in the University, Climate Vignettes, 2002
https://wiseli.wisc.edu/research/sfw/

The Study of Faculty Worklife is a longitudinal climate survey of faculty at the University of Wisconsin–Madison. The original (2003) instrument was developed by WISELI staff and evaluators and was based on extensive interviews with women STEMM faculty at UW–Madison. Data collection is accomplished via a postal survey, administered by the University of Wisconsin Survey Center. The survey primarily measures faculty attitudes about their departmental climate, hiring and promotion processes, and job satisfaction. On some survey years, we also measure incidence of sexual harassment and hostile/intimidating behavior, faculty productivity, and/or faculty morale.

TECAID Model: Leading Engineering Department Culture Change in Diversity, Equity and Inclusion
Transforming Engineering Culture to Advance Inclusion and Diversity
(Keywords/Key Phrases: Cultural Change, Diversity, Engineering, Equity, Inclusion, Workforce)

The TECAID project was developed by the Women in Engineering ProActive Network (WEPAN), American Society for Mechanical Engineers (ASME), Purdue University, Center for Evaluation and Research in Science and Engineering (CERSE), and Kardia Group, LLC. The TECAID model focuses on helping department leaders, faculty, and staff lead diversity, equity, and inclusion (DEI) culture change within engineering departments. Impetus for such change may be instigated by an array of factors, including challenges from students; observation(s) and/or personal experience(s) of inequities; faculty and staff discussions; presidential initiatives; strategic planning; and/or national events. The TECAID Model provides a blueprint for DEI skill building and change-leadership development, guidance through the change process, and recommended resources.

Sexual Harassment of Women: Climate, Culture and Consequences in Academic Sciences, Engineering and Medicine Consensus Study Report from the National Academies of Sciences, Engineering, and Medicine
https://www.nap.edu/catalog/24994/sexual-harassment-of-women-climate-culture-and-consequences-in-academic

NIH Scientific Workforce Diversity Toolkit
https://diversity.nih.gov/toolkit

Retention

Guide to Best Practices in Faculty Retention
Columbia University – Office of the Provost
(Keywords/Key Phrases: Diversity, Inclusion, Leadership Development, Professional Development, Resource Allocation, Retention)

This guide is intended to help department chairs fulfill the University's commitment to diversity and inclusion through best practices found to help retain faculty. The practices and strategies listed in this document were informed by case study reviews of best practices proven effective at several peer institutions; literature review of studies regarding barriers to the retention of faculty, particularly faculty of color and other underrepresented groups; faculty experiences at Columbia; and an examination of best practices across Columbia.

Retaining Faculty at the University of Montana-Missoula
University of Montana–Missoula
(Keywords/Key Phrases: Collegiality Child Care, Department Climate, Elder Care, Faculty Duties, Faculty Satisfaction, Mentoring, Work Environment, Work/Life)

Helping faculty members balance their professional and personal lives can significantly support faculty productivity and job satisfaction. The guidebook details the best practices followed at the University of Montana to support faculty work/life balance. In addition to addressing how to alleviate the stressors of balancing academic and personal matters, this guidebook provides recommendations on how to create effective mentoring models and positive departmental climates for female, minority, and junior faculty members as part of a department's standard operating procedures.

For Department Chairs

MIT Faculty Newsletter: What I Learned as a Department Head
Massachusetts Institute of Technology (MIT)
(Keywords/Key Phrases: Departmental Culture, Equity, Mentorship, Recruitment, Respect, Retention, Value)

Edmund Bertschinger, former department chair and professor, Department of Physics, MIT, opines that kindness and respect are the two most important

attributes that department leadership should provide to department community members. In "What I Learned as a Department Head," Bertschinger states that emphasis on encouragement, help, and accountability are necessary for leaders to shift a department culture. In order to make this shift possible, the former MIT department chair shares the "3 Rs" of recruitment, retention, and respectful work environment as methods to develop and support colleagues within your department.

Mentoring

Guide to Best Practices in Faculty Mentoring
Columbia University – Office of the Provost
(Keywords/Key Phrases: Collegiality, Communication, Equity, Evaluation, Informal vs. Formal Mentoring, Mentoring Models, Oversight, Respect, Sustainability, Transparency, Work/Life)

This guide provides direction for departments to implement mentoring programs that are tailored to their faculty and departmental development needs. It provides a framework for departments to develop mentoring programs or improve formal and/or informal mentoring programs that are already in place. A checklist and logic model for academic units implementing mentoring programs are included as appendices.

APPENDIX C:
FOR FURTHER READING

BOOKS

The list below offers an introduction to topics referenced in this guide.

Bonner II, F. A., Tuitt, F., Robinson, P. A., Banda, R. M., and Hughes, R. L. (eds.). 2014. Black faculty in the academy: Narratives for negotiating identity and achieving career success. Routledge.
Through candid discussions and personal counter-narrative stories, *Black Faculty in the Academy* explores the experiences and challenges faced by faculty of color in academe. Black faculty in predominantly white college and university settings must negotiate multiple and competing identities while struggling with issues of marginality, otherness and invisible barriers.

DiAngelo, R. 2018. White fragility: Why it's so hard for white people to talk about racism. Beacon Press.
Referring to the defensive moves that white people make when challenged racially, white fragility is characterized by emotions such as anger, fear and guilt and by behaviors including argumentation and silence. These behaviors, in turn, function to reinstate white racial equilibrium and prevent any meaningful cross-racial dialogue. DiAngelo examines how white fragility develops, how it protects racial inequality, and what we can do to engage more constructively.

Johnson, W. B., and Smith, D. 2016. Athena rising: How and why men should mentor women. Routledge.
The authors, who are professors at the United States Naval Academy, start the book with fifty pages of research-based insights and views into both the complexities and the benefits of male-female mentorships.

Kendi, I. X. 2019. How to Be an Antiracist. One World/ Ballantine.
Kendi weaves an electrifying combination of ethics, history, law, and science with his own personal story of awakening to antiracism.

Meyer, E. 2014. The culture map: Breaking through the invisible boundaries of global business. Public Affairs.
Erin Meyer provides a field-tested model for decoding how cultural differences impact international business. She combines a smart analytical framework with practical, actionable advice for working in a global world. Whether you need to motivate employees, delight clients, or simply organize a conference call among members of a cross-cultural team, the eight dimensions featured in *The Culture Map* will help you improve your effectiveness. By analyzing the positioning of one culture relative to another, the dimensions enable you to decode how culture influences your own international collaboration.

Oluo, I. (2018). So you want to talk about race. Hachette UK.
Ijeoma Oluo guides readers of all races through subjects ranging from intersectionality and affirmative action to "model minorities" in an attempt to make the seemingly impossible possible: honest conversations about race and racism and how they infect almost every aspect of American life.

Stewart, A. J., and Valian, V. 2018. An inclusive academy: Achieving diversity and excellence. MIT Press.
The authors show why merit is often overlooked; they offer statistics and examples of individual experiences of exclusion, such as being left out of crucial meetings; and they outline institutional practices that keep exclusion invisible. These include reliance on proxies for excellence, such as prestige, that disadvantage outstanding candidates who are not members of the white male majority.

APPENDIX D:
REFERENCES ON ACADEMIC CLIMATE

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