

Aligning Institutional Capacity and Incentives for Engaged Research and Public Impact

Rich Carter - Oregon State University; Promotion, Tenure, Innovation and Entrepreneurship (PTIE)

Benjamin Olneck-Brown - The Pew Charitable Trusts

Emily J. Ozer - University of California-Berkeley and **Jennifer Renick**, Univ of Memphis

Kacy Redd - Association of Public and Land Grant Universities

Goals

- Describe campus and national efforts to recognize and support engaged research and public impact in faculty reward systems
- Draw connections between institutional change efforts for engaged research and public impact and other institutional change models
- Explore opportunities for coalition-building
- Session background and interactivity: <https://tinyurl.com/5fmt4a64>



Why are we here? Our shared challenges

- Making the case for the public value of universities and colleges and that universities are vital infrastructure.
- Balancing the increasing asks of the university community in constrained environments to prevent burnout and build trust.
- Aligning, reprioritizing, modernizing, and/or revitalizing our academic system for impactful work.

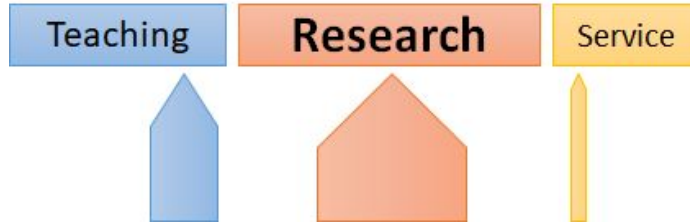


Why are we here? Our shared approaches

- ASCN, NSEC, TI - focus on improving educational outcomes via change in higher ed and education research and via implementation projects. Attend to professional development, evaluation/assessment, and reward system. Campus mid-level infrastructure and national networks and networks of networks (Tuesday, 2:30 session).
- Our panel today - focus on community-engaged scholarship, public impact research, and innovation and entrepreneurship. Building nascent network of networks.
- We have distinct desired outcomes, aligned approaches, and many shared mechanisms for changing higher education. Want to avoid competition and burnout for change.



Broadening the Bar of What Counts



Evolving Expressions of
Scholarship for Social Impact



See past TI Conference Workshop [here](#). Slide created by Julie Risien, Oregon State University.

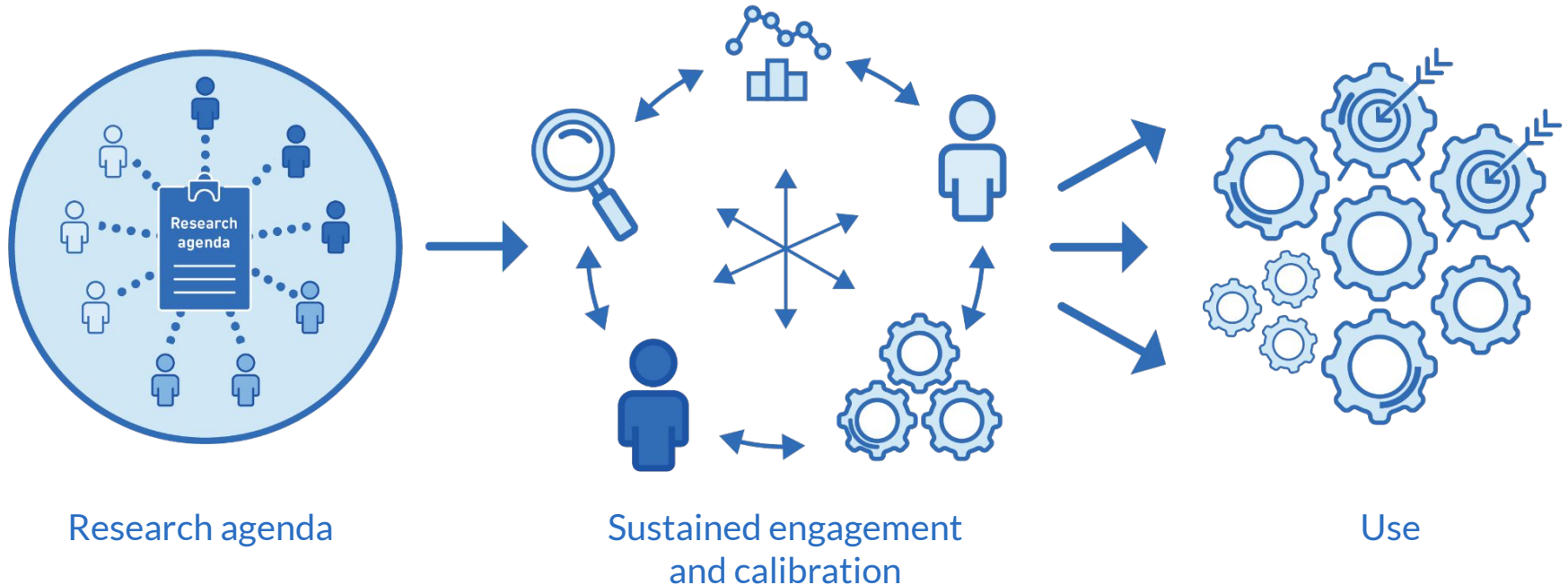
The background of the slide is a light blue network diagram. It consists of numerous small circles (nodes) connected by thin, dark blue lines (edges). The nodes are distributed across the entire slide, with a higher density around the central white box. The lines form a complex, interconnected web, suggesting a network or a system of relationships.

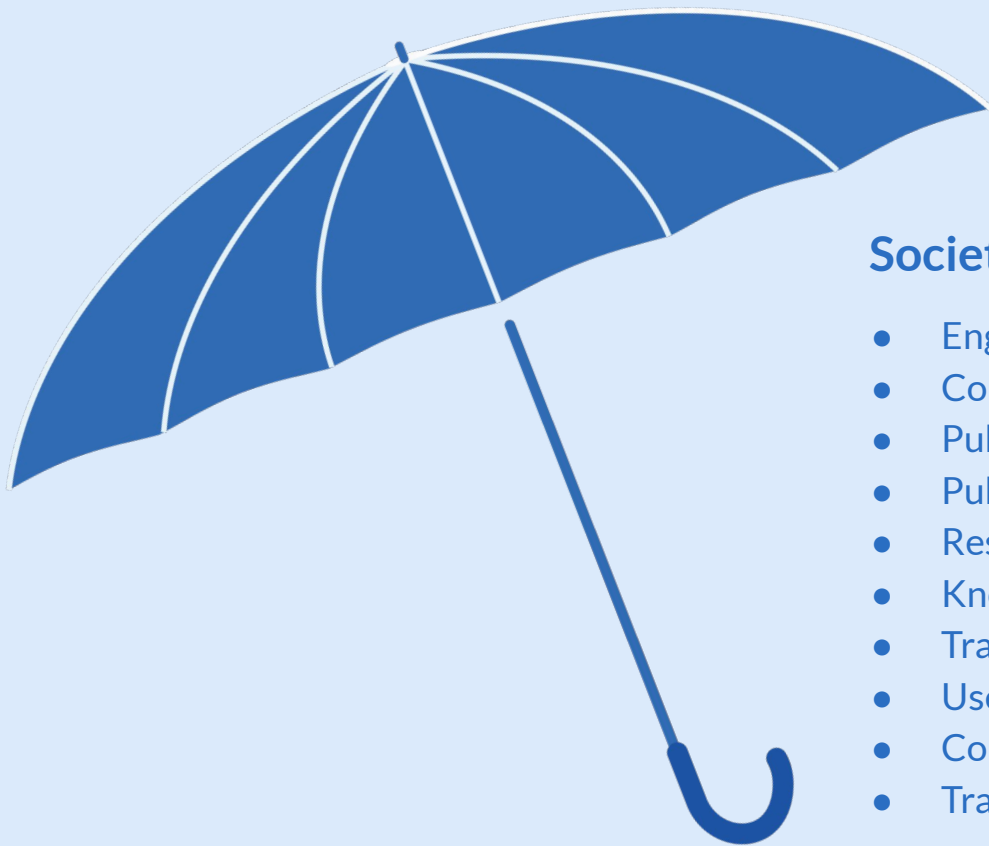
Evidence Project and the Transforming Evidence Funders Network (TEFN)

Benjamin Olneck-Brown

The Pew Charitable Trusts – June 12, 2023

Participatory, inclusive approaches to research production and use

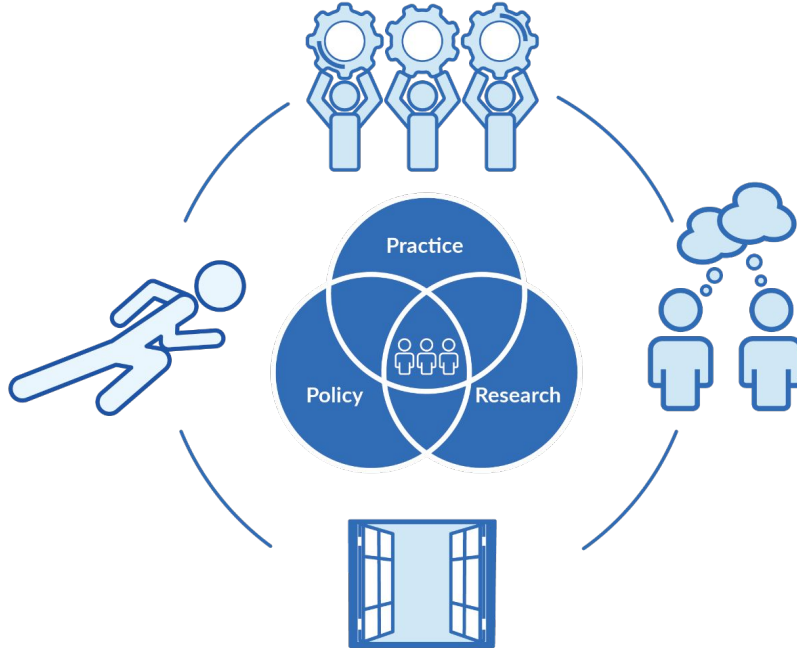




Societally impactful research

- Engaged research
- Community-engaged research
- Public scholarship
- Public impact research
- Research-practice partnerships
- Knowledge translation
- Translational research
- Use-inspired research
- Coproduction
- Transdisciplinarity

Value proposition

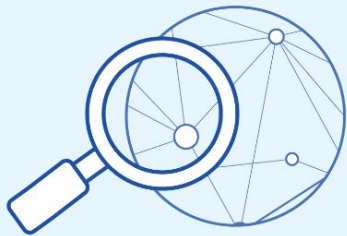


Transforming Evidence Funders Network (TEFN)

Creating the systemic and long-term changes necessary to transform how evidence is generated, mobilized, and used. Improving funder practice and collaborating on systems challenges.

Key priorities include:

Building a coordinated
evidence base on evidence
use and inclusive research



Catalyzing
research-practice-policy
partnerships (R3Ps)



Transforming
academic research
incentives



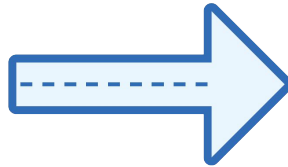
Key takeaways

Momentum is building

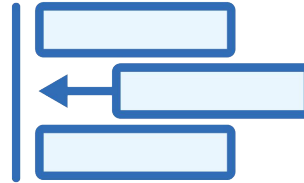
on campuses and
across university
systems



Networks and
organizations
are leading the
way



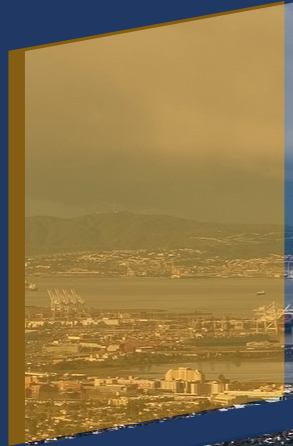
Connecting
and aligning
initiatives is
essential



Policy window



Strengthening Engaged Scholarship: Institutional Change at UC-Berkeley





Problem & Opportunity

- Public purpose core to Berkeley mission, identity
- Massive societal challenges where our research contributes, especially through sustained partnerships to enhance “relevance, rigor, and reach” (Balazs & Morello-Frosch, 2013)
- Yet we lack sustained ***institutional*** supports for partnered ***scholarship*** for public purpose
- Peer universities grappling with this issue, making strategic changes; where can we learn + lead?

Problem & Opportunity

- Special + general pain points for “*research with, not on*” that doesn’t “fit grooves” of traditional research modes
 - Often borne by women and scholars of color; “invisible” work to sustain partnered scholarship
 - *Timing*: New cluster hires attracting faculty with community-partnered interests
- No campus office/role for community-partnered **research**
 - Undergraduate community engagement focus plus awards for research in public interest
 - Small seed grants under Chancellor’s office





Our “Circle” of Focus

- Big tent/“garden” of research partnerships with CBO’s, government & policy organizations, schools, etc.
- Focus on research mission & faculty scholarship
- Across positionalities, approaches that value and partner with non-academic experts in shaping research questions, designs, implications
 - E.g. social scientists with strong policy and practice partnerships, field-based scientists, “community-engaged” scholars

Lifting Diverse Public Scholarship

**Civil & Env
Engineering**

Social Science

**Implementation
science**

Health sciences

Humanities

STEM

**City
Planning**

**Climate
science**

**Policy
scholarship**

**Participatory
research**

**Social justice
scholarship**

**Community
engaged
scholarship**



William T. Grant Foundation Institutional Challenge Grant - Investigator Team

Building on 6+ years of networking, incubation, and external partnership development across disciplines and units:

- VCRO-funded Youth & Inequalities Initiative (Emily Ozer, Prudence Carter, Coco Auerswald co-PIs)
- Innovations for Youth; Social Science Matrix; Ford Foundation funding
- Support from Berkeley VCRO, Schools of Public Health, Social Welfare, & Education



SF Unified District

Norma Ming
Devin Corrigan

Public Health

Emily Ozer (PI)
Colette "Coco"
Auerswald

Psychology

Qing Zhou
Jason Okonofua

Social Welfare

Valerie Shapiro
Susan Stone (co-PI)

Education

Chunyan Yang

City & Regional Planning

Deborah McKoy



Overarching aims of initiative

- Aligned with public mission and strategic plan, enhance UC Berkeley's public impact of our research by supporting and elevating partnered scholarship for public impact
- Catalyze **institutional changes** to strengthen rewards, reduce barriers experienced by Berkeley investigators and external partners engaged in partnered research
 - Beyond work-arounds & staffing up to buffer pain points (not all can do, replicates resources)



Momentum & leadership via collaborations with admin & senate (new campus guidelines for faculty eval; IRB working group; building of networks)

Guidelines integration and dissemination efforts

How to sustain, expand, institutionalize?

Assessing Community-Engaged Research

Assessing Community-Engaged Research

January 2021

These guidelines frame some principles on the assessment and crediting of research projects that involve partnerships with non-academic entities that work in the public interest ("agencies").

Many faculty who pursue this kind of research publish peer- and non-peer-reviewed articles, chapters, or monographs that draw on and disseminate the findings of their community partnerships. These publications are credited in the same way as any other publications.

The campus's current practice is to credit policy papers, reports, and other such documents as research. The campus considers such material to be "published" if it has been submitted to an agency, provided it is generally accessible to the public. This accessibility condition is met if the agency publishes or otherwise disseminates the material or, if the agency does not, the candidate makes it available broadly. Such publications will normally be treated as non-peer-reviewed unless there is a formal vetting process by the agency (this should be described); nevertheless, such publications can and will be credited if the Chair and/or Dean presenting the case provides an assessment of the work's status, importance, and impact. When the work is a contribution to equal opportunity, diversity, equity, and inclusion, this should be noted, as stipulated in Section 210-1d of the Academic Personnel Manual.

In assessing the work, it will be critical to understand how the work has shaped policy or changed practices (or what its potential to do so is). Such an assessment is essential to reviewers' ability to award fair credit. If the research undertaken did *not* bring about any such concrete changes nor is it likely to do so in the future, the work may nevertheless be of value if it advances knowledge; in such cases, an assessment of how knowledge was advanced will be critical.

In situations where a faculty member has served as an advisor or expert consultant to a governmental agency or a non-profit, but that engagement has *not* resulted in any written document, campus practice is to credit such engagement as service. That noted, there may be instances in which such engagements can be credited as research, if they meet some basic minimum criteria for dissemination and influence:

1. To be considered as research rather than service, outcomes (findings, analyses, conclusions, etc.) must be communicated in some form that has permanence and is accessible to the public beyond the immediate sphere of the candidate and the agency for which the work was performed.
2. To be considered as research rather than service, work must be cast in a form that can be disseminated beyond the first-hand, in-person encounters between the researcher and the main research partners. In other words, research must be presented in a form that can have influence beyond its immediate context.

According to these criteria, documents such as policy reports, development plans, and apps can be credited as research, as long as the importance and influence of the work is explained and assessed by the Chair and/or Dean, as well as subsequent reviewers. Oral communications, such as presentations to public bodies or *viva voce* consultations with a non-profit, are generally *not* to be credited as research in the absence of written documentation and/or clear evidence of impact.



**Stronger commons can provide metaphorical light and water
for *diverse* public purpose gardens across units and disciplines;
some issues *most relevant* to *partnered scholarship***

UNIVERSITY OF CALIFORNIA UC



University of California Community Engagement Network (UCCEN)

Nascent network of 10 UC campuses—focus on community engagement

Bottom-up emergence: CE faculty and administrators across UC campuses

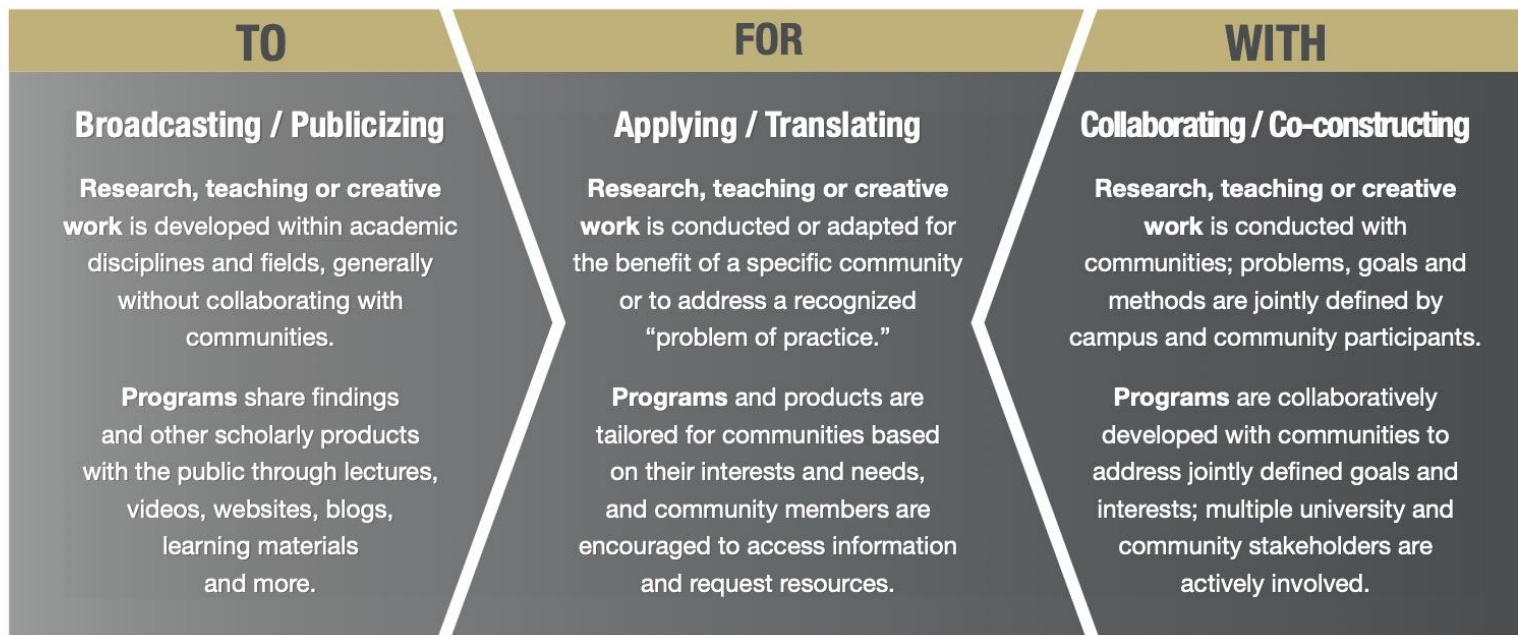
Current structure: Steering committee and 3 working groups:

- Best practices in community-engaged research, teaching, and learning
- Advocacy at UC system scale (e.g., recent UC Climate Action RFP)
- Recognizing and rewarding community-engaged scholarship in faculty advancement

Next Steps:

- More engagement with UC Office of President
- Website
- Resources to maintain momentum and sustainability
- Identification of most powerful areas of synergy across campuses

Continuum of Engaged Scholarship



Collaboration and Relationship Building



Office for Outreach and Engagement
UNIVERSITY OF COLORADO BOULDER



Scan of Promising Practices to Reform Promotion and Tenure Policies

Emily J. Ozer, Professor and Faculty Liaison to EVCP (Provost)
on Public Scholarship and Engagement,
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Project Team

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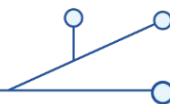
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Tenure Standards Task
Force, and Senior Advisor,
Bridging the Gap

Scan Scope

- Provide overview and comparison of promising attempts to reform and/or strengthen faculty advancement incentives to reward societally impactful research
 - Was not a systematic review or comparative case study
- Primary approaches for gathering information
 - Interviews with key individuals engaged in institutional change
 - Purposive sample: 13 US universities
 - Diversity of university types, including public/private, R-1 & R-2, HBCU, MSI, land-grant (non-exclusive, intersectional categories)
 - Review of university and professional organization reports, websites, artifacts
 - Interviews with selected high-level staff of professional organizations working to strengthen Promotion & Tenure (P&T) to reward societally impactful scholarship
 - 10 organizational cases to provide broad landscape scan of key players
 - Some literature review of higher ed journals and related sources



Overarching Findings



Scan shows significant work
in the area of supporting and
recognizing societally impactful
scholarship and engagement.

Found in variety of initiatives
across diverse types of academic
institutions and organizations



Highlights
undervaluation of societally
impactful scholarship
within university practices,
policies, and culture,
including tenure and
promotion



Reveals a range of
opportunities for a
variety of actors to
support societally
impactful
scholarship

Overarching Findings

Key Findings

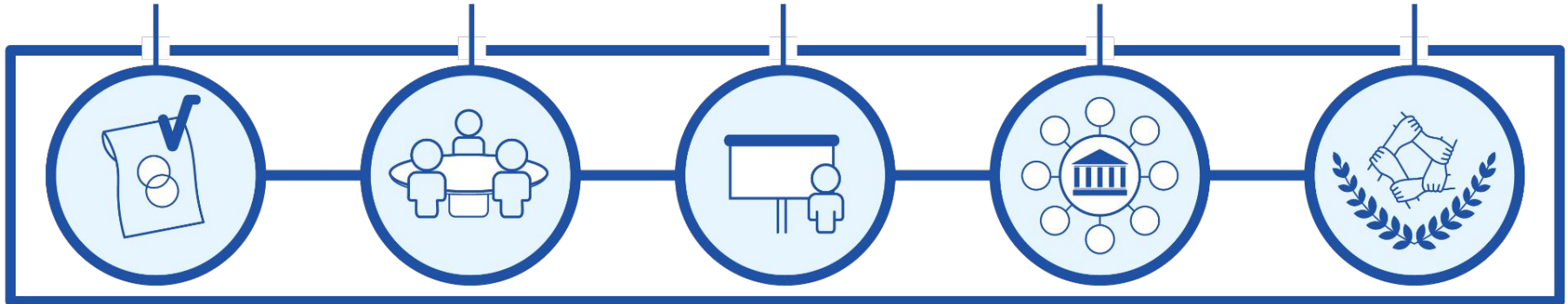
Policy Revisions
& Guidelines

Review Structures
& Supports

Capacity
Building

Centrally
Supported,
Prioritized Initiatives

Technical Support,
Identity Development





Promotion and Tenure Innovation & Entrepreneurship (PTIE):

Introduction

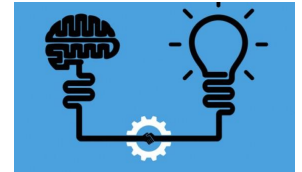
Rich G. Carter

Professor of Chemistry &
Faculty Lead for Innovation Excellence
Oregon State University

PTIE Website: www.ptie.org

What is the Promotion & Tenure Innovation & Entrepreneurship (PTIE) effort all about?

- Created through a grant from the National Science Foundation (CNS-1936073).
- Focuses on the inclusive recognition of innovation and entrepreneurial (I&E) impact by faculty.
- Coalition-based approach involving over 65 institutions.
- The PTIE Coalition generated a detailed set of recommendations that were unanimously approved at the **September 2020** PTIE Virtual Summit.
- This coalition's work has resulted in multiple publications on the topic.
 - **September 2021.** Manuscript entitled “Innovation, entrepreneurship, promotion, and tenure” was published in Science Magazine led by OSU with co-authors from over a dozen different institutions. (DOI: <https://doi.org/10.1126/science.abj2098>)

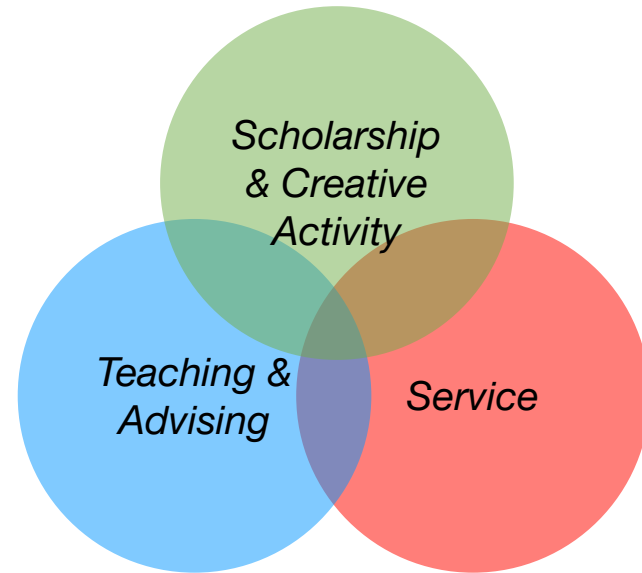


Intent

	What it is not		Intent
✗	This effort does not seek to make I&E a required component for faculty or dilute (or raise) the requirements for advancement.	✓	The intent is to broaden the bar of promotion and tenure to be more inclusive of faculty not fully valued under the current paradigm.
✗	This effort does not seek to reduce or remove the importance of basic research in any way.	✓	The intent is to provide equal representation for other areas of scholarship not currently valued fully in the current paradigm.
✗	This effort is not seeking to make faculty into business people.	✓	The intent is to support faculty who have desire to seek impacts beyond the publication/grant paradigm.
✗	This effort is not supportive of justifying a focus on I&E as a money-making mechanism.	✓	This intent is to be an essential component of realizing the institution's mission to society .

I&E Impact

- I&E-impact can occur in all areas – not just research
- Recommendations should focus on valuing I&E within each all three areas
- Recommendations should embrace a broad interpretation of I&E to ensure that the effort is inclusive across the institution and academic disciplines, including the arts and humanities.



PTIE Overarching Recommendations

URL: <https://ptie.org/>

University-Wide Language directly linking the evaluation of faculty to institutional mission, values & goals in the university P&T guidelines and additional levels at the institution (e.g., college, school, department).

Process Changes for supporting systemic culture change, improving transparency and addressing bias.

I&E Text for Evaluation Criterion to be incorporated into the (a) research (scholarship & creative activity), (b) teaching & advising and (c) service categories found in university P&T guidelines.

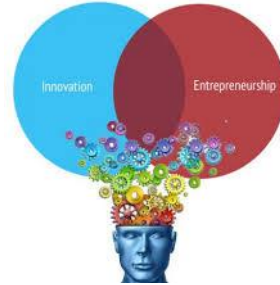
I&E Metrics to serve as indicator data to be used in a narrative thesis of impact. Metrics are grouped into six sub-categories: (a) intellectual property, (b) sponsored research, (c) use & licensing, (d) entity creation, (e) I&E career preparation and (f) I&E engagement.

These core elements are also intended to provide a framework for concurrent efforts to reimagine other areas of scholarship in promotion and advancement.

Supporting the Pursuit of Knowledge



Pursuit of knowledge is a core value of universities.



I&E-informed research should be valued the same as other areas.



This freedom enables discovery.



Current paradigm for I&E **retards** (not protects) the pursuit of knowledge.

Effective Terminology



Societal impact
/ public impact

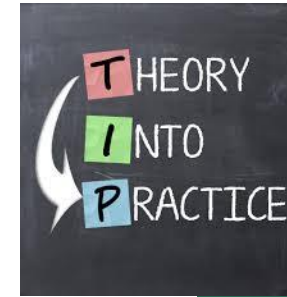


Innovation



Inclusive

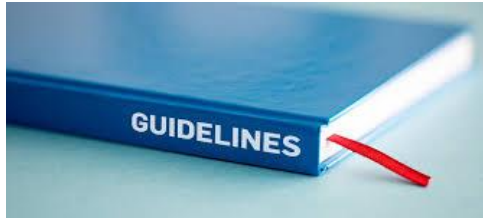
Benefits to Faculty & Students



- Faculty and students more and more seek I&E in their education and career
- Faculty have increased funding opportunities and are more productive when connected to industry
- Students seek translational research experiences with immediate societal need and benefit from nurturing their entrepreneurial spirit

See: Sanberg *et. Al.* PNAS **2014**, (111), 6542-6547.

Creating Culture Change



Changing P&T guidelines
alone will **not** change
university culture



Also address
P&T practices



Align with other efforts
to advance change in
promotion &
advancement

What is Next: PTIE Phase II

A “how-to” PTIE manual for institutions to facilitate adoption.

- Case studies and select pilots for PTIE recommendations at Oregon State University (OSU) and identified partner institutions including: (a) implicit bias training for P&T committees/administrative leaders, (b) development scalable tools for facilitating college/school/department-level recommendations, (c) I&E Training for faculty / researchers, and (d) data collection and study around impact of changes to P&T recommendations.
- Continue to organize and provide a biennial (every two years) national conference.

Always looking to add new members to the Coalition!



Modernizing Scholarship for the Public Good

Elyse L. Aurbach, Ph.D., *APLU Civic Science Fellow & Director, Public Engagement & Research Impacts, University of Michigan*

Kacy Redd, Ph.D., *Associate Vice President, Research and STEM Education, APLU*



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APLU AT-A-GLANCE

ANNUALLY...

APLU's **251** member institutions

LOCATED IN ALL 50 STATES, THE DISTRICT
OF COLUMBIA, 4 U.S. TERRITORIES,
CANADA, AND MEXICO



ENROLL



5 million
undergraduates

AND



1.3 million
graduate students

AWARD



1.3 million
degrees

EMPLOY

1.3 million
faculty and staff



AND CONDUCT



\$49.5 billion
in university-based research

Association of Public and Land-grant Universities

Modernizing Scholarship initiative objectives:

- Explore how different institutional contexts create different opportunities to support engaged- and equity-oriented scholars
- Provide scaffolding, guidance, and tools for university leaders to drive & support institutional change efforts

Modernizing Scholarship
for the Public Good

policy

CES&PE

DEIJ

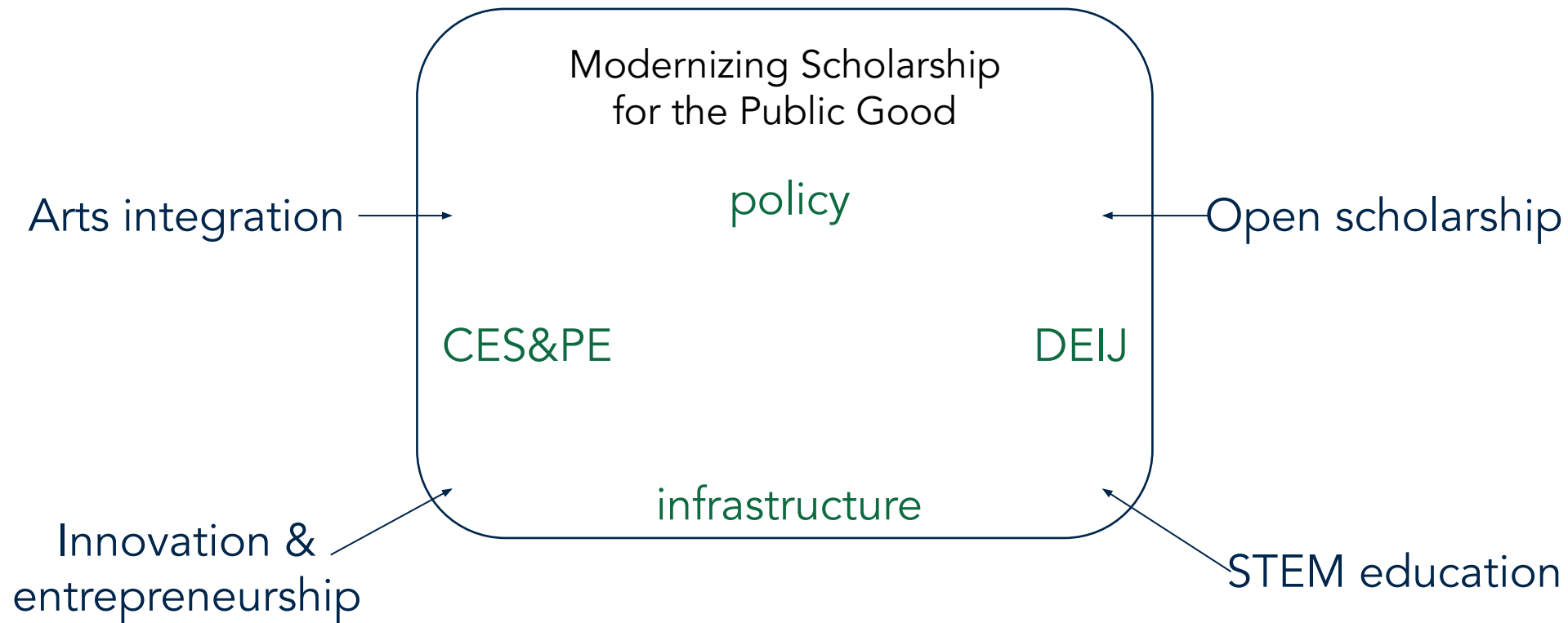
infrastructure

Arts integration →

← Open scholarship

→ Innovation &
entrepreneurship

← STEM education



Project Goals



Synthesize & frame the scholarly literature



Develop case studies of “leading edge” institutions



Create a framework for action



Connect aligned efforts



Taking a systemic approach to intervention

Reform appointment, retention, tenure, & promotion practices

Invest in leadership development and support

Invest in infrastructure (develop new centers; connect decentralized unit structures; human infrastructure)

Build capacity among faculty and students (curricula, fellowships, workshops/training programs)

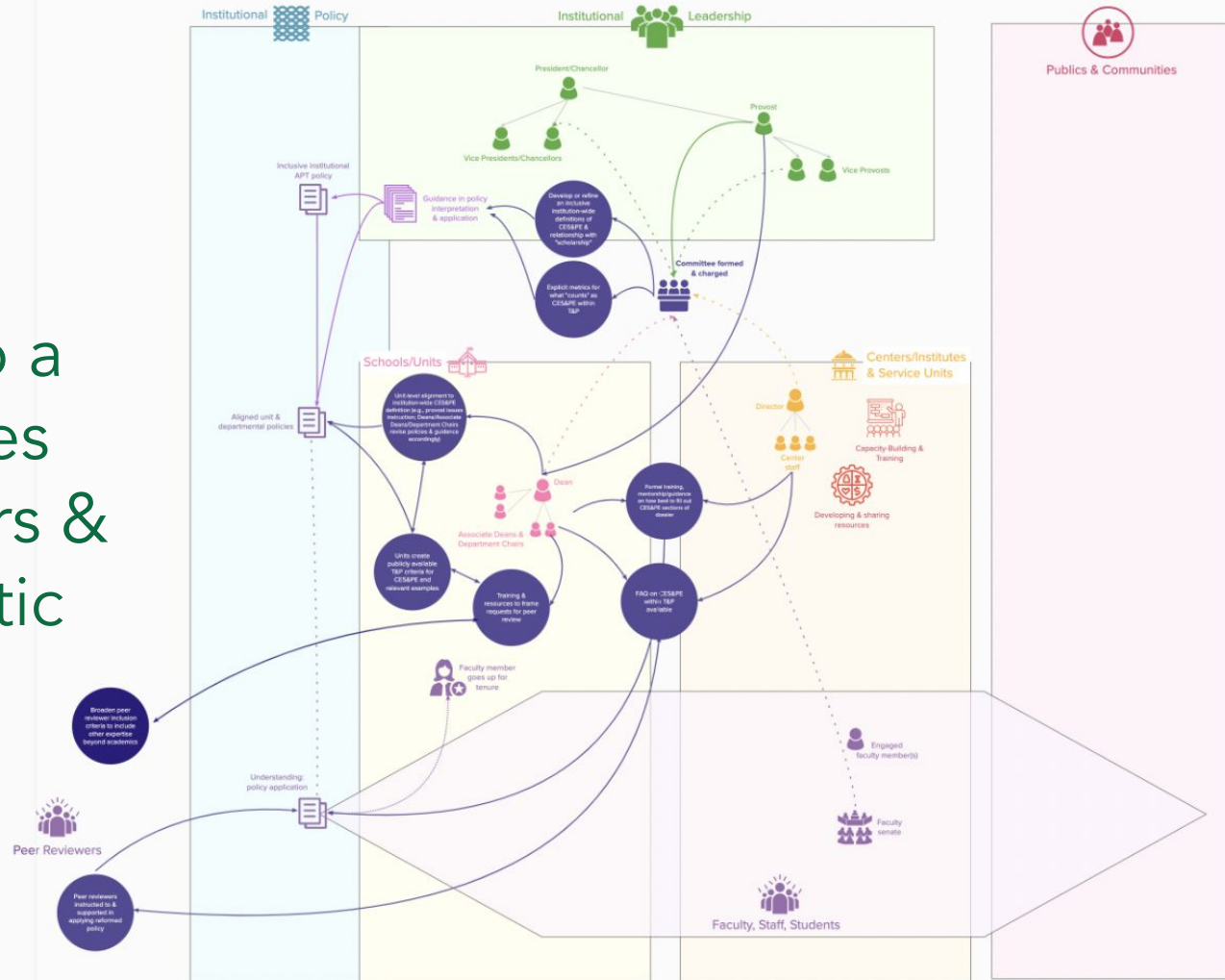
Develop more programs to reward work (awards, fellowships, publication outlets)

Establish stronger accountability/reporting structures at institutional level

Launch & maintain catalytic funding programs

Formalize curricular training & professional development opportunities

Mapping interventions to a system illustrates key stakeholders & highlights holistic strategy.



Examining institutions as case studies & sites of reform:



IUPUI



UNC GREENSBORO



THE UNIVERSITY
OF ARIZONA

UC DAVIS
UNIVERSITY OF CALIFORNIA

UTSA

The University of Texas
at San Antonio™



Mizzou
University of Missouri



Stony Brook
University



University of
Massachusetts
Amherst

(among
others)

“Strategy & Process” Case Studies



THE UNIVERSITY
OF ARIZONA



- Interview-based
- Focus on how reform efforts came to be and were enacted
- Emphasize university contextual factors that drive strategy and outcomes

Illustrative Examples



IUPUI



UNC GREENSBORO

- In institutions' own words
- Describe a particular program or initiative that aligns with the literature review intervention clusters
- Increases institutional diversity & representation



The University of Texas
at San Antonio™



UNIVERSITY OF CALIFORNIA



University of
Massachusetts
Amherst



Mizzou
University of Missouri



Stony Brook
University



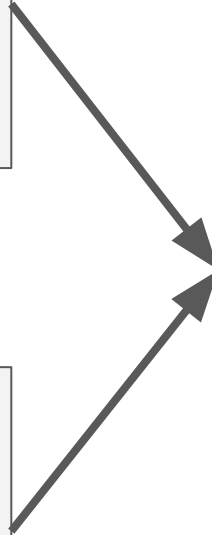
Intervention
Clusters
(lit review)



Case
Studies &
Examples



Action
Framework





Framework for Action: Outline

1. Assess institutional contexts (assets, opportunities)
2. Form initial coalition
3. Determine area(s) for strategic intervention
4. Map stakeholder groups/units for involvement in reform efforts
5. (Potentially) expand coalition and/or engage with stakeholders to identify urgent priorities
6. Enact possible reforms (even if small) & lay groundwork for others
7. Iterate over time; move at the speed of trust



Key Learnings

1. Everything is contextual. Build on strengths, and push with readiness.
2. Vision is key - especially shared vision (which must be built, not delivered).
3. The larger & deeper the scale of change, the longer (or more resources) it takes. Sustained change requires sustained commitment from leadership.
4. Work in coalition. Change moves at the speed of trust and cooperation, which requires opportunities for individualization and dissent.

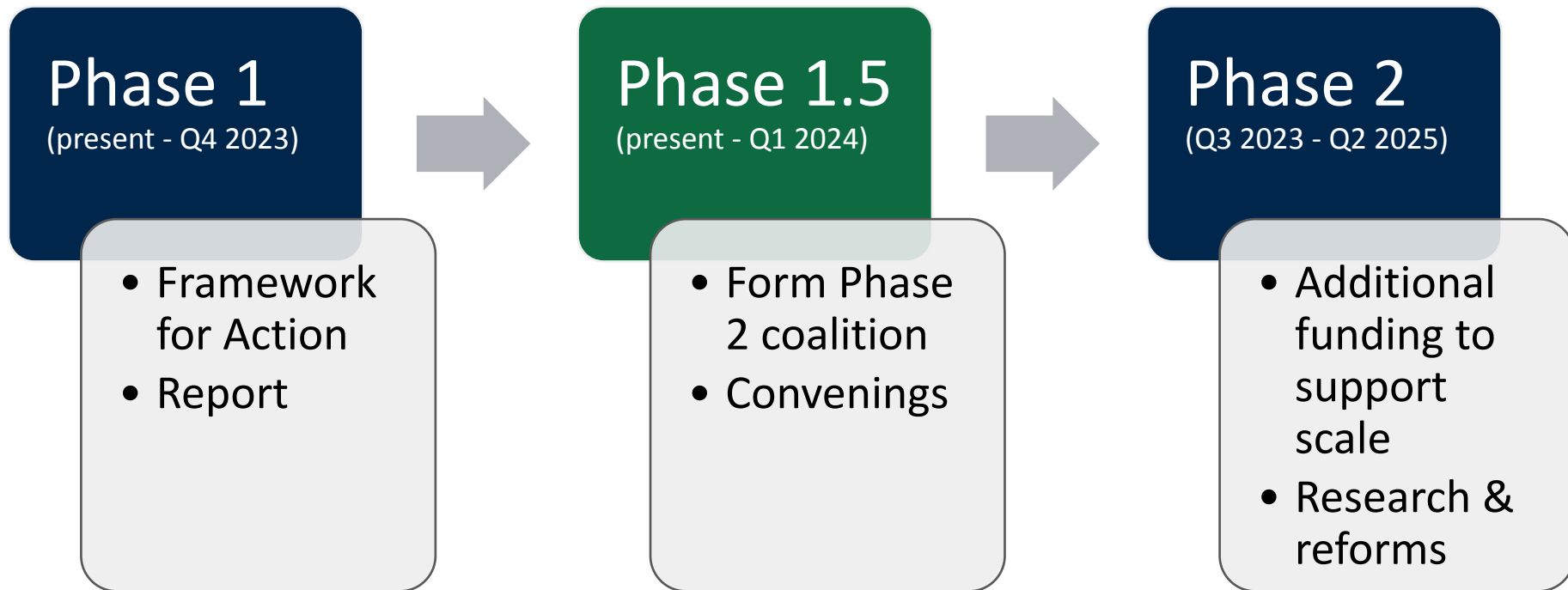


Key Learnings

5. Change requires top-down, bottom-up, and middle-out effort...all at once.
6. Policy, procedure, and practice are different. Culture wins it all.
7. Embrace quick wins & share lessons learned to reinforce long-term strategy.
8. Tie together reporting with resourcing to signal (and reinforce) commitment.
9. Don't underestimate the impact of "unrelated" reforms - "flow like water."

...Everything is more
complicated in
implementation.

Modernizing Scholarship timeline



Other efforts with similar ambitions

- TEFN
- Promotion & Tenure in Innovation and Entrepreneurship (PTIE)
- The Center for Advancing Research Impact in Society (ARIS)
- National Academies of Sciences, Engineering, and Medicine (NASEM)
- NSF INCLUDES Aspire Alliance to diversify the professoriate

Questions? Discussion welcome!

Happy to dig into the details of our current project

and/or

how we see this project fitting into a larger ecosystem
of change efforts.

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- [Modernizing Scholarship for the Public Good Initiative](#)
- [Envisioning and Enacting an Inclusive & Diverse STEM Professoriate toolkit](#)
- [Promotion and Tenure for Innovation and Entrepreneurship \(PTIE\)](#) and Science - Carter et al (2021)
- [NASEM's Promotion, Tenure, and Advancement through the Lens of 2020: The Next Normal](#)
- [NASEM's National Dialogue on Transforming STEM Teaching Evaluation in Higher Education](#)
- [Room for Everyone's Talent](#)
- [APLU's Public Impact Report and Activation Guide](#)

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- TEFN Scan of Promising P&T Practices:
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 - Doris Duke Foundation
 - Berkeley Vice Chancellor of Research Office
 - Schools of Public Health, Social Welfare, and Education

