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ADMINISTRATION THROUGH TRANSFORMATIVE LEARNING: A
QUALITATIVE EXPLORATION OF FACULTY PERCEPTIONS AT THE
UNIVERSITY OF MISSISSIPPI**

Melissa Hodge-Penn

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SOCIALIZATION TO RESEARCH AND SPONSORED PROGRAMS ADMINISTRATION
THROUGH TRANSFORMATIVE LEARNING: A QUALITATIVE EXPLORATION OF
FACULTY PERCEPTIONS AT THE UNIVERSITY OF MISSISSIPPI

Dissertation
Presented for the
Doctor of Education Degree in Higher Education
The University of Mississippi

Melissa A. Hodge-Penn

May 2022

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ABSTRACT

This study examined faculty socialization at the University of Mississippi regarding research and sponsored program administration through the lens of transformative learning. Participants were 10 tenure track faculty who had been employed at the University of Mississippi no less than one year, no more than seven years, and who had submitted a proposal to or been awarded by an external sponsor to support their research. This study uses a phenomenological design of inquiry where the researcher describes the lived experiences of individuals regarding a phenomenon as defined by the participants through semi-structured interviews. Findings suggested that sponsored research faculty perceived that (a) their doctoral education at the University of Mississippi had shaped their values, attitudes, and practices, (b) they were socialized to research through learning by doing, (c) mentorship was an integral part of socialization into research, (d) there were challenges to advancing their research as faculty members, (e) there were facilitators to advancing their research as faculty members and (f) the education and professional backgrounds of the research faculty had influenced their decision to join doctoral research. Findings are discussed in terms of themes contextualizing the socialization of faculty through a transformative learning lens.

DEDICATION

This dissertation is dedicated to my parents Nathaniel and Brenda for your unwavering love and encouragement, to my husband Derex for being a constant cheerleader, for sacrificing and gifting time so that I could commit to accomplishing this lifelong goal, and to my daughter Dilyn who has taught me unconditional love and is my why.

LIST OF ABBREVIATIONS

Carnegie Classification for Very High Research	R1
Carnegie Project on the Educational Doctorate	CPED
Established Program to Stimulate Competitive Research	EPSCoR
Federal Demonstration Partnership	FDP
Mississippi Public Universities Institutions of Higher Learning	IHL
National Institutes of Health	NIH
National Science Foundation	NSF
Office of Research and Sponsored Programs	ORSP
Principal Investigator/Project Director	PI/PD
Research Administrator	RA
Research and Development	R&D
Sponsored Programs Administration	SPA
Sponsored Research	SR

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To the UM faculty who participated in my study, I am appreciative of your willingness to share your experiences. Without you, this project could not have been achieved.

I am also thankful for the support of my colleagues and the Vice Chancellor for Research in the Office of Research and Sponsored Programs who supported me throughout this endeavor.

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MANUSCRIPT 1

INTRODUCTION

"America is driven by innovation," according to the National Research Council (2012). This innovation — "advances in ideas, products, and processes that create new industries and jobs, contribute to our nation's health and security, and support a high standard of living (pg. 1)". In the past half-century, innovation itself has increased due to more educated people and the knowledge they produce (Austin, 2002). To this, universities serve as our nation's primary source of new knowledge and graduates with advanced skills. To do such, researching within the university proves not just to be a need but an imperative. Evidenced by the discovery and dissemination of new knowledge, the public university can fill the need by annually conducting over \$44 billion of research (66 percent of all university-based research ((NSF, 2014).

Around the world, public research universities, supported by public funds, advance discoveries for the public good. These universities have a responsibility to their communities and undertake community engagement efforts that cross all social areas. A benefit of this engagement is that students, faculty, and staff partner with civic organizations, businesses, and governments to address their communities' most pressing challenges. For universities in the US to effectively meet the needs of society and be the leaders of innovation, institutions must prepare future scholars who "understand what is known and discover what is yet unknown" (Shulman, 2008, pg. ix).

The preparation of new faculty for their roles and responsibilities can be a challenge within the research university. With inadequate formal preparation, new faculty may flounder because of workplace stressors and may face issues such as role overload and burnout (Anderson

& Anderson, 2012). This research study examines the perceptions of faculty at the University of Mississippi and their socialization experiences to research and sponsored program administration through the lens of transformative learning. The study aims to advance the knowledge of how academic faculty are socialized to their roles in higher education and the processes that facilitate the successful transition of these faculty members into their institution and careers as sponsored researchers.

Academic faculty represent many university disciplines and may have a specific research interest but may not receive extensive training in andragogy (Dewald & Walsh, 2009).

Andragogy refers to how adults learn and is used within the transformative learning literature, whereas pedagogy refers to how children learn (Knowles, 1998). Therefore, the focus of the faculty member as an adult learner is central throughout this research study. Organizational socialization is an intentional, planned procedure that is not necessarily formal. Indeed, there may be spontaneous interactions in various settings, mainly through mentorship (Pitney, 2012). Mentoring is necessary to help new faculty effectively transition into their role as researchers (Pitney, 2012), and the culture of the institution is critical to the socialization of faculty.

Therefore, each may effectively assist new faculty to learn new roles as educators, an often-unfamiliar position due to insufficient training during their doctoral studies (Dewald & Walsh, 2009; Pitney, 2012). To be successful in the research enterprise, faculty require skill sets not previously learned in their formal preparation for faculty positions (Payne & Berry, 2014).

Although the faculty members usually have research experience, they may lack full awareness of the complexity of their roles that extend beyond scholarship, such as teaching effectiveness, service within the academic community, and their duties related to the administration of research and sponsored programs.

KNOWLEDGE OF SPONSORED PROGRAMS

Public Research Funding

Research funding is a term used to signify any internal or external funding to an institution for scientific research. When reference is made of research funding, the term intimates that a competitive process is administered to select and underwrite an applicant's proposed research project. These support funds originate from multiple sources to include grants, contracts (fixed/cost-reimbursement), cooperative agreements, or sub-awards (Demers, 2019). The selection process enforces an evaluative review of the proposed projects and ostensibly, the most promising receive funding to conduct the research. The majority of research funding stems from two significant sources. Those sources are corporations, through their research and development units, along with the government sources directed to universities and specialized government agencies. However, a smaller amount of scientific research receives funds from charitable foundations. Of all research funding to support basic, applied research, and development, the United States (US) research and development (R&D) expenditures in 2018 were about \$580 billion for R&D (Congressional Research Services (CRS), 2020). Of total national expenditures, 3.6% were dedicated to universities and colleges whose spending totals in 2018 were \$21.1 billion (CRS, Table 1).

In order to garner support for research endeavors, scientists often seek external funding through grant applications. However, proposals are not guaranteed by granting agencies. The application for grants requires an often complicated yet time consuming process. Sponsors want

to know if the researcher has the necessary experience and time, has the available facilities to conduct the research, has access to equipment required, and has any preliminary work detailing science outcomes. According to Eisenberg (1988), grant writing and grant proposing are a delicate process for both the grantor and the grantee. The grantor wants research that fits the fundamentals of their scientific interests, and the grantees want to build a body of work towards future scientific endeavors (Bieber & Blackburn, 1993). Within universities, the institutional service unit known as the research administration office is available to facilitate the relationship and interaction between the researcher and the granting agency. The staff in this unit provide administrative assistance to faculty, academic units, other institutions, and sponsors. The central office for research administration is widely recognized as the Sponsored Programs office at colleges and universities.

Sponsored and External Funds

According to Bieber & Blackburn (1993), research is to inform action, test a theory, and contribute to developing knowledge in a field of study. Universities committed to research as a critical part of their mission often have faculty, staff, and students engaged in activity supported by sponsored and external grant funds. Sponsored funded research at a university is more often research occurring through public dollars, where the funding is proposal-driven and competitive. The institution is the grantee, and the research taking place is mainly foundational or strategic and may not be concerned with commercial outcomes, and universities own the results of intellectual property. This research is vital concerning innovation, economic growth, student experiences, faculty promotion, institutional recognition, and partnership development. Thus, the benefits of sponsored research can have a broader impact in terms of its global reach.

The University of Mississippi is among the 146 institutions designated as very high research universities on the Carnegie Classification of Institutions of Higher Education (Indiana University Center for Postsecondary Research, n.d.).

All have established a regulatory entity shepherding proposal development, submission, and award management. Though there are different names to acknowledge its purpose at other universities, the office providing this support at the University of Mississippi (UM) is the Office of Research and Sponsored Programs' (ORSP). This unit was established to complement the university's research mission and oversee the administration of grant-funded projects (The University of Mississippi - Office of Research and Sponsored Programs, 2020). Faculty who utilize the services of ORSP are actively seeking or have been awarded sponsored funding. This engagement manages externally-funded - organized research, sponsored instruction (education/training), service, and other sponsored activity (travel grants, institutionalized programming). By way of this office and its assistance, faculty and staff can identify funding opportunities, submit proposals to sponsor agencies, accept funding from the sponsoring agency, and manage the funding for projects. The federal government, state government, foundations and, private industry provide funds to grantees to finance organized research, sponsored instruction, and public service.

Research funded by the government can be carried out in two ways. The government can conduct the research itself or through grants to researchers outside of the government. "States and the federal government have long provided substantial financial assistance for higher education with most research funding going to public institutions" (Pew's analysis of data from the US Department of Education, 2020). However, in recent years, their respective contribution levels have shifted significantly (Thelin, 2017). In past years, states provided a more significant

share of aid (approximately \$10.2 billion) to postsecondary institutions and students than did the federal government (Pew's analysis of data from the US Department of Education, 2020).

During the 21st century and particularly after the Great Recession of 2008, spending across government levels converged. Since 2008, federal agencies with intention began to adopt similar procedures for broad funding distribution as state investments declined. To this, research funding in the form of grants, contracts, and cooperative agreements at \$26.5 billion from federal agencies are the most significant funding source supporting science and engineering research in U.S. higher education institutions (Pew's analysis of data from the US Department of Education, 2020).

Though scientists utilized and significantly benefited from state appropriations in the past; these appropriations were relatively non-competitive. Now, this practice has shifted. To conduct, sustain, and grow sponsored research at the university, faculty seek competitive funding from multiple and diverse entities, including those from the federal government, non-profit foundations, and industry (Kostoff, 1996). However, seeking out funding announcements, writing, and submitting proposals, and managing project awards by faculty who also have additional responsibilities and requirements is challenging.

At the most competitive research institutions of higher education, the faculty are expected to be research-active according to standards for excellence in different disciplines (Boyd & Smith, 2016). Among the requirements, faculty are to engage in original research and contribute new knowledge and expertise by communicating their scholarship through peer-reviewed publication in highly-respected journals and the most distinguished scholarly presses (Rawn and Fox, 2018). The point is not just to engage in scholarship or to publish it, but to have a demonstrable impact on other scholars' research, the knowledge base of society, and scientific,

cultural, or artistic lines of inquiry innovation. Thus, according to Kelly (2008), faculty roles are defined by “a combination of institutional culture and discipline standards, and achieving the right balance among teaching, scholarship, and service.”

Grants are a critical element to fulfilling the higher education mission. Higher education grants benefit the entire university as investments in institutional “infrastructure improvements, investments in classroom learning, improvements to curriculum, student support, and faculty support” (Callahan, 2020). In addition to scholarships and fellowships related to the arts, grants are the leading funds supporting sponsored programs to include research and development. Throughout this paper, all references to grants will be in the context of research and sponsored programs. When referencing persons seeking grants to support research, public service, instruction, or other scholarly activities within the university, this paper refers to faculty and staff as a principal investigator (PI) or project director (PD). The PI/PD works collaboratively with sponsored programs research administrators at the university to submit proposals and manage awards, and, as indicated earlier, the institution is the grantee.

Carnegie Research Classification

Since 1970, the Carnegie Commission on Higher Education (2020) has classified colleges and universities and publishes a framework widely used to control institutional differences and represent diverse research activity portfolios. Among the three doctoral university classifications provided, 146 US universities are referenced as Research 1 (R1), meaning the institution is a doctoral university with very high research activity and has a comprehensive research doctoral program (Indiana University Center for Postsecondary Research, n.d.). To be included in this classification, institutions awarded at least 20 research/scholarship doctoral degrees and also

institutions with below 20 research/scholarship doctoral degrees that awarded at least 30 professional practice doctoral degrees with at least \$5 million in total research expenditures (as reported through the National Science Foundation (NSF) Higher Education Research & Development Survey (HERD)).

Today, the University of Mississippi (UM) has been recognized among the country's top-tier research universities and is recognized by the Carnegie Classification of Institutions of Higher Education for very high research activity. UM first received this classification in 2015 (University of Mississippi, 2018). The university, made up of multiple locations, includes the two main campuses conducting research: the Oxford campus and the Medical Center in Jackson. Though both contribute to the total research awards and expenditures for the R1 classification, this project will be delimited to faculty employed by the Oxford campus.

UM Oxford Research and Sponsored Programs

Noted on the Office of Research and Sponsored Programs website at the University's Oxford campus, ORSP "serves faculty and staff who are pursuing research or other sponsored projects funded by federal, state, or private agencies and organizations." Though not exhaustive of all ORSP units, the following core divisions employ approximately 25 staff members (estimated based on the ORSP contact page) to assist with and manage all sponsored projects to the university for the Oxford Campus. Those core divisions are Research Development, Sponsored Programs Administration, Research Integrity and Compliance, and Office of Technology Commercialization. Of the assistance provided in 2018, more than 250 faculty and staff were successful in obtaining \$71,106,667 for 314 awards (IHL Research Catalog - UM Oxford Campus, 2018).

Administrative Burden

Faculty Burden

A May 2019 Congressional Research Service report says the federal government will award approximately \$750 billion in grants in fiscal year (FY) 2019. Of those grant dollars, a significant and growing part goes to administrative oversight and compliance. The oversight and compliance required to propose and manage grant funding can be laborious and seen as a burden, particularly among faculty. Faculty have teaching loads and other responsibilities that present as conflicting priorities, and they sometimes find it challenging to manage the requirements of grant projects and funding independently. The central elements key to obtaining and managing grants place additional demands on a PI, and they include having a business and financial acumen and have a keen awareness of policies and procedures. The awareness of policies and procedures encompasses the funding source, the state, and institutional policies.

The Federal Demonstration Partnership asserts that faculty have many responsibilities to manage. Among them, funding, time-release, academic freedom, intellectual property, and faculty mobility are specific areas viewed to impact faculty's administrative burden. For example, Jones, Warnick, and Palmer (2016) asserted that many institutions do not adequately address the need for "release time," reduced teaching loads, or other compensations for scholars carrying heavy responsibilities for research. According to Reed (2015), "course release is a "symptom of the pathologies of the research universities." To this, it is counter-productive to establish standards without adequate professional development and time for teaching, research, and service of faculty.

Non-academic forces also threaten researchers because their academic freedom is being regulated (American Association of University Professors, 2020). In terms of intellectual

property, depriving academic researchers of their intellectual property rights leads to disputes that negatively affect the tenure process for pre-tenured faculty (Naidoo, 2005). Lastly, academic research is affected due to Federal and State bans on travel to other countries (Gerwin, 2020). Because of this, public higher education institutions cannot expend any public funds for travel or other research-related activities or with researchers in those restricted countries. These disruptions in research can have significant and devastating consequences. Also, terms imposed by international agreements may promote research commercialization and impede the free exchange of ideas and inquiry. If the PI does not possess this knowledge due to the lack of preparation for their research role, they may be discouraged from seeking sponsored funding without adequate administrative support, mentoring, or faculty socialization/development concerning research and sponsored programs.

Sponsored Administrator Burden

Sponsored Programs Administrators also absorb much of the administrative burden of research and sponsored programs while managing the institutional grants portfolio. According to the Annual Grants Management Survey, conducted by REI Systems, the National Grants Management Association, and George Washington University, grant administrators spend more time monitoring compliance than anything else (2021). Primary roadblocks observed included inconsistency in standards across federal and state agencies, prohibitive grant management software costs to streamline grant activity, everchanging policy and procedures, and ill-prepared faculty who serve as PIs for sponsored research. Grant administrators commit to accountability. These individuals support PIs in proposal development and award management while knowing administrative guidelines and expectations to be adhered to by the grantee. Though they may not

have in-depth knowledge of the programmatic or scientific merits of the PIs sponsored project, the grant administrator must address all aspects of compliance with the PI, the university, and the sponsoring agency. Moreover, the sponsored administrator faces perceived challenges to academic research. These challenges are related to insufficient mentoring of faculty, funding availability, start-up funding for research within institutions, academic freedom of faculty, intellectual property rights, travel/faculty mobility, and limited administrative staffing.

Research and Sponsored Programs Socialization at UM Oxford

Socialization loosely defined is a process through which individuals become a part of (Austin, 2002) and identify with a group, organization, or community. Most learning and socialization influences occur during the career-entry and early-career stages (Baldwin, 1990). It is during this time that new faculty establish themselves within the profession and develop characteristics that align to institutional goals. To aid in this, institutions of higher education have embedded supports and services to assist faculty as they transition from their graduate experience into their faculty experience.

The University of Mississippi, Oxford campus offers a variety of services to faculty members. The intent of the services is to help socialize new members with access to institutional resources, instructional techniques, and technology. Surprisingly, these offerings are not dedicated to introducing all faculty to institutional policies, procedures, and expectations relevant to research production and externally-funded research administration. Though limited information is available, the university has established the Grant Mentorship Incentive Program which coordinates with the ORSP Research Development Fellows in consultation with the Associate Deans for Research (UM Office of Research and Sponsored Programs, n.d.). This

initiative is implemented “with the approval of faculty supervisors.” Faculty/staff serve as mentors to assist others with the development of proposals for external support. Mentors must have served as principal investigators on one or more competitively sponsored awarded projects in the previous five years.

Program mentors receive compensation of up to \$500 per proposal submission, payable as extra Pay for Extra Work by the Department or Dean (as pre-approved). For a Qualifying Funded Award, ORSP will provide an Incentive Award of up to \$500 as Supplemental Compensation to the Mentor (or up to \$250 for partial F&A generating awards). After the proposal but before any resulting award begins, the proposer will submit an assessment of the mentorship to ORSP. This data aims to improve the program and match new proposers with the most appropriate mentors. Beyond the Grant Mentorship Incentive Program, there are no additional formal mentoring initiatives offered to support the socialization of faculty into their roles as sponsored research investigators.

PROBLEM OF PRACTICE

To think of the knowledge faculty must have at a research-active university regarding the many aspects of research and sponsored programs is the impetus of this author's problem of practice. Through socialization, an individual learns and takes on the knowledge, values, attitudes, and expectations of a group within an organization (Staton & Darling, 1989). By this process, one ultimately develops a professional identity that includes the group's attributes (Merton, Reader, & Kendall, 1957). Though having these attributes, one may lack complete knowledge and understanding of research and sponsored programs administration and the requirements of being a successful sponsored researcher. The lack of knowledge may cause

faculty members to become frustrated when seeking grants to support their research. Additionally, the faculty member may find themselves unsuccessful in being awarded or managing a sponsored award. If unsuccessful, this may cause faculty to give up and perceive seeking sponsored funding as not worth their effort. To support future researchers with these responsibilities, understanding the existing socialization of faculty and the process by which their learning takes place is valuable.

This study examined faculty socialization at the University of Mississippi, a public R1 university regarding research and sponsored program administration through the lens of transformative learning. This research study's primary focus is to understand better how faculty members prepare for, are socialized into, and eventually succeed in obtaining and administering sponsored research. The information obtained through this study may lead to best practices to enhance research services that will improve the efficacy of graduate programs and strengthen the development of future faculty members and those educators already active in faculty roles, particularly early/junior faculty navigating the tenure process. These findings would be especially significant for optimizing faculty research productivity at a research university where few research socialization activities/programs are present or promoted by the institution. Thus, increasing the research productivity of faculty would, in turn, promote research opportunities availed to students.

Referenced in the UM 2019 – 2020 Faculty Handbook and documented within the Faculty Titles and Ranks policy; tenured and tenured track professors along with research faculty have explicit research responsibilities. Those with sponsored research commitments have unique needs that bring about additional responsibilities that are to be navigated and managed compared with faculty who are not. Thus, it is important to understand the socialization process of faculty

who pursue and have external sponsored awards for their project, program, or research. Such an understanding applies not only to the University of Mississippi faculty but also to other universities. Knowledge gained provides better insight into early career faculty's needs as they transition from graduate school into higher education, while it may also offer potential recommendations to better prepare future faculty (Mazerolle et al., 2015).

CARNEGIE PROJECT ON THE EDUCATIONAL DOCTORATE

According to the Carnegie Classification System (2020), the University of Mississippi is a large public research university. It is a four-year, primarily residential institution with very high research activity. The institution's enrollment profile depicts a majority of undergraduate students. As for the institution's graduate profile, the university awards doctorates in the accountancy, applied and social sciences, humanities, business administration, education, sciences (including those with applications in medicine and pharmacy), technology, engineering, and mathematics (STEM) fields (University of Mississippi, 2020).

The Doctor of Education program in Higher Education at the University of Mississippi is affiliated with the Carnegie Project on the Educational Doctorate (CPED). The CPED programs invite practitioners to address complex problems of practice, which advance equity, social justice, and ethics (Carnegie Project on the Educational Doctorate, 2020). Increasing the productivity of faculty and staff in research and sponsored program attainment at the University of Mississippi is one facet that aligns with the CPED principles of social justice, equity, and ethics (Carnegie Project on the Educational Doctorate, 2020). Of greater merit, the increased socialization of scientists and students to sponsored research, especially when those scientists and students represent diverse backgrounds and life experiences to include under-represented

minorities in science, technology, engineering, and mathematics (STEM), bring different perspectives and inventiveness to address complex problems. In-turn, there is a fostering scientific innovation, which contributes to robust learning environments, and facilitates overall improvements to the quality of research for the public good (NIH, 2019).

Preparation of faculty and staff through socialization directly speaks to the mentoring and advising design concept of the CPED principles in that socialization as an element of mentoring is guided by “equity and justice that fosters responsive mentoring regardless of age, ability, ethnicity, culture, race, religion, gender, or identify” (Carnegie Project on the Educational Doctorate, 2020). An individual's socialization does not end with the completion of graduate school. To be hired as faculty does not constitute that one is an engaged member of a university community. Thus, institutions have a responsibility to ensure the efficient and effective integration of new faculty. The higher education community cannot afford to lose new faculty as a result of poor socialization. Higher educational institutions must apply effective hiring and socialization practices as essential components to onboarding (Austin, 2002). High-quality socialization practices increase faculty retention (Johnson, 2001). When new faculty members arrive having completed graduate school without a full understanding of their faculty roles and responsibilities, the hiring institutions must support the new faculty in their development. In addition, each institution has a unique culture to which new faculty must acclimate, making support necessary even in cases where faculty had strong socialization to faculty roles during their graduate studies.

The new life of the faculty brings many challenges. There is a conflict between the desire to do the necessary research, which can take significant time, and the desire to quickly get an adequate number of publications. These stresses can hinder faculty productivity, increase faculty

turnover, and cause other negative consequences. Adequate socialization may alleviate some problems by helping new faculty cope with and manage competing interests and decrease disillusionment. Gaining a more in-depth knowledge of the institution, its people, and the individual's role may help resolve tensions or create a sense of satisfaction.

Bogler and Kremer-Hayon (1999) found that disillusionment is a significant problem among new faculty. According to Bogler and Kremer-Hayon, part of the socialization process in higher education helps early career faculty approach their role as a scholar-teacher to have a more practical emphasis on research. However, graduate students' preparation does not always meet this expectation. New faculty require socialization to learn what the expectations are and how to meet those expectations. Unfortunately, some schools do not make a concerted effort to socialize new faculty, and new faculty tensions increase during the pre-tenure years. Whereas one-third of the first-year faculty considered their jobs "very stressful," nearly three-quarters of fifth-year professors thought so (Sorcinelli, 1994). According to Sorcinelli, factors affecting faculty stress include high research expectations, low or undeveloped relationships with colleagues, lack of communication from supervisors, and problems balancing their professional and personal lives.

In addition to equity and social justice, CPED programs also ask scholar-practitioners to consider their work, research, and practice ethics. This researcher's role as Assistant Vice Chancellor of Research and Sponsored Programs at the University of Mississippi grants a perceived influence over a diverse faculty and staff group. Thus, the author's goal is to learn from this research how faculty perceive their socialization to research and sponsored programs. Ultimately, this author wants to use the learning from this research to improve programmatic

offerings to faculty and staff that are equitable, accessible, and affords each the highest possibility for success in their research and sponsored program endeavors.

PROFESSIONAL POSITIONALITY AND ASSUMPTIONS

As a scholar who is represented as a workplace professional and doctoral student, I recognize that who I am has shaped the problem I chose and how I think about it. I must shift perspectives and negotiate the identities of being a workplace professional, doctoral learner, scholar, and independent researcher with dual roles. When accomplished, this research will prepare me for continued practice-based research within the discipline that, in turn, may also expand my views and solutions to post-doc workplace problems. To this, the context of my positionality is based upon my professional background in higher education, as a staff member, as a research administrator, and as a staff member in executive leadership. Additionally, my positionality is shaped by my experience working at research universities at the school level and within the central Office of Research and Sponsored Programs.

Tierney (2011) stated, "as decision-making contexts grow more obscure, costs increase, and resources become more difficult to allocate, leaders in higher education can benefit from understanding their institutions as cultural entities." Thus, higher education leaders must implement decisions that speak to the needs of their constituents. To do such is to consider how to minimize the negative impacts of short-sited decisions and to minimize the consequences of such. However, understanding the culture is not a "panacea to all administrative problems" (Tierney, 2011).

The administrative burden of research and sponsored programs is vital to me as a research administrator seeking to enhance and streamline the proposal submission and grants

management experience of faculty engaged in research and sponsored programs. Though I do not serve in a faculty capacity or as a principal investigator (PI), I recognize the socialization faculty receive to support their research. Sponsored program engagement directly impacts their success, and the resources to support faculty are never adequate. To this, a faculty's approach, expectations, and personal challenges faced are shaped as a result of their socialization.

Tierney (2011, p. 338) suggested, "by advocating a broad perspective, and organizational culture encourages practitioners to:

- Consider real or potential conflicts not in isolation but on the broad canvas of organizational life;
- Recognize structural or operational contradictions that suggest tensions in the organization;
- Implement and evaluate everyday decisions with a keen awareness of their role in and influence upon organizational culture;
- Understand the symbolic dimensions of ostensibly instrumental decisions and actions; and
- Consider why different groups in the organization hold varying perceptions about institutional performance.”

As a veteran research administrator having experience working at a state-level granting agency, three research universities, and a community college, I have witnessed the level of exasperation faculty experience concerning the multifaceted nature of research and sponsored programs. To this, I believe I am poised to provide a level of advocacy in this regard. Due to faculty having limited to no knowledge or training of sponsored programs and because they do not have ample support from mentoring to prepare them for the requirements to submit and

manage sponsored projects, faculty become discouraged. Though these barriers exist, more often than not, I have found that beyond these needs within higher education and, more specifically, research universities, faculty applying for and managing grants are not adequately socialized. The result of this frustration often manifests as poorly written proposals and non-compliance to award terms and conditions. When submissions are non-compliant, proposals are returned unfunded. Regrettably, when faculty are unfunded, and there is an expectation by their institution to be active in externally-funded research, they face challenges that impact their career and prohibit them from gaining tenure status.

Commitment to research and sponsored programs by the faculty member requires them to have a broad knowledge of the research discipline, the sponsoring agency's priorities, factors related to compliance risk, business acumen, and be astute in human and financial management. According to Golde's (2004) research findings, some subscribe to doctoral education only as preparing researchers and scholars, not for skill-based career preparation. Considering that research faculty bear a great deal of responsibility when managing the administrative tasks and functions of sponsored research, they must possess the necessary knowledge and skills to do such. When faculty lack these skills, the assumption is that they have been ill-prepared by way of their graduate studies or by way of early career experiences.

As a career research administrator and having a position within the university working in the Office of Research and Sponsored Programs, I believe there is an opportunity to understand better the socialization experiences and needs of faculty who apply for sponsored funds to support their research endeavors. This research facilitated an understanding of faculty perceptions of their socialization and the learning that took place during their graduate studies and, more specifically, during their early career experience. This research offers insight that can

be used to enhance institutional curricula for graduate students while also enriching the professional development of faculty regarding their career in higher education with research and sponsored program activity.

FRAMEWORKS

Understanding faculty socialization as a process, the process is representative of a culture as described by Schein (2004);

[culture is] a pattern of basic assumptions – invented, discovered, or developed by a given group as it learns to cope with its problems of external adaptation and internal integration – that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think and feel in relation to those problems. (p. 17)

in the context of the current demands in higher education. This paper examines faculty socialization at the University of Mississippi, a public R1 university regarding research and sponsored program administration through the lens of transformative learning. There are two frameworks used in this study. The first serves as the foundation for the study and is the professional socialization conceptual framework by Miller (2010), which is an adaptation of Weidman's (2006) socialization of students in higher education. Miller presents professional socialization as a series of three stages: pre-socialization, formal socialization, and practice after formal socialization. The second framework is a theoretical framework. The theoretical framework is the transformative learning model by Nerstrom (2014) loosely based on Mezirow's (1978) phases of transformative learning. Nerstrom's model reduces Mezirow's ten-phase process to four segments. Those segments are experience, assumption, challenge perception, and transformative learning.

Several challenges are facing higher education and American institutions. Among them are decreased enrollments of domestic and international students, student debt, declining state

funding, low completion rates, and industry concerns in terms of preparation and career readiness. Coupled with these concerns, 2020 brought about a new group of challenges due to the COVID-19 global pandemic. In response to these concerns, institutions are faced with both immediate and long-term barriers to address access, affordability, accountability, and attrition. For this purpose, it is difficult to frame learning perspectives without recognizing the significant yet ultimate impact to the individual student and their learning. Thus, these theories are provided in the context and consideration of faculty engaged in research and sponsored programs and the learning of their students who will pursue careers in higher education as faculty.

Several scholars contend that a mismatch exists between faculty expectations and current doctoral training in American graduate education (Prewitt, 2006). One area where there is a mismatch is in the research training of doctoral students. Some scholars claim that faculty members are training doctoral students to be researchers like themselves (Damrosch, 2006). Faculty are socialized to their roles through processes and activities that occur explicitly and implicitly. Explicit activities take place with intention and provide unambiguous details through literature and scientific methods. Adversely, socialization through implicit activity happens to one by them being in the environment (Bilbao, Lucido, Iringan, & Javier, 2008) and essentially working within laboratories, co-authoring papers, and the level of involvement in the administrative task required for proposing and managing externally-funded research and sponsored programs. To comprehend the application of the professional socialization and transformative learning theoretical frameworks and their implications for the faculty member's research and sponsored program engagement, implicit actions must be understood. Acknowledging that “socialization occurs as a function of the structure of the institution, of process change, and is contingent upon the relationships established” (Miller, 2013), by

understanding the socialization faculty have experienced, one may be able to make meaning of the transformative learning that happens for a faculty member to be successful.

Conceptual Framework

Professional Socialization Framework

Faculty professional socialization begins while individuals are graduate students (Weidman, 2006) and occurs as one establishes relationships and their ability to fit into the organizations' culture through general socialization (Tierney & Bensimon, 1996). When one decides to commit to their profession, and the socialization received is optimal, the faculty member experiences job satisfaction and embraces citizenship within the organization (Weidman, 2006). Once the commitment is made, the learner will develop specific attitudes and take targeted action within the profession (Tierney & Rhoads, 1993, p. 23). As a result, the learner's identity will grow when they have had professional socialization (MacLellan, Lordly & Gingras, 2011). To this, to have an opportunity for effective professional practice, professional socialization has to take place first (Perry and Weidman, 2006).

This exploration is based on the framework of Miller (2010) and, in effect, inquires about faculty member's perceptions regarding their ongoing and current experiences. Miller's framework is an adaptation of Weidman's original framework designed to address student socialization. Weidman's (2006) framework deals with socialization as a three-stage process; inputs, environment, and outcomes (I-E-O). Miller's adapted theoretical model incorporates aspects of symbolic interactionism and structural functionalism, suggesting that socialization results from both intended and unintended influences and that role modeling and critical self-

reflection may play critical roles. The framework organizes professional socialization as a process of ongoing change.

Understanding the perceptions of faculty and their experiences defined as socialization is a goal of this research. The perceptions identified are based on their professional preparation and any personal or institutional occurrences. The use of the professional/organizational socialization framework is fundamental to comprehend faculty socialization for this study and is distinguished for the second framework to build. The study examined faculty perceptions regarding professional/organizational socialization to research and sponsored programs in three stages. The stages are pre-socialization/anticipatory (during the collegiate study), formal organizational socialization (during the early years as a faculty member), and practice after formal socialization (Miller, 2010). As displayed in Figure 1, Miller's framework serves as a basis for identifying perceptions of research and sponsored program socialization experiences through the variables provided within each phase.

The use of the professional/organizational framework for this study looks at socialization as a preparation process supporting faculty members engaged in research and sponsored programs and their experiences. Professional socialization is seen as the outcome of choice within the work environment. However, there exist authors who address the harmful effects of socialization. Benner, Sutphen, Leonard and Day (2010) provide formation as a term to define the aspects within the workplace that are positive and share that socialization can apply positive or negative influence. Professional socialization is a valuable learning outcome for students who become faculty and faculty involved in research and sponsored programming.

First, the anticipatory phase refers to previous interactions and educational preparation, which mainly reflects graduate experiences. The second phase, environment, refers mainly to

interactions occurring within the early career stage. This phase deals with different interactions in the work environment. The institution's interactions include communication with colleagues and senior faculty and interactions with the different institutional research policies. Outside interactions with other institutions also take place to include communication with the disciplinary association(s) and sponsored agencies. This phase's focus is on experiences that reflect the level of interaction with the profession's different research-related roles, outcomes, and recent experiences. The early-career phase, according to the literature, is where most socialization interactions occur. Therefore, this phase involves looking at research output levels and the level of institutional commitment after being exposed to different socialization interactions.

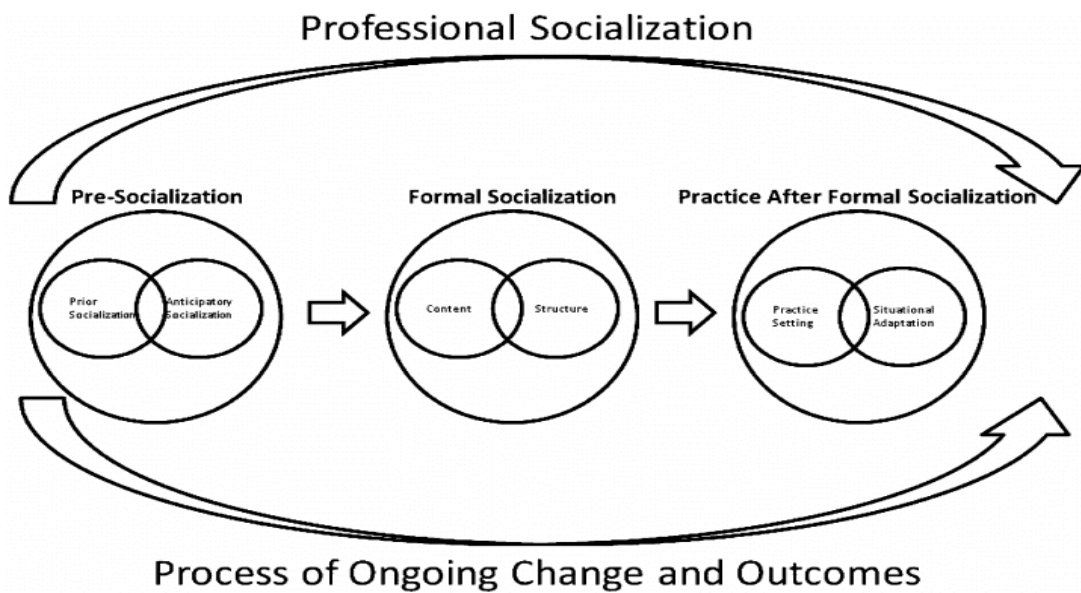


Figure 1: Miller’s Professional Organizational Framework

Source: Figure 1. Shari E. Miller (2010) A Conceptual Framework for the Professional Socialization of Social Workers, *Journal of Human Behavior in the Social Environment*, 20:7, 924-938, DOI: <https://doi.org/10.1080/10911351003751934>

Theoretical Framework

Transformational Learning Theory

Transformative learning is the theoretical framework for this study and is the learning model by Norma Nerstrom (2014), which is based on Jack Mezirow's (1978) phases of transformative learning studying adult learning phenomenon. Mezirow's (1978) work explained that not all of the phases are needed to be experienced to encounter transformative learning, and, furthermore, they may be experienced in random order. The original transformational learning theory framework includes ten phases which are: (a) a disorienting dilemma; (b) self-examination of assumptions; (c) critical reflection on assumptions; (d) recognition of dissatisfaction; (e) exploration of alternatives; (f) plan for action; (g) acquisition of new knowledge; (h) experimentation with roles; (i) competence building; and (j) reintegration of new perspectives into one's life (Mezirow, 1991). The model emphasizes the transformative learning faculty experience during socialization in terms of forming an identity, attitudes, beliefs, and ways of behaving within the institutional culture. However, if adults view life with limited perspectives based upon limited experiences that shape their personal beliefs to expand their experiences, individuals may challenge existing beliefs and gain new perspectives identified as transformative learning.

Nerstrom's Transformative Learning Model (Figure 2) condenses Mezirow's ten-phase process into four parts. The four sections are (a) having experiences, (b) making assumptions, (c) challenging perspectives, and (d) experiencing transformative learning. By reducing Mezirow's phases of transformative learning, Nerstrom decreases the difficulties in navigating the original study. Unlike Mezirow's phases, Nerstrom's model follows a sequential order where all phases of the model are encountered. Based on this model, transformative learning then becomes a new experience. Once transformative learning occurs, Mezirow (1991) asserts

individuals are more receptive to experiencing it again. Also, once transformative learning occurs, it is unlikely that adults revert to their prior beliefs (Nerstrom, 2014).



Figure 2: Nerstrom's Transformative Learning Model

Source: Figure 1. Nerstrom, Norma (2014). "An Emerging Model for Transformative Learning," *Adult Education Research Conference*. <https://newprairiepress.org/aerc/2014/papers/55>

Transformative learning theory put into practice can help faculty and administrators understand that social structures and belief systems can influence student learning. Social constructivist theorist posits that learners make meaning of their experiences in various ways (Vygotsky, 1978) which influence the value systems they develop. Disorienting dilemmas challenge the validity of one's values and the assumptions that underpin them (Mezirow, 1978). The transformational learning theory is the way learners explain their perceptions of their experience. It is vital for one to make meaning out of their experience that is the learning (Mezirow, 1991). The theory has two types of learning. They are called instrumental and communicative learning. A person who learns through tasks and problem-solving benefit from instrumental learning. Those who learn through communicating and feelings are communicative

learners. Thus, perspectives and systems are critical components of the transformational learning theory. To this, perspectives defined are tendencies one has that result from assumptions that determine where expectations come from (Mezirow, 1991).

According to the National Academies of Science, Engineering, and Medicine (2000), "an understanding of learning includes the understanding about learning processes, learning environments, teaching, sociocultural processes, and the many other factors that contribute to learning." Research conducted in these areas affords those in higher education to understand and implement changes. When thinking of curriculum as a significant element of consideration, this author references implicit curriculum and interconnectedness to professional socialization. Professional socialization is contingent on the quantity and quality of human interchanges within a program. Using theory to inform the implementation of the factors that contribute to building an implicit curriculum includes knowledge and information that are relevant and accessible. As faculty disseminate information, the information must be curriculum-driven and used to enhance the learning culture. Although this study focuses on the faculty's socialization and transformational learning, one is mindful that students are primary consumers of higher education, and the curriculum impacts the student. Thus, when implementing practices that frame all learners' knowledge within an institution, the student should ultimately be considered (Holosko et al., 2010).

Professional socialization is a process. The process involves learning skills, values, attitudes, and behaviors that are critical to the professional preparation and success of faculty in higher education (Pitney, et. al., 2002). Learning is a lifelong process. Based on experiences, one is continuously evolving. As such, one may be exceptional in one aspect, but not another, and this is particularly true of faculty that teach and are active sponsored researchers. To clarify

this thought, Payne and Berry (2014) acknowledged that individuals who are exceptional teachers may not be exceptional researchers, just as individuals who are exceptional researchers may not be exceptional administrators. This study seeks to understand sponsored research faculty's experiences and determine how they acquired their knowledge and professional attributes, especially in cases where there was no preparation during graduate school. Thus, transformative learning during the socialization process is identified as the framework.

Finkelstein (1984) described research productivity predictors by analyzing the relationship between research and teaching effectiveness. Finkelstein's transformative learning factors involve faculty research orientation, highest degree attained, early (career) publication, previous (graduate) publication activity, communication with disciplinary colleagues, number of journal subscriptions, and time allocation among the different components of the academic role. However, Finkelstein does not account for the sponsored program aspect of research. Mezirow's (2009) theory of transformative learning theory describes how learners understand, authenticate, and reconfigure the meaning of their experiences (Cranton, 1994). The transformative learning theory describes how adult learners adjust the way they view their experiences and interactions (Mezirow, 2009) and details learning as the process of awareness and self-reflection to question assumptions. A result of this process potentially leads to a change in perspective and behavior (Cranton, 1994).

Since Mezirow's 1978 inquiry, there has been an extensive body of transformative learning research across many sectors. Mezirow (1997) summarized transformative learning as a process that "... involves transforming frames of reference through critical reflection of assumptions, validating contested beliefs through discourse, taking action on one's reflective insight, and critically assessing it" (p. 11). Thus, the use of Nerstrom's Transformative Learning

Model and its four segments as they link with the stages of Miller's Professional Organizational Framework for socialization was used for this study. Applying these frameworks helped this investigator understand what hinders or eases UM Oxford's faculty-sponsored research program administration endeavors based upon the faculty's socialization and transformative learning process. A process that considers faculty member's professional growth as defined by O'Meara, Terosky, and Neumann (2008);

[professional growth is] change that occurs in a person through the course of her or his academic career or personal life and that allows her or him to bring new and diverse knowledge, skills, values, and professional orientations to her or his work (p. 24)

This research gives insight into faculty perceptions, how they view and make meaning of their experiences, in addition to what is necessary to increase their proficiency in submitting externally-funded research proposals and managing awards.

METHODOLOGY

Successful role induction is essential for a faculty member, as it indicates assimilation to the role and can reduce the stress and overload that accompanies the transition into a new role. Because transition and role inductance are supported by professional and organizational socialization processes (Tierney & Rhoads, 1993), past and current experiences are essential to understanding socialization processes. Qualitative research is a significant branch of inquiry in the social sciences, encompassing a wide range of phenomena (Daher et al., 2017). Qualitative research answers research questions that are not quantifiable and apply to small populations in specific contexts (Johnson & Onwuegbuzie, 2008). Qualitative research affords the specificity of context and can prevent generalizations through quantitative research designs (Johnson & Onwuegbuzie, 2008).

The purpose of this qualitative study is to gain an understanding of how research faculty are acclimated to their sponsored research role at the University of Mississippi, to understand better the professional and organizational socialization processes that faculty members experience as they enter their careers in higher education, and to learn the needs of sponsored research faculty as they build on their knowledge. This study specifically focuses on the doctoral preparation and organizational socialization experiences of early career sponsored research faculty. This exploratory study examined the attitudes, perceptions, and experiences of sponsored research faculty utilizing Miller's (2010) Professional/Organizational Socialization Framework. Through the lens of Nerstrom's (2014) Transformative Learning Model based on Mezirow's (1975), Transformative Learning Theory, a qualitative analysis was conducted to understand faculty experiences with sponsored research. Sponsored research faculty were interviewed and asked a series of questions about their socialization experiences with sponsored research. Due to the international COVID-19 pandemic, interviews may require interviews to be conducted through web-based meeting platforms to assure the safety of participants. In context of professional organizational socialization, the targeted research questions focus on four areas. The four focus areas are transformative learning, institutional support, preparation, barriers, and questions to be asked are:

1. How do sponsored programs and research faculty perceive doctoral education's value or effectiveness in helping them form professional identities that support their research as a faculty member?
2. How are sponsored programs and research faculty socialized for research into the university?

3. How do sponsored programs and research faculty perceive socialization as a barrier or incentive to advancing their research as a faculty member?
4. How do faculty experience transformative learning in their socialization to research as sponsored programs and research faculty?

SUMMARY OF MANUSCRIPT I

This research study examines the perceptions of faculty at the University of Mississippi and their socialization experiences to research and sponsored program administration through the lens of transformative learning. The study aims at advancing the knowledge of how academic faculty socialize into their roles in higher education and the processes that successfully help them transition into their institution and academic careers while obtaining and administering sponsored research. Although many institutions offer faculty development services, new faculty may be too overwhelmed by the information provided during orientation and their preparation for teaching, service, and research roles to pursue and engage in any of those services. Due to the limited documentation of the doctoral preparation and socialization experiences of research faculty at the University of Mississippi, this researcher proposes a phenomenological study to gain insight into organizational socialization and identify the transformative learning faculty experience in their roles to participate in research and sponsored programs. Engaging in this inquiry allowed for an understanding of the strategies that benefit faculty members in being socialized into their research roles. Similar to Austin (2002), recommendations can then be made to help create meaningful opportunities for aspiring faculty members. Findings can lead to the development of programs that improve doctoral studies and early career socialization processes for future and current faculty members.

NEXT STEPS

The Dissertation in Practice requires three manuscripts. This first Manuscript gives a context of the problem of poor socialization of faculty for research that negatively impacts their research and sponsored programs' productivity and outcomes. Literature review further explores how faculty who have not had adequate socialization to prepare for and advance in their research careers, learn through experience while recognizing research success may be left to chance. Manuscript 1 includes the author's professional positionality and assumptions regarding the problem. It also contains the conceptual framework connecting theories for analysis. Manuscript 1 concludes with the research questions, the methodology of the study, and a synopsis of the problem of practice.

Manuscript 2 includes the contents of Manuscript 1 and the presentation of the data. The data in Manuscript 2 is organized by the research questions and expounds on connections with theory. Lastly, Manuscript 3 presents findings and recommendations for research and practice related to doctoral students and early faculty in their socialization to higher education.

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MANUSCRIPT 2

INTRODUCTION TO THE PROBLEM OF PRACTICE (POP)

Knowledge is an essential ingredient for a research faculty acquired through socialization with groups in the University. Merton et al. (1957) argued that because of socialization, an individual receives knowledge, attitudes, values, and expectations of a group within the organization. However, the group attributes may be characterized by an incomplete understanding of research, sponsored programs administration, and what it takes to become a fruitful sponsored researcher. The effects of research faculty's lack of knowledge may include frustrations in research grant applications and difficulties securing or managing grant awards. Ultimately, research faculty members may give up and conclude that sponsored funding is not worth the effort.

Research shows that faculty with sponsored research commitments have unique needs resulting in added obligations. Thus, it is crucial to explore the socialization process of faculty who are interested in or have secured external sponsored awards for their research. Mazerolle et al. (2015) argued that research could improve awareness of the needs of early-career faculty during their transition from graduate school into higher education and offer recommendations to prepare future faculty.

Therefore, this phenomenology study utilizes transformative learning to explore faculty socialization within research and sponsored programs at the University of Mississippi, a public R1 university. The primary focus is to explore faculty members' preparation, socialization, and ultimate success in obtaining and administering sponsored research. This study informed best

practices to enhance research services, improve graduate programs' value, and reinforce the future advancement of faculty members, specifically junior members navigating the tenure process. Research universities with limited socialization programs can optimize the productivity of research faculty through the findings. Ultimately, students have more opportunities to participate in research. The study identified four research questions to address its purpose:

RQ1: How do sponsored programs and research faculty perceive doctoral education's value or effectiveness in helping them form professional identities that support their research as a faculty member?

RQ2: How are sponsored programs and research faculty socialized for research into the university?

RQ3: How do sponsored programs and research faculty perceive socialization as a barrier or incentive to advancing their research as faculty members?

RQ4: How do faculty experience transformative learning in their socialization to research as sponsored programs and research faculty?

STUDY ASSUMPTIONS

Schoenung and Dikoya (2016) defined research assumptions as acknowledging what the researcher concedes as accurate without established evidence. The researcher's assumptions were crucial in establishing study design, methodology, the scope of inquiries, and findings. This study had three assumptions. First, the researcher assumed that data would be accessible. The researcher was able to access the desired sample size; the mode of access was web-based meeting platforms to comply with public health limitations associated with the prevention of COVID 19.

The second assumption was that participants would be willing to participate in the study and be knowledgeable about the study topics. In practice, the researcher informed all ten participants about voluntary participation as part of the informed consent. All the selected participants gave their informed consent to participate in the study.

The third assumption was that participants would provide accurate information. Also, the researcher assumed that the participants' responses would be accurate and relevant to answering the research question. The researcher took the following measures to ensure honesty in informants: emphasizing informed consent, establishing rapport at the onset of the interview, and expressing interest in the informant's honest opinion by declaring no right or wrong answers.

LIMITATIONS

This study uses a phenomenological design of inquiry where the researcher describes the lived experiences of individuals regarding a phenomenon as defined by the participants (Creswell, 2014, p. 14). The decision to use phenomenology design was informed by its flexibility, permitting ease to explore essences of informants' experiences during the interview (Miles et al., 2014). In general, Jacobs and Furgerson (2012) argued that qualitative research allows researchers to uncover the human part of a story. Therefore, the researcher was inspired to use phenomenology to achieve the purpose of this study; it allows for informants to express their lived- experiences as sponsored research faculty at the University of Mississippi.

Although phenomenological studies offer compelling research data, they have limitations. Creswell (2014) identified bias as a concern in phenomenology studies. To address the limitation, Janesick (2011) recommends that researchers integrate their biases, beliefs, and values up-front in the study. In this study, the researcher recognizes and acknowledges that they

must be self-aware of their multiple roles as a workplace professional, doctoral learner, and scholar to achieve independence. That background has also shaped their choice of study topic and influenced their pre-conceived ideas on the study area. The researcher is also aware that by way of their institutional position there may have been unintended influences to the participants responses. If the researcher did not have their position within the university, participant responses may have differed in terms of expressed perceptions. However, there is no way to determine such.

Another limitation of the study design is that the process is time-consuming and labor intensive (Creswell, 2014; Janesick, 2011). The researcher had to analyze a large amount of data. In addition, Maxwell (2013) posited that the individual circumstances that data is collected from cannot be generalized. Finally, there are credibility and reliability associated limitations; Rudestam and Newton (2015) argued that the researcher must convince themselves and their target audience that the findings are based on a critical investigation (p. 131). Therefore, following Patton's (2002) guidance, the researcher has described the data and communicated what it reveals about the study purpose.

DATA OVERVIEW

In this section, the researcher describes the characteristics of each study participant. This section also provides a summary of the data collection process. After approval was received from the Institutional Review Board (IRB), the researcher used purposive sampling to select ten currently employed University of Mississippi (UM) participants out of 182 tenure eligible faculty members (Ole Miss Tableau, version 2019.2)

The current tenure eligible faculty represent 33% of the total 550 faculty between fiscal year (July 1 – June 30) 2015 to fiscal year 2020 undertaking sponsored research projects (ORSP Sponsored Programs Database, 2021). Of the ten tenure-track faculty, six (6) participants (60%) are classified as an assistant professor and four (4) participants (40%) are classified as an associate professor. The number of years participants were employed at the University of Mississippi ranged from three (3) years to fourteen (14) years, with the average number of years of employment being 6.4 years. Two of the ten participants have been employed with the university longer than seven (7) years but met all other selection criteria.

Descriptive Data

The sample size was based on the data saturation requirements outlined by Fusch and Ness (2015). The researcher knew they were approaching saturation when themes appeared consistently across the interview transcripts. On the contrary, if there were emerging contradictions or changing themes in the interview transcripts, it would have indicated a need to consider more participants until consistency of themes were achieved (Fusch & Ness, 2015). The ten participants represent faculty from the College of Liberal Arts, the School of Applied Sciences, the School of Law, the School of Pharmacy, and two of the of the university’s research centers. Three (3) participants (30%) were women, and seven (7) participants (70%) were men. All ten (10) participants (100%) self-identified as white. Table 1 below indicates study participants' characteristics.

Table 1

Descriptive Data

Participant Pseudonym	Gender	Race
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Participant 1	Man	White
Participant 2	Woman	White
Participant 3	Man	White
Participant 4	Man	White
Participant 5	Man	White
Participant 6	Man	White
Participant 7	Woman	White
Participant 8	Man	White
Participant 9	Woman	White
Participant 10	Man	White

Data Collection

Ten faculty members participated in semi-structured interviews for two weeks between December 2021 to January 2022. See the interview topic guide in Appendix A. Web-based meeting platforms were used to conduct and record interviews lasting 20 to 60 minutes. The shortest interview lasted 24:26 minutes, and the longest interview lasted 54:72 minutes. The researcher backed up interviews on the cloud to safeguard against data loss from their computer. The researcher enhanced data safety by using passwords on the cloud and the computer. The researcher used a professional service for verbatim transcription of interviews on Microsoft Word.

Data Analysis

The researcher used thematic data analysis guided by Braunn and Clarke (2006). Prior to data analysis, the researcher deleted identifying information from the transcripts and interview notes, such as names of participants, their students, and universities or programs where participants or their mentees had previous associations. Analysis was done using NVivo 12 software. The following steps were adhered to in the deductive analysis process.

Data Familiarization

This phase of the thematic analysis entailed going through transcripts and interview notes several times. This step aims to gain an overview of the entire dataset in preparation for data coding. While reading the transcripts and interview notes, the researcher recorded their first impressions to complement the coding process later.

Coding

The second step was to code the data from the interview transcripts and interview notes, analyze the responses, and allocate codes to represent similar portions of the text from all the semi-structured interviews. At the end of this stage, several codes were listed representing the respondents' different issues, perceptions, and experiences. See a list of initial codes in Appendix B.

Determination of Themes

The third step was the determination of themes, where the researcher grouped all codes into several thematic categories. Some codes were deleted or merged based on their lack of

relevance or similarities with other grouped codes. Once the categories had been established and the matching codes identified, themes were determined, factoring in the frequency of codes.

Validation of Themes

The fourth step was the validation of themes which entailed evaluating each theme to ascertain that the participant responses and generated codes could support it. The validation process was flexible because results could lead to the revision of themes or their aspects, or even deletion where the researcher deemed supporting data inadequate.

Defining the Themes

The fifth step concerned describing or defining each theme. The researcher used a short description to clarify the significance of the themes to the study. In addition, they based the description themes on their relevance in addressing the research questions. Definition of themes was crucial to highlight how they differed from each other.

Composite Description of Themes

The final step of thematic analysis was to summarize all the themes discussed within the context of the study research questions. As illustrated in the next section, each theme was discussed, supported by exemplars from responses that best captured its essence. In addition to the themes, contradictory findings were also included in the combined description to emphasize crucial alternative perspectives. The composite description serves as the study findings.

PRESENTATION OF THE FINDINGS

The study sought to explore four research questions and themes have been presented to address each of them. A total of six themes were identified from the data that addressed the research questions. To uphold the confidentiality of the participants in the university community, the use of the pronoun “they” is applied throughout the findings. Table 2 below indicates the research questions and corresponding themes.

Table 2

Research Questions and Data Themes

Research Question	Data Theme
RQ1: How do sponsored programs and research faculty perceive doctoral education's value or effectiveness in helping them form professional identities that support their research as a faculty member?	Theme 1.1: All research faculty perceived that their doctoral education had shaped their values, attitudes, and practices to include those who attended graduate school at the University of Mississippi.
RQ2: How are sponsored programs and research faculty socialized for research into the university?	Theme 2.1: Sponsored programs and research faculty perceived that they were socialized to research through learning by doing. Theme 2.2: Sponsored programs and research faculty perceived that mentorship was an integral part of socialization into research.
RQ3: How do sponsored programs and research faculty perceive socialization as a barrier or incentive to advancing their research as a faculty member?	Theme 3.1: Sponsored programs and research faculty perceived that there were challenges to advancing their research as faculty members. Theme 3.2: Sponsored programs and research faculty perceived that there were facilitators to advancing their research as faculty members.

RQ4: How do faculty experience transformative learning in their socialization to research as sponsored programs as research faculty?	Theme 4.1: The education and professional backgrounds of the research faculty had influenced their decision to join doctoral research.
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RQ1: How do Sponsored Programs and Research Faculty Perceive Doctoral Education's Value or Effectiveness in Helping Them Form Professional Identities That Support Their Research as a Faculty Member?

RQ1 discusses research and program faculty's perception of the value and effectiveness of doctoral education in shaping their professional identities. One theme was found to address the first research question. The theme is discussed in the section below.

Theme 1.1: Research Faculty Perceived that their Doctoral Education at the University of Mississippi had Shaped Their Values, Attitudes, and Practices

This theme discusses participants' perspectives on their values, attitudes, and practices influenced by their doctoral experience to include those of participants who attended graduate school at the University of Mississippi (n=4). The first value was that securing grants was very significant for faculties career growth and contributing to the research reputation of the institution. Participants 1, 3, and 5 reflected on the importance of securing grants for a research faculty member. For instance, Participant 1 indicated that they had learned the value of responding to funding cycles consistently to increase their chances of securing funds, when they said:

I try to consistently apply for funding because funding is very challenging to get. And then, I do everything I can to get the awards in and submit them as quickly as possible and as complete as possible (Participant 1).

Participant 1 understood that “waiting till the last minute,” diminished their opportunities to exchange with the staff in ORSP. Because of the challenges in staffing and resources for ORSP, Participant 1 suggested that waiting to the last minute to submit grant applications impedes their ability to successfully submit on time and have necessary questions answered. Thus, they try to avoid those challenges as best they can to make sure their applications get submitted.

In addition, Participant 5 argued that their friends from other institutions had advised them to always put in a funding application to the NIH and R-type awards. They alleged that it was an advantage to apply to all funding cycles to ensure that one always had an application to improve on for the next funding opportunity:

So, one of the pieces of advice that my friends, who are a little bit further on the process at other schools, have given me is that (speaking of the NIH and the R-type awards) you cannot let one of those cycles go by (Participant 5).

Participant 5 expressed that a researcher must consistently submit proposals. The rationale is that not all proposals are expected to be funded. In having such increases the chances for being awarded external funding. The more submissions afford for more feedback, from the feedback a researcher can continue tailoring and enhancing their proposal to include getting more supporting data.

Participant 5 also pointed out that faculty members needed to understand the different types of funding opportunities and their requirements, such as NIH and NSF. They argued that a better understanding of units and divisions within the University that can offer grant support would aid research faculty in their grant application. In-turn it will improve submissions and potentially increase the number of awards made.

Faculty members had adopted some strategies in their practice to increase their chances of accessing grants. The strategies included applying to selected grants with a greater chance of success and collaborating with senior faculty members in grant applications. In instances where there were limited experts in the faculty's field of interest at the University of Mississippi, faculty members would get in touch with program officers at the funding organization (such as the National Institutes of Health- NIH) interested in their research areas. Other strategies included seeking support from faculty members who were more experienced in the grant application or reaching out to the Office of Research and Sponsored Programs (ORSP) within the University for guidance.

Participant 7 identified a challenge, they pointed out that as faculty members progressed into senior positions, they needed skills to balance their many roles. The roles of a senior faculty included administrative roles, supervision roles, and their time for research and creativity. Participant 7 had managed the challenge by delegating some of the roles to students and program coordinators. They stipulated the different roles that require a senior faculty member's attention when they discussed the balance of managing research and administrative responsibilities:

Moreover, how do you manage things that come onto your plate as a more senior faculty member because it is not like getting a sponsored program? You have sponsored research; you start working with more people on campus. Consequently, more people want to work with awarded research (Participant 7).

Participant 7 expounded on the challenges they faced while they become increasingly more responsible for administrative duties. They listed their administrative roles within the University and in the community and noted that it reduced the time dedicated to research:

I am the interim director of the (Name withheld) Center, and I co-direct (Community group withheld) with (Colleague's name withheld). Those things take away from having an opportunity to sit at my desk for a couple of hours and brainstorm research ideas (Participant 7).

A similar experience was narrated by Participant 3, who observed that new faculty members were expressing interest in conducting high-powered research in their unit. As a result of their research interests, it was increasingly difficult to find time to supervise graduate students. They explained the growing culture of research at their unit as good but challenging:

We are having uncomfortable and awkward conversations about who gets graduate students and who does not. We hired faculty to replace those who have retired. We have been very fortunate to receive new faculty who want to research. This faculty wants to lead research and find new knowledge (Participant 3).

Challenges notwithstanding, Participant 3 felt that the University of Mississippi was a great place to carry out research and describe the research culture as growing. Ultimately, Participant 3 believed that culture was changing.

The next issue was the faculty's lack of motivation due to interacting with systems that were not responsive to their needs. Participant 9 indicated that the infrastructure promised at the onset of their research fellowship at the University differed from what they received. They also indicated frustrations with ORSP, which had not communicated clearly and effectively concerning available funding resources. These setbacks had led to a negative attitude. As a result of these setbacks, they had become demotivated in the lab work they had previously enjoyed and desired to leave the institution:

I am tired and jaded, and therefore I am looking at other institutions, or other institutions are looking at me, and I am responding. However, it influences your life in the lab because you cannot separate it. It makes me not want to research here at all. It makes me want to teach (Participant 9).

As expressed by Participant 9 teaching was not their preference as they wanted to conduct research; they loved and wanted to work in the lab with students. By prioritizing classroom instruction Participant 9 felt that they were not working in what they called their “happy place.” Disenchanted by their experience resulted in Participant 9 pretending to be content in the environment when they were not. The rationale for maintaining the appearance of happiness was to protect the graduate student from becoming discouraged with academia. Yet, Participant 9 believed the student recognized that faculty members faced challenges. An example of when the student recognized the challenges is described below:

“When I have a graduate student applying for multiple grants, he does not understand the system, and he does not understand why no one is helping. And I have to say, "This is how it is here." (Participant 9)

Some participants reflected on the value of having the right mentor in science for a research faculty to progress in their career. For example, Participant 10 reflected on his grant application experience with a mentor during their post-doctoral studies. They indicated they missed the grant because their mentor was viewed as junior. However, Participant 8 had a different argument; they stipulated that grant writing collaboration made a research faculty seem less independent. When they spoke about partnering with a mentor, they illustrated how collaboration affected perceptions of a researcher's independence:

That is like me saying, "I cannot get my grants. It is as if I had to have a parent come in and put their name on it so I can get funding." When you submit your tenure packet, the external reviewers may not be the ones at the University of Mississippi. The external ones will say, "Well, he leaned on expertise. He is not an independent scientist. He relied on program grants and was given the Mississippi EPSCoR. (Participant 8).

Participant 8 revealed a situation in which they do not want to rely on another investigator's reputation. Nor does Participant 8 want to be seen as an investigator that can only be awarded a sub-grant due to Mississippi being an eligible EPSCoR jurisdiction. The participant declared that they are not conducting real science through this model. They deem that it is a bone that was tossed to "lesser-funded states."

Participant 8 expressed that he wants to do what he wants to do. He recognized it may be a selfish perspective, but exclaimed that an R1 institution is supposed to work by way of having research awards that were received by a competitive process. Participant 8 asserted that one is not supposed to be expected to be a vital member of a team and that faculty are meant to have their own science and were hired for their vision and ideas.

The two approaches to grant writing indicate the effect of socialization on attitudes and behaviors. Faculty members who perceived that collaboration would help them win more grants were likely to be more supportive of collaboration and participate in collaborative projects. On the other hand, those who perceived that research faculty should be independent were less likely to collaborate.

RQ2: How are Sponsored Programs and Research Faculty Socialized for Research into the University?

This study has adopted Austin's (2002) definition of socialization which stipulates that it is a process through which individuals become a part of and identify with a group, organization, or community. RQ2 explored how sponsored programs and research faculty were socialized for research into the University. Two data themes were found to address this research question. The theme explores avenues through which sponsored programs, and research faculty were socialized for research into the University of Mississippi. In the section below, the two themes are illustrated by quotes.

Theme 2.1: Sponsored and Research Faculty Perceived That They Were Socialized to Research Through Learning by Doing

Theme 2.1 refers to situation whereby participants learned about the University's research procedures and processes by actively engaging with the existing systems. Three participants indicated that they were involved in an orientation program during their earlier days at the University of Mississippi. However, they all found it unsuitable to inform grant applications. For instance, Participant 9 argued that the orientation program was too basic for someone who had written a grant application previously. The orientation program was not practical: "honestly, I feel like a lot of the stuff I was taught at the grant writing workshops was the opposite of where I found success." (Participant 8)

Participant 7, who was engaged in a two-day orientation program, argued that they learned mainly by doing. They noted that the orientation program received was more process focused, and grant writing was learnt by practicing:

On the orientation, after I had arrived, there was a two-day orientation for me in faculty. Furthermore, if I remember correctly, they do give presentations there about... Again, it was similar to what I had heard in the interviews if I recall correctly, but then adding on

some like processes, which was fine... It is just learning as I go and say, "Okay, I want to apply for this. What do we need to do? What do we need to think about? What do we need to talk about?" (Participant 7).

Participant 7 indicated that the first time they wrote a grant they did not know all the steps for proposal development, and that was not something that had been explained to them or shown to them. They reflected on the first time they wrote a grant where they progressively learned the process without guidance:

It is just kind of learning as I go and saying, "Okay, I want to apply for this. What do we need to do? What do we need to think about? What do we need to talk about?" The first time I wrote a grant, I didn't know all the steps and that was not something that had been explained to me or shown to me like, "Here's what you have to think about before you submit a grant." I just said, "I want to submit a grant." And then they helped me figure out what I needed to do and how I needed to do it as I went (Participant 7).

Seven participants indicated that there was no formal orientation. They all learned about grant applications at the University of Mississippi by doing. For example, Participants 1 and 3 had to lean on their previous experience submitting grants before joining the University of Mississippi. They took the initiative to enquire about the grant application process from ORSP and the pre-award team. Participant 3 narrated how they asked questions from the ORSP office:

Thus, one of the more helpful things that, in all honesty, was a bit mixed sometimes I got more of this than others as being able to ask questions of the people in the ORSP office, getting a meaningful answer. Is this your job? Is this my job? And the collaborative development of myself as someone who can submit things. Most of the folks there were helpful. Sometimes they were not (Participant 3).

Participant 4 also noted that there was no formal orientation, and they were the first sponsored faculty in their department. Hence, minimal support systems in grant writing existed at the time. The participant argued that they had many grant rejections, and the ORSP was not very helpful. They leaned on their network of colleagues external to the University of Mississippi:

And so, I did not know what I was doing wrong. Honestly, I would go to the office of research here, and they would give me the rules for writing a biology grant, which was useless to me. I do not run a lab, I am not asking for a million dollars, so I got the feeling the people down here had never even read what kind of (study area withheld) grants were funded. And I mean, nobody had NSF or NSA grants when I was here (Participant 4).

Participant 4 further argued that once they were able to see what a successful grant looked like, they found it to be much easier to identify what they were doing wrong. Even though the rules were laid out on the NSF website, it was tough for them to understand what they meant until they saw a successful grant. Prior to seeing an award, Participant 4 had only seen bad examples.

Participant 4 also pointed out there was a high turnover of ORSP staff who were mandated to assist with grant applications. They argued that staff turnover made it difficult for ORSP to keep track of applicants and their grants of interest. Therefore, they felt unsupported by ORSP in the first four grants that they applied for, furthermore, ORSP would ask them to do things that were entirely out of line with their desired grant. Here they expressed their early career experience with ORSP:

And I want to say the first three or four grants I applied for; I had to deal with a different person each time because nobody stayed in that job. Moreover, if nobody stays in that job, nobody understands who you are and what you are applying for (Participant 4).

Participant 5 also shared their experience with ORSP; they became familiar with the program after submitting the first grant application. They also reported that they learned grant writing by sending applications to The Innovation Group (TIG) for review. They described the experience with the innovation group as learning by doing:

I had submitted a grant for the enhanced review with them (the innovation group). I then submitted the second one, right? So that sort of learning by doing, after a couple of submissions went in, I was a little bit more familiar with the process (Participant 5).

In summary, three participants received formal orientation when they first became sponsored and research faculty. The information received in the orientation programs was neither adequate nor useful to equip them for grant development and submission. Like their seven counterparts who had no formal training, they indicated that they mainly learned grant writing by doing. Some participants had some experience in grant writing prior to joining the University of Mississippi. In contrast, others had supportive and more experienced colleagues and networks whom they consulted as they engaged in the process.

Theme 2.2: Research Faculty Perceived that Mentorship was Integral Part of Socialization into Research.

This theme describes the benefits of two types of mentorships, namely those that were assigned formally and those that evolved informally. This theme also describes the two types of mentorships and their contribution to research and research-related skills for sponsored programs and research faculty. Participants were allocated mentors through a formal process within the

university departments in the first category. The second category is where the departments lacked a standard approach to assigning mentors to participants; hence, participants chose their mentors through informal means. However, few participants reported that they lacked mentors.

Three participants indicated that their department faculty within the University of Mississippi had designated for them a formal mentor. For example, Participant 10 reported that their research award obligated the University of Mississippi to assign a mentor and outlined that in the award letters. In fact, they had two mentors, both supportive. However, they found one of the mentors to be more supportive in various areas, including hiring, sourcing, and repair of equipment:

One of the nice things was that the award that I had, I don't know if this is a unique experience... The award was conditional; they had to commit to the terms before hiring me if the university wanted the money. In writing the grant, we had to work out how I would be mentored and be successful. So, I got them on board with that early. And my chair (Name withheld) and senior faculty (Name withheld) were identified in the Research Project Grant (R0) award letter as folks who would be available to help me... (Participant 10).

Participant 10 described both of their mentors as highly accessible. "I would always knock on (Senior faculty name withheld), especially early, and they have been just great..." (Participant 10). They expressed that each helped them with answering a lot of their questions. "Like I had a question about, say, hiring, or I had a question about where I can find scrap equipment that's hanging around that's free." (Participant 10).

None of the three participants with formal mentors had collaborated with their mentors to develop and submit grant applications. The mentors were supportive in other areas such as

publishing and review of grant applications. For instance, although Participant 4 has not collaborated on a grant with their mentors, they have worked in partnership in other ways such as publishing. At the time of the interview, Participant 4 was responsible for a paper which was to be used toward applying for a grant opportunity:

(Have you worked with your mentors specifically as a PI or co-PI on any awards beyond the one that transitioned with you that came out of your training grant?) So, I haven't had any awards with my mentors. Part of that is because I wanted to show independence, and they also thought it was essential for me to show independence (Participant 4).

Participant 5 also had a formal mentor, and they indicated that although the mentorship process was not highly structured, it was helpful. They reported that they were assigned a formal mentor in their school. Guidance at the University requires that to serve as a mentor the individual must be one of the senior faculty members. They indicated that the mentor had offered them support by reviewing their grant applications, offering them advice on teaching, and writing recommendation letters for them. They observed the lack of guidance in the mentorship process:

We don't have a very formalized process for that mentorship, so instead, it's often sending off grant documents, saying, "Hey, would you take a look at this?" or advice on writing recommendation letters, which I haven't done before, becoming a faculty member, or chatting about advice in terms of what I should be doing for teaching and course selection, that sort of stuff...we do have a formal process for that, but there aren't check-boxes of, now that you have a mentor, you need to do X, Y, and Z (Participant 5).

Participant 8 also indicated that their formal mentors had not collaborated in grant development. In addition, they pointed out that the mentors were helpful and that they

appreciated the affirmation that they provided. They argued that although the mentors were terrific individuals, the available mentorship workshops and programs were irrelevant and not voluntary:

I want to say that is valuable mentorship and excellent colleagues. Our older faculty are established faculty in (field of study withheld), but the programming and all that around it, the mentor workshops and programming I'm forced to participate in, are terrible (Participant 8).

Many of the participants (n=7) had no formally allocated faculty mentor at the University of Mississippi. For instance, Participants 1 and 6 indicated that they were not allocated a faculty mentor because they joined the University of Mississippi at reasonably senior levels as associate professor and department chair, respectively. On the other hand, Participant 7 stipulated that they had much experience from their previous university and did not require mentorship.

All seven participants noted that the mentors they had established informally were supportive in various ways, including reviewing grant proposals, identifying where to submit grant proposals, offering encouragement when grants were rejected, and writing grant recommendation letters. They also provided participants with advice on engaging with funding agencies. Participant 5 conveyed that having someone to review the proposal before it's submission, and provide feedback while providing support and encouragement made the process far less challenging and mentally taxing:

It made it not as scary, knowing that somebody had gone through this (grant writing), who could help me with this. Because in many ways, writing a grant, if you've never done it before, feels like trying to lift a 400-pound box and put it on your shoulder and walk around with it. Because there are so many little things, you can do wrong. "Oh, your

margins are one millimeter too wide." Or "Oh, you put this in the wrong budgetary item."
And that type of stuff (Participant 5).

Additionally, Participant 2 pointed out that they had collaborated with informal mentors to submit grant proposals, and many of those applications had been successful. They stipulated that before having a mentor, they were not selective in the grant applications and rejections were common. They expressed that before they had identified mentors, they would apply to all funding opportunities hoping to get awarded but were unsuccessful. Once Participant 2 received their first award, they indicated that they became more focused on the type of funding and how it aligned with their research. They noted that subsequently they submitted fewer applications and were more intentional about the targeted opportunities that met their lab research.

In summary, few participants had been allocated formal mentors at the University of Mississippi. However, many participants had identified informal mentors within their units or programs. Overall, participants reported that mentors supported them and their research responsibilities, whether identified through a formal or informal process. Only one participant reported collaboration with a mentor in grant writing. Other participants indicated that mentors supported their grant writing by reviewing documents and writing recommendation letters.

RQ3: How do Sponsored Programs and Research Faculty Perceive Socialization as a Barrier or Incentive to Advancing Their Research as a Faculty Member?

RQ3 focuses on perceived barriers and incentives to research advancement at the University of Mississippi. Two data themes were found to address the third research question. Each theme is discussed and illustrated by quotes in the following section.

Theme 3.1: Faculty Members Perceived That There Were Challenges to Research Advancement.

This theme outlines the various challenges experienced by participants in the socialization process at the University of Mississippi. The first challenge was a lengthy and complex grant application process. Participant 5 commented that much paperwork was required by the Office of Research and Sponsored Programs (ORSP), especially for contracts. They narrated their experience with grant and contract applications:

I have been doing most of the submitting (of grants), but it does have to go through ORSP to get approval. Furthermore, one year it was a contract, not a grant. Moreover, that was a real pain in the neck. (What made that pain in a neck?) (Name withheld) did a great job, but they were saying, "This would be a lot easier if it was a grant and not a contract," but she read it carefully, and it went back and forth many times between them and National Geographic Society (Participant 5).

Furthermore, Participant 5 shared that the contract had to ultimately be reviewed by the legal department. When these additional reviews are required within the university, it can add time to the process and take longer to submit a proposal. Yet, when following the guidance, one will eventually receive an award.

The second challenge was inadequate communication between ORSP, the University accounting department, and the grant recipients. Participant 6 reported that they had experienced communication barriers with the accounting department at the University of Mississippi:

It seems like there is inadequate communication between ORSP and accounting and us, the grant recipients... there is communication (between ORSP and the unit), and some of our grants get extended, and some do not. However, it seems like we could get more timely communications from accounting. Furthermore, I am unsure how far that extends

between accounting and ORSP. I do not know that relationship. Nevertheless, there are difficulties in respect to that (Participant 6).

In the above statement, Participant 6 voiced concerns with the adequacy of the communication between the research office, the accounting office and the researcher. Mainly the communication challenges impacted the participant's ability to understand and respond to concerns related to the award management of their grant.

Furthermore, Participant 3 indicated that they had refrained from applying for some grants because they were not sure how to do it. They argued that they missed those grant opportunities because they could not reach out to the ORSP contact person for guidance. They argued that the ORSP contact persons lacked the patience and communication skills to guide them. In the quote below, Participant 3 argued that not having a staff member in ORSP available to their needs was a big concern and the biggest challenge they face:

I could have applied for a couple of grants, but I did not feel like going through the headache of figuring out how to do it. I did not necessarily feel like the person who would have been my direct contact at ORSP would have been able to guide me through that part and know enough about and be gentle enough to help me learn some of those steps along the process (Participant 3).

The fourth challenge identified was that some units were under-resourced in human resources and infrastructure. Participant 7 noted that although some units had few human resources, they did an incredible job with the available resources. They pointed out that there was a lack of administrative support: "I do not have access to somebody who can help with the compliance stuff, making sure that documents are going in the right order, making sure the budget is in good shape." (Participant 7) They further argued that it was overwhelming for

research staff also to take up administrative roles, and it prevented them from focusing all their energy on their bottom line, which was research:

Thus, when you are working under those kinds of tight timelines, having to do those more strictly administrative tasks takes away from your chances or your brainpower to work on your proposal, which is the thing that, as a faculty member, I am trained to do, right? (Participant 7).

Having to conduct what Participant 7 calls administrative tasks were not areas to which the researcher felt trained for. As they are “trained to think about research projects and design and be in that space.” (Participant 7) Researchers are, from this participant’s perspective are not trained on how to do budgets properly. They are not trained on how to think comprehensively and detailed about all the “checks boxes” that are needed to complete an NIH or an NSF proposal application.

Participant 9 discussed the inadequate infrastructure at their laboratory. They argued that their laboratory needed repair to sections that leaked during the rains and mold damage. They challenged the R1 status of the University of Mississippi based on the poor condition of their laboratory:

Furthermore, when I heard last week, "Oh, it looks like our R1 is going to go through. Okay, great. We will keep pretending for another year how long that we are an R1? We could act like it. We do not act like it. We act somewhere in between where we will have some of these expectations and not be able to assist or support you in getting to it. We will not fix the buildings, but we want you to write in grant applications how superb the facilities are (Participant 9).

As expressed above, Participant 9 argued that poor laboratory infrastructure was a challenge to the quality of the research they conducted. In their opinion poor infrastructure also posed safety issues on researchers. Overall, the poor infrastructure did not support their expectations of an R1 university.

The fifth challenge is that the University rewarded faculty members' in achieving tenure that may not be deserving of the status. Participant 8 argued that the culture at the University of Mississippi was lenient and allowed some “lazy” members to get tenure. They argued that for the University to gain and maintain repute as an R1 institution, such complacent individuals should be denied tenure: “Ultimately, our campus should deny tenure to people who do not do right. I think that if we denied tenure, people would submit more grants.” (Participant 8)

According to Participant 8, the university should adopt not only saying it is an R1 university. They asserted that the university rewarded poor behavior in faculty by allowing last minute awards to be submitted. They also argued that “if someone submits a grant to be routed 4 hours before the submission time on the grant, it is not going to go through.” (Participant 8) Late submission implies that the administrative staff would have limited time to carry out a thorough review and ultimately the award may be declined due to poor science. In their opinion, by supporting such staff the university would be positioned to “break our backs” to route and approve for proposal submission. Any researcher attempting to engage in such practices should not get to submit the grant.

The sixth challenge identified by participants was the lack of a formalized orientation process for new faculty at the unit level. Six of the participants indicated that they had not experienced any formal orientation at the onset of their sponsored program or grant at the University of Mississippi. Faculty members who had previous grant experience did not find this

to be a significant issue. Participant 1 noted that they made the contact to ORSP to request grant guidelines: “None (No formal orientation was offered). I mean, I talked to my colleagues, and they put me in touch with who is our... I'm pre-award and then I just contact them and say, I need to submit a grant.” (Participant 1)

The pre-award administrator is the person who assists the researcher to complete and submit their proposal. Participant 1 indicated that they had submitted grant proposals prior their employment with the university as they began working as an associate faculty. Due to their previous experience, they were familiar with the submission process. When Participant 1 contacted the pre-award staff, they received assistance with the budget. They stated that although their pre-award specialist at the time of the study was good and provided needed help, they did not consider the initial interaction as an actual faculty orientation. Without having an orientation process the only support given for information were the sponsor guidelines for the grants.

The seventh challenge participants perceived was that the National Science Foundation (NSF) preferred big institutions in their grant's allocation. Participant 4 argued that although NSF was reputed to target under-funded states, their recent trends indicated a preference for more prominent institutions than middle-sized institutions. The following account explained their perceptions of NSF funding trends:

However, I think there is a preconceived bias that anyone from the University of Mississippi has to overcome in applying for grants. I mean that the benefit of the doubt will always be given to someone from Berkeley, Harvard, or Princeton (Participant 4).

Participant 4 expressed that they knew the NSF was “trying to be fair about giving money to underfunded states.” They indicated that this knowledge was available to them from the recent awards made by NSF on their webpage: “For instance, click on Tennessee, and they are not

giving them to people at middle-sized state schools; they are giving them to Vanderbilt.”

(Participant 4)

Five participants reported that the next challenge, and it was inadequate support for research faculty in grant writing. The specific gaps identified in grant application were administrative support and grant review towards a successful submission. Participant 4 stipulated that they had been given the role of reviewing proposals at the University of Mississippi. The challenge was that they would be asked to review proposals outside their field of study or expertise. Leaning on lessons from their grant application experience, they would do a review of the proposals to identify the applicants' advisors and their previous funding experience:

I have been asked to serve on reviewing proposals. Moreover, sometimes I will be given a stack of 20 proposals, and four of them are in my field, so I feel like I can rank those four in the order I am comfortable with. Nevertheless, the other 12, I mean, I am trying to use the information at my disposal, but what information is at my disposal? Thus, what is the first thing I do? The first thing I do is the stuff I just said. Who is their advisor? Where did they go to school? What job do they have? Have they been funded before? And so, it is sort of a self-sustaining thing, and I guess these were things I did not think about early in my career (Participant 4).

Participant 4 determined as a faculty member asked to review others research on behalf of ORSP that there was a lack of appropriate support provided to those who were not in their field of study. The participant conveyed a series of questions they asked in their review process to provide guidance to the early career faculty guided by their lessons from the beginning of their grantsmanship.

The next challenge was COVID 19, and Participant 2 pointed out that due to COVID 19, they had to modify or halt their research. Whereas Participant 7 pointed out that COVID 19 had led to many meetings and as a result they had less time to innovate: "And that has been my life, certainly since COVID has started where you just go meetings and you are like, "Okay, but I have no time to think about how to do this in a better way." (Participant 7)

Finally, two female participants reported that balancing motherhood and faculty work was a challenge. Participant 2 indicated that it was difficult to identify an appropriate time to have a child due to the tenure and promotion process. On the other hand, Participant 4 described their challenges with raising a young child as a faculty member. She pointed out that faculty members were not supportive to her as a mother to a newborn, and she had to work during her maternity period:

It was not at all good when I arrived. So, in my third semester here, my son was born, and the department did absolutely nothing to accommodate the fact that I had a newborn baby at home. I think one person offered to sub one class for me, and I still had to teach my other class. So, it was not even like I got a week (Participant 4).

Participant 4 shared that their early career experience was unpleasant, and they were not very happy at the university. Though circumstances had improved for Participant 4, they continued to face challenges as a female faculty member.

In summary, participants had experienced many challenges in their roles as research faculty at the University of Mississippi. Most of the challenges identified by the participants revolved around grant application and funding at the University of Mississippi, including the existence of a lengthy and complex grant application process, inadequate communication between ORSP, accounting, and the participant's unit, availability of limited resources to support

the grant writing process and research, funder's preference to target big institutions and inadequate support for research faculty in grant writing. The non-funding-related setbacks included lack of a formalized orientation process, the reward of comparatively “lazy” faculty members, funder’s preference for big institutions, COVID 19 related challenges, and female research staff challenges balancing an academic career and motherhood.

Theme 3.2: Research Faculty Perceived That There were Facilitators to Advancing Their Research as Faculty Members

This theme describes the facilitators to research advancement for research faculty at the University of Mississippi. Three participants identified that they were motivated to join the University of Mississippi due to its reputation as a top doctoral research institution and the availability of sponsored research programs. For instance, Participant 10 indicated how the availability of a sponsored grant appealed to them to join the University:

I was attracted to the fact that they (the unit at the University of Mississippi) had a grant, a (Name withheld) Award that was, I think at the time, just coming up on its tenure mark. I knew that that would provide resources access to pilot funding, which it did, which was great. Very, very helpful (Participant 10).

Participant’s 10 motivation for working at the university was that there was an existing grant that had been awarded that the participant was attracted to. Additionally, the participant saw the university start-up package and salary offering as competitive. However, when Participant 10 met with ORSP’s staff member (Name withheld), the participant learned that the university had not hosted a K99/R00 award and therefore had no experience in the area.

Considering this finding, they claimed that by not having a Mentored Research Scientist Career Development (K99) award or a Research Training and Fellowship (R00) award it

“detracted a little bit from my enthusiasm.” However, they voiced a perception of ORSP providing institutional support to the school of (Name withheld) by giving much attention in terms of “a lot of funding.” (Participant 10).

Additionally, Participant 3 argued that they could transfer their research grant from their previous university to the University of Mississippi. Their decision was inspired by the perception of the University of Mississippi as a more prominent and reputable research institution: “When I saw that there was an opportunity here at the University of Mississippi, I jumped at the chance to move from a large, predominantly undergraduate University to a research University, and have been very glad to have done so.” (Participant 3)

Participant 1 pointed out an essential aspect of a research institution: the availability of experts in the field of study. They argued that the availability of experts was the ingredient that attracted them to Mississippi: “It (decision to join the University of Mississippi) has to do with the number of experts in my field. That group of colleagues allows me to carry out research in my department and in my (School name withheld) school.” (Participant 1)

The next facilitator to join the research faculty team at the University of Mississippi was a competitive salary. Participants 9 and 10 indicated that the University’s competitive salary attracted them. Participant 9 revealed that the salary they were offered at Mississippi was okay though not comparable to what was available in other institutions in their field. Despite that differential, the researcher received a 12-month contract which they believed would help keep them “covered” if they failed to receive grant funding. Ideally Participant 9 would prefer not to cover their salary in the grant funds but exclaims; “I would rather spend the grant funds to cover animals and to cover researcher scientist, and many medical schools require that.” Additionally, they disclosed:

But yeah, the start-up package was not comparable. If I had gone to a medical university. You do not see a start-up package below a million dollars, so it was a good start-up package, for sure. It was more than I thought that I would be able to get at Mississippi. Yeah, not comparable to other programs still, in my world, but yeah (Participant 9).

The next facilitator to join the University of Mississippi was the perception that research faculty would receive support in their grant and program work. Four of the participants indicated that their perceptions that faculty members would be supportive had facilitated their decision to become part of the University. For instance, Participant 3 argued that they had an offer from another University which they declined to join the university based on their perception that Mississippi would offer them more support. Similarly, Participant 7 indicated that their unit at the University was particularly supportive with grant applications. They identified that their unit had grant mentorship, budgeting support, and dedicated staff to identify funding opportunities:

(We got support) through protocol reviews, connecting us with mentors on campus to look at people who had been previously funded. And then, of course, in the school of (Name withheld), we had kind of our baby version of ORSP here where we have people who help us with our budgeting and people who can help us identify funding opportunities and all those kinds of things. Moreover, since I have been here, that has been incredibly beneficial to me to utilize those resources and have those conversations with people for having the success that I have been able to have so far (Participant 7).

Participant 5 was from the same unit as Participant 7. In their reflection of available support, they noted that having staff dedicated to grant support at their unit was particularly helpful because they lacked grant application skills. They argued that availability of grant application support was important to them:

It is new to me, developing grant applications. That was something that I was interested in that the school of (Name withheld) has that dedicated support. And then, I also think that, here in the department, several new faculty members of similar rank and experience will be a resource for sharing materials or reviewing grant documents (Participant 5).

In summary, participants indicated their facilitators for joining the University of Mississippi, including its reputation as a research institution, availability of sponsored programs, and competitive salaries. Support for grant applications was reported as both a barrier and facilitator, indicating that units within the University had varying degrees of support for research faculty. However, facilitators for their retention at the University of Mississippi were not adequately explored.

RQ4: How do Faculty Experience Transformative Learning in Their Socialization to Research as Sponsored Programs and Research Faculty?

The fourth research question explored participants experiences of transformative learning in their socialization to research as sponsored programs and research faculty. One data theme was found to address this research question. In the section below quotes are used to illustrate the transformative learning process.

Theme 4.1: The Education and Professional Backgrounds of the Research Faculty had Influenced Their Decision to Join Doctoral Research.

This theme discusses similar professional and academic experiences reported by the research faculty before joining the University of Mississippi that shaped their interest in doctoral research. The research faculty experiences included experience in graduate research, grant writing, publishing, and teaching experience.

Seven participants indicated that they had research experience either by getting involved as research assistants during their graduate or post-doctoral studies or taking up professional jobs in research. In some instances, such as Participant 7, they had taken up employment in a research institution as a qualitative researcher and taken up research assistant roles during their post-doctoral studies. They narrated the roles of a research assistant:

So, I was assigned (roles) depending on what was going on at a given moment in the three to five projects where I was responsible for collecting data, for working with sites that collect data, writing proposals, doing training, all of those kinds of things (Participant 7).

Participant 7 explained that research experience in graduate school, focused exclusively on research. They reported that they were trained on research ethics and grant writing. They reported that they were required to propose a research topic and propose work that would be submitted for a grant proposal:

While I was there (graduate school), I was active in student organizations. Through our training, we did not do Teaching Assistant (work) in graduate school; we focused entirely on research, taking courses in research. Moreover, as part of our training, we had to do (research) ethics and training, rigorous, responsible conduct of research training. Then we also had to write grant applications as a part of our graduate training. So, we had to prepare and propose an NIH-style format for our research topic for our prospectus. So, after our candidacy exam, we had to propose our work, and then we were supposed to use that for a grant application (Participant 7).

The research experiences of research faculty highlighted essential research skills that they acquired either by participating as research assistants or taking up professional roles in research

organizations outside academia. Another experience in academia that participants reported was grant writing. Only three participants indicated that they had grant application or writing experience before joining the University of Mississippi. Most of the participants got exposed to grant writing after joining the University of Mississippi. For example, Participants 1 and 6 indicated that they had experience in grant writing from their previous universities. Participant 1 argued that based on their experience writing grants in graduate school, they did not consider allowing graduate students to write grants as productive. In their opinion, graduate students should be allowed to focus on their research projects, and the professors should be responsible for grant applications. To this, Participant 1 felt that it is necessary to protect their graduate students and conveyed:

I do not allow them (students) to participate in the grant writing process because they need to focus on their research. I encourage them to write fellowships when I think they will have a chance to win the awards, even if it is a slim chance.

Participant 1 believed that involving graduate students in grant writing is a part a larger problem. As faculty member, they think writing grants is a significant investment of time. Participant 1 expressed that if graduate students are taken away from “work at the bench” and are given the responsibility to write grants, then there is no one doing the work. Additionally, Participant 1 noted: “If your postdocs are constantly writing grants, your graduate students are constantly writing grants, and your professors are constantly writing grants, there is no work getting done.” (Participant 1)

The third research-related skill that participants reported was writing academic papers. Only three participants mentioned that they had published prior to joining the University of Mississippi. There is a possibility that more participants may have published as part of their

graduate and doctoral experience because there was no question that focused on this skill. For example, Participant 3 reported that being able to write papers in graduate school was one of the indicators that they would thrive in academia:

Moreover, while I was in graduate school, it was tough. I did not enjoy the research process that much. I was intimidated, frankly, by the prospect of having to compete for grant money to support my research constantly. However, when I was doing my postdoc, I enjoyed research, and people told me I was good at it. I did not mind writing papers, and I certainly did not mind doing research presentations. I enjoyed doing research presentations, so that was something that I wanted to do moving forward (Participant 3).

The final experience reported by six of the participants was teaching either as part of their graduate or doctoral studies. For instance, Participant 4 indicated that they took the role of a Teaching Assistant during their graduate studies. They noted that during the early stages, they would grade students on a professor's behalf and later graduated to teaching roles:

(As a Teaching Assistant) I would have (duties) grading students or teaching duties, depending on how far I was. So, early in the graduate studies, it would be grading for a professor, and then towards the end of my time, it was teaching (Participant 4).

In summary, the participants reported that their research interests had developed as they navigated through their graduate and doctoral studies. Although there were differences in the research-related roles that each participant had been involved in, they generally included grant application, proposal development, coordinating fieldwork, data analysis, and teaching junior students. As teaching assistants, the participants were able to expand their knowledge and develop their skills through hands-on experience in preparation for a career in higher education.

SUMMARY OF THE MANUSCRIPT

This phenomenology study explored faculty socialization within research and sponsored programs at the University of Mississippi, a public R1 university. The primary focus of the study was to examine faculty members' preparation, socialization, and ultimate success in obtaining and administering sponsored research. The study identified four research questions to address its purpose.

RQ1: How do sponsored programs and research faculty perceive doctoral education's value or effectiveness in helping them form professional identities that support their research as a faculty member?

RQ1 explored the value and effectiveness of doctoral education from the perceptions of research and program faculty. One theme was found to address RQ1, and it discussed the values, attitudes, and practices of participants regarding their doctoral experience at the University of Mississippi. The findings indicated the high value attached to winning grants by faculty members and strategies established to increase their chances of winning grants. The strategies included sending applications to many grants, selecting grants where a faculty member had greater chances of winning, collaborating with experienced faculty members, and understanding funding requirements for the different grants. In addition, faculty members had developed time management to cope with growing roles as their responsibilities increased. Finally, there were attitude changes because of good or bad experiences at the University. Some faculty members had become more confident in their skills, whereas others were demotivated by the systems that were not responsive to their needs.

RQ2 explored how sponsored programs and research faculty were socialized for research into the University. The researcher found two data themes that addressed RQ2. Theme 2.1 indicated that there were situations whereby participants learned about the University's research procedures and processes by actively engaging with the existing systems within their units, departments, and University. The findings indicated that although a few participants were engaged in orientation programs, the content was not useful to them. All the participants reported that they had learned about grant writing by doing. Some participants leaned on past experiences while others were supported by their experienced colleagues and individuals in their academic networks.

Theme 2.2 indicated two types of mentorships and their contribution to research and research-related skills for sponsored and research faculty. Findings revealed that some participants had been allocated formal mentors at the University of Mississippi. The rest of the participants had identified informal mentors within their units at the University. Overall, participants found mentors to be supportive in various areas, including grant writing, reviewing grant application documents and writing their grant recommendation letters for participants.

RQ3 explored research and program faculty's perceptions of socialization as a barrier or incentive to advance their research. The researcher found two relevant themes to address the third research question. Theme 3.1 outlined the various challenges experienced by research faculty at the University of Mississippi. Majority of the challenges revolved around grant application and funding at the University of Mississippi, including the existence of a lengthy and complex grant application process, inadequate communication between ORSP, accounting, and the participant's unit, availability of limited resources to support the grant writing process and research, funder's preference to target big institutions and inadequate support for research faculty

in grant writing. The non-funding-related setbacks included lack of a formalized orientation process, the reward of “lazy” faculty members, funder’s preference for big institutions, COVID 19 related challenges, and female research staff challenges balancing an academic career and motherhood.

Theme 3.2 discussed the factors that facilitated research advancement for research faculty at the University of Mississippi. The findings pointed out the following facilitators for joining the University of Mississippi, including its reputation as a research institution, availability of sponsored programs, and competitive salaries for research and program faculty. Support for grant applications was reported as a barrier and facilitator, indicating varying degrees of support for research faculty across the different units.

RQ4 explored participants' transformative learning experiences in their socialization to research as sponsored programs and research faculty. The researcher found one relevant theme which conveyed that the education and professional backgrounds of the research and program faculty had influenced their decision to join doctoral research. Findings demonstrate that participants' research interests had developed as they navigated through their graduate and doctoral studies. Although there were differences in the research-related roles that each participant had been involved in, they generally included grant application, proposal development, coordinating fieldwork, data analysis, and teaching junior students.

The third and final manuscript includes an in-depth analysis of the findings. Manuscript three also presented recommendations for future research and practice related to supporting faculty socialization to sponsored programs and research.

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LIST OF APPENDICES

APPENDIX A

IRB APPROVAL

PI:

This is to inform you that your application to conduct research with human participants, "SOCIALIZATION TO RESEARCH AND SPONSORED PROGRAMS ADMINISTRATION THROUGH TRANSFORMATIVE LEARNING: A QUALITATIVE EXPLORATION OF FACULTY PERCEPTIONS AT THE UNIVERSITY OF MISSISSIPPI " (Protocol #22x-113), has been determined as Exempt under 45 CFR 46.101(b)(#2). You may proceed with your research.

Please remember that all of The University of Mississippi's human participant research activities, regardless of whether the research is subject to federal regulations, must be guided by the ethical principles in The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research.

It is especially important for you to keep these points in mind:

- You must protect the rights and welfare of human research participants.
- Any changes to your approved protocol must be reviewed and approved before initiating those changes.
- You must report promptly to the IRB any injuries or other unanticipated problems involving risks to participants or others.
- If research is to be conducted during class, the PI must email the instructor and ask if they wish to see the protocol materials (surveys, interview questions, etc) prior to research beginning.

If you have any questions, please feel free to contact the IRB at irb@olemiss.edu.

Miranda L. Core

Senior Research Compliance Specialist, Research Integrity and Compliance

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Please Note:

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IRB Administrative Office

Research Integrity and Compliance

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Please Note:

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APPENDIX B

INFORMATION SHEET

Title:

Socialization to Research and Sponsored Programs Administration through Transformative Learning: A Qualitative Exploration of Faculty Perceptions at the University of Mississippi

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The University of Mississippi
(662) 915-5710

INCLUDE THE FOLLOWING ONLY IF YOU ARE COLLECTING DATA EXCLUSIVELY FROM ADULTS By checking this box, I certify that I am 18 years of age or older.

Description

This study will examine faculty socialization at the University of Mississippi, a public R1 university regarding research and sponsored program administration through the lens of transformative learning. This research study's primary focus is to understand better how faculty members prepare for, are socialized into, and eventually succeed in obtaining and administering sponsored research. The information obtained through this study may lead to best practices to enhance research services that will improve the efficacy of graduate programs and strengthen the development of future faculty members and those educators already active in faculty roles, particularly early/junior faculty navigating the tenure process.

Risks and Benefits

Though subjects are faculty members of the university, I do not think that there are any risks to their participation. Questions asked may require reflective thinking but should not be uncomfortable or position the faculty to feel compromised by their responses.

Confidentiality

Participants will participate in a semi-structured interview that will not last longer than an hour. All interviews will be recorded and data transcribed verbatim for coding to identify significant comments and themes. All data from recordings will be anonymized for each participant. Participants must sign an informed consent indicating they agree to participate in study. Participants being interviewed will be given the opportunity to answer questions about the study and are free to withdraw at any time for any reason. Respondent validation and feedback will be done through member checks during the interview process by building a rapport with the participant, by restating or summarizing information, and questioning the participant for understanding and accuracy of notes. Also, member checks will take place after the participant's interview has been transcribed. The participants, may be provided a summary of their transcript for confirmation of data.

Direct identifiers will be stripped and replaced with codes. All research data will be secured by the investigator and will not be shared with others. Upon completion of transcription, all interview recordings will be appropriately discarded.

Right to Withdraw

You are not required to take part in this study and you may stop participation at any time. If you start the study and decide that you do not want to finish, all you have to do is to tell Ms. Melissa Hodge-Penn or Dr. Wells Dolan in person, by letter, or by telephone (contact information listed above). You may skip any questions you prefer not to answer.

IRB Approval

*****must be included as written*****

This study has been reviewed by The University of Mississippi's Institutional Review Board (IRB). If you have any questions, concerns, or reports regarding your rights as a participant of research, please contact the IRB at (662) 915-7482 or irb@olemiss.edu.

Statement of Consent

I have read and understand the above information. By completing the survey/interview I consent to participate in the study.

APPENDIX C

Appendix G
COVID-19 Procedures

1. **DESCRIBE, IN DETAIL, PROCEDURES TO MINIMIZE TRANSMISSION OF COVID-19 (SOCIAL DISTANCING, CLOSE CONTACT TIME, MAXIMUM OCCUPANCY, STAGGERED SCHEDULING, MASKS/PPE): THIS STUDY WILL FOLLOW ALL UNIVERSITY OF MISSISSIPPI PROTOCOLS AS ADVISED BY THE CDC. TO MITIGATE HEALTH RISK, SUBJECTS MAY BE INTERVIEWED THROUGH A VIRTUAL PLATFORM.**
2. **DESCRIBE, IN DETAIL, PROCEDURES TO SCREEN PARTICIPANTS AND RESEARCH PERSONNEL FOR COVID-19 SYMPTOMS PRIOR TO EACH RESEARCH SESSION: THIS STUDY WILL FOLLOW ALL UNIVERSITY OF MISSISSIPPI PROTOCOLS AS ADVISED BY THE CDC.**
3. **DESCRIBE, IN DETAIL, PROCEDURES FOR REPORTING AND REACTING TO POSITIVE COVID-19 CASES AMONG PARTICIPANTS AND RESEARCH PERSONNEL: THIS STUDY WILL FOLLOW ALL UNIVERSITY OF MISSISSIPPI PROTOCOLS AS ADVISED BY THE CDC.**
4. **DESCRIBE, IN DETAIL, PROCEDURES FOR RAPID RAMP-DOWN OF RESEARCH ACTIVITIES IF NECESSARY: TO MITIGATE HEALTH RISK, SUBJECTS MAY BE INTERVIEWED THROUGH A VIRTUAL PLATFORM.**

PRINCIPAL INVESTIGATOR'S ASSURANCE

I have reviewed the IRB guidance at <http://research.olemiss.edu/irb/covid-19> and agree to adhere to this guidance.

As Principal Investigator, I, and all key personnel, will comply with all applicable University, School/College, Departmental, and/or Unit specific policies, protocols, and parameters related to COVID-19, as well as with all applicable federal, state, and local public health guidance. I recognize policies, protocols, parameter, and guidance are subject to change at any time. I will stay informed of the most current information and obtain IRB approval prior to implementing any necessary changes in the research protocol.

I certify that I, and all key personnel, have completed the required UM COVID-19 training and include documentation (e.g. screenshot) for each research team member with this appendix.

Melissa Hodge-Penn

8/2/2021

Typed Signature/Name of Principal Investigator

Date

APPENDIX D

ORSP DATA REQUEST

Monday, December 20, 2021 at 11:39:55 AM Eastern Standard Time

Subject: Re: Request for ORSP Data (RESENDING)

Date: Wednesday, November 24, 2021 at 9:33:38 AM Eastern Standard Time

From: Joseph Rhea Gladden

To: Melissa Hodge-Penn, Mickey McLaurin

Hello Ms. Hodge-Penn and thank you for your data request. I am granting your request for data and hope that the results of this study will help advance the research mission and impact at the University of Mississippi. Please work with Mickey McLaurin to identify and acquire the data.

Best of luck,

Josh Gladden

J.R. (Josh) Gladden, Ph.D.

Vice Chancellor for Research and Sponsored Programs

Prof. of Physics

313 Lyceum

P.O. Box 1848

University of Mississippi

O: 662-915-7428

F: 662-915-7494

www.research.olemiss.edu

www.phy.olemiss.edu/~jgladden

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copies of the message, whether in electronic or hard copy format, as well as attachments, and immediately contact the sender by replying to this email.

From: Melissa Hodge-Penn <mhodge@olemiss.edu>

Date: Tuesday, November 23, 2021 at 12:33 AM

To: Joseph Rhea Gladden <jgladden@olemiss.edu>

Subject: Request for ORSP Data

Dear Dr. Gladden,

My name is Melissa Hodge-Penn and I am a School of Education doctoral candidate in the Department of Higher Education. Under the direction of Dr. Amy Wells Dolan, my research is exploring perception of faculty at the University of Mississippi. My project title is Socialization to Research and Sponsored Programs Administration Through Transformative Learning: A Qualitative Exploration of Faculty Perceptions at the University of Mississippi. I have submitted my IRB application and have been approved for this research. To this, I am contacting you to request your permission to obtain and use the names of active sponsored program investigators who have been with the university no less than one year and no more than seven years. If you agree to grant my request, I ask that you provide an affirmative response to this email along with

Page 1 of 2

the point of contact for your office to arrange for transfer of the data. Upon receipt, I will begin contacting active faculty for targeted recruitment to participate in the research study. The data provided will be for the explicit use stated above and will not be shared. The data will upon completion of the research be properly discarded for the protection of those named in the data. I appreciate you examining this request for data. I assure you that all protocols will be followed, and privacy regulations adhered to. If you have any questions or concerns, my contact information is mhodge@olemiss.edu.

Kind regards,
Melissa Hodge-Penn, Doctoral Candidate
Department of Higher Education
School of Education
University of Mississippi

Page 2 of 2

APPENDIX E

HR DATA REQUEST

Monday, December 20, 2021 at 11:41:18 AM Eastern Standard Time
Subject: RE: Request for HR Data
Date: Thursday, December 2, 2021 at 4:45:32 PM Eastern Standard Time
From: Craig Richmond
To: Melissa Hodge-Penn
CC: Madison Hickey, Andrea Jekabsons

Hi Melissa,

Thanks for reaching out. We would be happy to verify the employment status and email addresses for the employees listed in your spreadsheet. I have forwarded the spreadsheet to our HR Intern, Madison Hickey, who will verify the information for you. She will be in touch once the data has been verified. Let us know if you need anything else.

Best,
Craig
Craig Richmond
Human Resources Generalist
VC for Administration & Finance
Human Resources
The University of Mississippi
P.O. Box 1848
Jackson Ave Center- Central, 1111 West Jackson Ave
University, MS 38677-1848
USA
O: +1-662-915-5430
bcrichmo@olemiss.edu | www.olemiss.edu

From: Melissa Hodge-Penn
Sent: Thursday, December 02, 2021 2:20 PM
To: Andrea Jekabsons <andreamj@olemiss.edu>; Craig Richmond <bcrichmo@olemiss.edu>
Cc: Melissa Hodge-Penn <mhodge@olemiss.edu>
Subject: Request for HR Data
Importance: High

Dear Ms. Jekabsons and Mr. Richmond,

My name is Melissa Hodge-Penn and I am a School of Education doctoral candidate in the Department of Higher Education. Under the direction of Dr. Amy Wells Dolan, my research is exploring perceptions of faculty at the University of Mississippi. My project title is Socialization to Research and Sponsored Programs Administration Through Transformative Learning: A Qualitative Exploration of Faculty Perceptions at the University of Mississippi. I have submitted my IRB application and have been approved for this research. I have been approved by Dr. Josh Gladden to access the attached data from ORSP. In review of the data provided, I need to verify that the names of individuals listed on the Awarded Investigators tab and the

Proposers Unfunded tab of the workbook are currently employed at the University of Mississippi and that their emails are correct. To this, I am contacting you to request verification of those names listed and the status of employment with the university. If you agree to grant my request, I ask that you provide an affirmative response to this email along with the point of contact for your office to arrange for transfer of the data. Upon receipt, I will begin contacting active faculty for targeted recruitment to participate in the research study.

The data provided will be for the explicit use stated above and will not be shared. The data will upon completion of the research be properly discarded for the protection of those named in the data.

I appreciate you examining this request for data. I assure you that all protocols will be followed, and privacy regulations adhered to. If you have any questions or concerns, my contact information is mhodge@olemiss.edu.

Kind regards,
Melissa Hodge-Penn, Doctoral Candidate
Department of Higher Education
School of Education
University of Mississippi

APPENDIX F

PARTICIPANT INVITATION

Subject: Socialization to Research and Sponsored Programs: Faculty Perceptions Survey - Your Participation is Requested!

Date: Wednesday, December 8, 2021 at 11:04:35 AM Eastern Standard Time

From: Melissa Hodge-Penn

To: Melissa Hodge-Penn

BCC:

Melissa Hodge-Penn, a student in the School of Education's (SOE) Department of Higher Education is inviting faculty who have submitted a proposal to or been awarded by an external funding agency for a sponsored project and are classified as an Assistant or Associate tenure track professor to participate in a study of those faculty's socialization to research and sponsored programs.

Socialization is defined as a process through which individuals become a part of and identify with a group, organization, or community. Most learning and socialization influences occur during the career-entry and early-career stages. It is during this time that new faculty establish themselves within the profession and develop characteristics that align to institutional goals.

Participation in the study involves taking part in an one-hour recorded interview.

This research was reviewed by the University of Mississippi Institutional Review Board (IRB). Some of the foreseeable risks or discomforts of your participation may include recalling any difficult or challenging experiences or feelings related to your professional success. Some of the benefits of your participation may include sharing positive experiences or feelings related to your professional success.

Participation in the study is voluntary and confidential. Participants may withdraw from the study at any time for any reason. Your completion of the survey indicates your consent to participate in this study.

If you have any questions or concerns about this survey, please contact Melissa Hodge-Penn at mhodge@olemiss.edu.

Follow this link to the Survey:
Take the Survey

APPENDIX G

SEMI-STRUCTURED INTERVIEW TOPIC GUIDE

The first set of questions address your Aspirations to become a University Faculty Member

1. Describe your educational and professional background and the steps that you took to become a faculty member engaged in sponsored research at the University of Mississippi?
2. Was your decision to become a faculty member engaged in sponsored research influenced by one of your former faculty members or someone else?
 - a. What if any advice did, they provide (professors, family, friends, etc.)?

The next set of questions will delve into your Graduate School Experience

3. During your graduate studies, were you a research assistant?
 - a. If yes - What were your responsibilities as a research assistant?
 - b. If no – Why didn't you serve as a research assistant?
4. During your graduate studies, what was your experience in applying for fellowships?

As I stated, this research is about your faculty perceptions and the last few questions are specifically seeking information from your Faculty Experience

5. What were the programs, resources, or incentives that made the University of Mississippi a preferred institution for research and sponsored programs?
6. When you started your faculty position at the University of Mississippi, what was the orientation process for you regarding sponsored programs?
7. What is your relationship like with your faculty mentor?
 - a. How long have they been your mentor?
 - b. What sponsored research activities have you worked on together?
8. What challenges or barriers have you experienced as a faculty member at the University of Mississippi as a sponsored programs researcher?

9. How would you describe this University of Mississippi's culture regarding research and sponsored programs?
10. Think about your opinions and expectations prior to you becoming a faculty member with sponsored programs research responsibility -
 - a. How has your perception changed as a result of your sponsored research experience at the University of Mississippi?
 - b. What beliefs or attitudes have you adopted in order to adjust to your faculty role while engaged in sponsored research?
11. How do these beliefs and attitudes inform your work with graduate students?

This concludes the interview. Do you have any questions of me or additional comments?
I thank you for your time, if needed would you be okay with a follow-up conversation?

APPENDIX H

CODEBOOK

Name of codes	Description of codes
A: Applying for fellowship	This code describes participants' experiences applying for a fellowship at the University of Mississippi.
A.1: Competitive process	This code refers to instances where participants pointed out that the fellowship application process was competitive.
A.2 Faculty members did not apply for any fellowship.	This code refers to instances where the participant indicated that they did not apply for the fellowship.
A.3: Fellowship guidelines differ from practice.	This code refers to instances where participants observed that the fellowship guidelines differed from what the University practiced.
A.4: Had no guidance	This code refers to instances where participants indicated that they received no guidance in the fellowship application process.
A.5: Networks are essential to get the fellowship.	This code refers to situations where the participant reported that people in their networks supported them in the fellowship application.
A.6: Not supportive advisor	This code refers to instances where participants indicated that their advisor was not supportive in their fellowship application.
A.7: Supportive advisor	This code refers to instances where the participant received support from their advisor in the fellowship application process.
B: Becoming faculty members	This code describes the participants' journey into becoming faculty members

Name of codes	Description of codes
B.1: Mentors guidance to become faculty members	This code describes how mentors contributed to the participants becoming faculty members.
B.2: Others guiding faculty members	This code describes faculty members' guidance from other individuals who were not their mentors towards becoming faculty members.
B.3: Challenges experienced prior to joining the University of Mississippi	This code refers to challenge's participants experienced prior to joining the University of Mississippi
C: Beliefs and attitudes adapted to fit into a faculty role	This code refers to the various beliefs and attitudes that research faculty had adopted in order to fit into the culture at the University of Mississippi
C.1: Better faculty orientation to ORSP	This code refers to a recommendation that research faculty require a better orientation to ORSP, including membership, functions, and funding guidelines.
C.2: Faculty members selective in the funding application	This code refers to instances where participants indicated that they were utilizing their past experiences to select promising funding applications
C.3: Faculty to consistently apply for funding	This code refers to a recommendation that faculty members consistently apply for funding to increase their chances of success.
C.4: Researcher independence and collaborations	This code describes participants' perspectives on the value of a researcher's independence to thrive in academia and how collaborations can hinder it.
C.5: Shielding graduate students from University weaknesses	This code refers to situations where participants indicated they had resolved to

Name of codes	Description of codes
	protect their graduate students from the weak University culture.
D: Challenges of academia at Mississippi	This code refers to the challenges participants face in academia and barriers they must overcome.
D.1 Balancing motherhood and academia is tough.	This code refers to instances where participants indicated that they had challenges balancing their careers in academia and motherhood.
D.2 Communication barriers	This code refers to communication barriers between the unit, University accounting department and ORSP
D.3 COVID 19 related challenges	This code refers to participants' challenges related to COVID 19, such as modifying the research process.
D.4 The funder does not prefer the University of Mississippi	This code refers to the National Science Foundation preference for more prominent institutions that excludes Mississippi
D.5 Inadequate support on grant writing	This code refers to situations where participants indicated that there was limited support for research faculty in grant writing.
D.6 Lazy staff offered tenure.	This code discusses instances where faculty members who did not deserve were offered tenure.
D.7 Lengthy and complex grant process	This code refers to narratives that depict the grant application as complex and lengthy.
D.8 Limited resources	This code refers to limited human resources and lack of infrastructure or infrastructure availability in poor condition.

Name of codes	Description of codes
D.9 Low salary	This code refers to instances where participants reported that a low salary was a challenge for research faculty
E. Educational and professional background	This code describes the education and professional experience of participants.
E.1: Grant writing experience	This code refers to participants' experiences in grant writing prior to joining the University of Mississippi.
E.2 Research experience	This code refers to participants' research experience before joining the University of Mississippi. These experiences were often mentioned as part of graduate and doctoral studies and professional roles in research organizations outside academia.
E.3: Teaching experience	This code refers to participants' teaching experiences prior to joining the University of Mississippi.
E.4: When did faculty members decide to get into research?	This code indicates the time or period when a participant decided that they wanted to join research faculty.
E.5: Writing and publishing papers	This code refers to narratives where participants indicated that they had participated in writing and publishing grants as part of their graduate or doctoral studies.
F: Facilitators to join University of Mississippi	This code is an aggregate node that outlines the various reasons participants chose the University of Mississippi.
F.1 Availability of a competitive Salary	This code refers to instances where a participant indicated that the availability of a competitive salary influenced their decision to join faculty at the University of Mississippi

Name of codes	Description of codes
F.2 Attracted by research	This code refers to situations where participants indicated that they were attracted to the University of Mississippi by its research reputation.
F.3 Available support in grant and program work	This code refers to the research faculty's perception that the University of Mississippi had faculty members who could offer new members support in grant writing and program work.
F.4 Nothing unique about Mississippi University	This code refers to a participant's sentiments that the University had nothing unique to offer compared to other universities.
G: Mentorship experience at University of Mississippi	This code refers to participants' perceptions of their mentorship experience at the University of Mississippi.
G.1 Had formal faculty mentor	This code refers to the experiences of research faculty who had been allocated a formal mentor.
G.2 Has no formal faculty mentor	This code refers to experiences of research faculty who reported that they lacked a formal mentor.
H: University of Mississippi research and sponsored programs culture	This code is an aggregate node that describes the culture at the University of Mississippi from the participants perspective
H.1 Difficult to find collaborators on projects	This code describes a setback experienced by some faculty members who indicated that they could not easily identify external grant collaborators.
H.2 Limited funding to reach R1 status	This code includes participants' opinions on the limited resources (funding and personnel) to earn the R1 status adequately.

Name of codes	Description of codes
H.3 Mentorship of research faculty	This code describes the mentorship culture at the University of Mississippi and how that affects research faculty.
H.4 Poor coordination of grant applicants or beneficiaries by ORSP	This code refers to various examples where ORSP was reported to have poor grant coordination skills
H.5 Some departments or units do not prioritize research	This code refers to a situation where some departments or units at the University of Mississippi did not prioritize research. The lack of support from such units was interpreted as a failure to prioritize research.
H.6 Staff overstretched	This code refers to human resource inadequacies at the University of Mississippi and how that affects research faculty.
H.7 Supportive colleagues or faculty	This code includes experiences where participants indicated that colleagues and faculty members were supportive of them.
H.8 Words and not actions	This code refers to instances where the administration at the University of Mississippi had given empty promises to faculty members
I: Orientation at the University of Mississippi	This code refers to the research faculty's perceptions about new faculty members' availability or lack of orientation.
I.1 Had orientation program	This code describes participants' experiences who indicated that they had received orientation when they joined the University of Mississippi.
I.2 No orientation program	This code describes participants' experiences who indicated that a formalized orientation program was not available for new faculty members at the University of Mississippi.

Name of codes	Description of codes
J: Relationship with graduate students	This code describes how the culture at the University of Mississippi affected the relationship between participants and their graduate students
J.1 Engaging in mentorship or coaching	This code refers to participants resolve to mentor and coach graduate students based on their perception of the culture at the University of Mississippi.
J.2 Protective of their research time	This code refers to the participants desire to protect the graduate students research time based on their perception of the culture at the University of Mississippi
J.3 Faculty is supportive of graduate students	This code refers to the participants decision to offer support to graduate students in various ways.

MANUSCRIPT 3

INTRODUCTION

This three-manuscript dissertation qualitatively explored the transformative learning of 10 tenure track faculty and their socialization to sponsored programs and research at the University of Mississippi. The first manuscript described the limited documentation relative to the socialization of faculty at the University regarding to sponsored programs and research. Manuscript One also delineated the effects of not being properly socialized, resulting in a lack of knowledge and success pertaining to the administration of sponsored programs and research. It also contained my professional positionality on the problem of practice, the conceptual framework, research questions, and methodology. The second manuscript presented the data, which were organized into themes based on four research questions. This third and final manuscript included an in-depth analysis of the findings, recommendations for practice, and future research.

SUMMARY OF THE PROBLEM OF PRACTICE (POP)

Socialization is an important aspect of knowledge acquisition. Socialization in higher education begins prior to new faculty members joining their respective institutions. In this process, an individual takes on the knowledge, values, attitudes, and expectations of a group within an organization (Merton et al., 1957; Staton & Darling, 1989). For a research faculty, the depth of knowledge and understanding is essential in order to succeed in obtaining sponsorships for research. Knowledge acquisition is one of the obligations of research faculty members in

gaining sponsored funding. Unfortunately, not all faculty enter their profession prepared to be fully successful in their sponsored research responsibilities and thus face challenges in the writing, development and administration of grantsmanship. The lack of such knowledge may result in frustration for faculty members when seeking grants to support their research.

Therefore, socialization is promoting knowledge acquisition for research faculty members.

The basis for the conduct of this research was the argument that improving awareness of the needs of early-career faculty during their transition from graduate school into higher education was useful in offering recommendations to prepare future faculty in obtaining knowledge needed for securing sponsorships. This study was focused on examining faculty socialization at the University of Mississippi, a public R1 university, regarding research and sponsored program administration through the lens of transformative learning. The focus was on the University of Mississippi, which is a large public research university, wherein research activity of staff and students is high. Therefore, focusing on exploring how research activity funding is beneficial to this university, in terms of promoting inventiveness, exploring different perspectives, and fostering scientific innovation.

The study identified four research questions to address its purpose:

RQ1: How do sponsored programs and research faculty perceive doctoral education's value or effectiveness in helping them form professional identities that support their research as a faculty member?

RQ2: How are sponsored programs and research faculty socialized for research into the university?

RQ3: How do sponsored programs and research faculty perceive socialization as a barrier or incentive to advancing their research as faculty members?

RQ4: How do faculty experience transformative learning in their socialization to research as sponsored programs and research faculty?

In line with the problem of practice within the chosen local setting and the four research questions, Finkelstein's (1984) transformative learning factors were adopted in this study to explore the faculty socialization at the University of Mississippi, a public R1 university, regarding research and sponsored program administration. Finkelstein's transformative learning factors involve faculty research orientation, highest degree attained, early (career) publication, previous (graduate) publication activity, communication with disciplinary colleagues, number of journal subscriptions, and time allocation among the different components of the academic role. Together with Finkelstein's transformative learning factors, this study is based on Mezirow's (2009) theory of transformative learning theory, which described how learners understand, authenticate, and reconfigure the meaning of their experiences. In conducting this phenomenological study, transformative learning theory was used as lens for viewing the data collected about faculty socialization at the University of Mississippi in terms of research and sponsored program administration. As a result, the Finkelstein's and Mezirow's concepts and factors related to transformative learning were expanded to consider sponsored program aspect of research.

Data was collected from semi-structured interviews with 10 faculty members. Data collection lasted for two weeks. Interviews were conducted online through a web-based meeting platform. Each interview was transcribed using a professional service. Data on the interviews are stored on the cloud and the computer with password protection and other cybersecurity safeguards in place. To analyze the data collected, the researcher used the thematic analysis steps of Braun and Clarke (2006): (a) data familiarization, (b) coding, (c) determination of themes, (d)

validation of themes, (e) defining the themes, (f) composite description of themes. The confidentiality of participants was maintained with the omission of any identifying information for each interview transcripts.

SUMMARY OF FINDINGS

The findings of the study are based on the four research questions. For the first research question, one theme emerged: (1.1) Research faculty perceived that their doctoral education at the University of Mississippi had shaped their values, attitudes, and practices. For the second research question, two themes emerged: (2.1) Sponsored programs and research faculty perceived that they were socialized to research through learning by doing; (2.2) Sponsored programs and research faculty perceived that mentorship was an integral part of socialization into research. For the third research question, two themes emerged: (3.1) Sponsored programs and research faculty perceived that there were challenges to advancing their research as faculty members; (3.2) Sponsored programs and research faculty perceived that there were facilitators to advancing their research as faculty members. For the fourth research question, one theme emerged: (4.1) The education and professional backgrounds of the research faculty had influenced their decision to join doctoral research.

Research Question 1

The first research question is about research and program faculty's perception of the value and effectiveness of doctoral education in shaping their professional identities. From the answers of the 10 participants, the theme that emerged was the perception that experiencing doctoral education in the University of Mississippi shaped research faculty's values, attitudes, and

practices. According to the transformative learning theory, it is through experience by which a person can gain insight and validate discourse (Mezirow, 1978). Therefore, the emergent theme for the first research question directly aligned with the transformative learning theory.

Among the values and practices expressed in relation to theme 1.1 was the importance of securing grants for career growth and institutional reputation. From their education in an R1 institution, faculty members have imbibed the culture of research and the importance of funding for these activities. In the realm of research, funding for scholarly works, as well as applied research and development, has been given importance and budget in the US (Demers, 2019). Therefore, participants have expressed that the practices of grant writing and proposing to secure sponsorships have also been adopted among the research faculty members. Eisenberg (1988) claimed that grant writing and grant proposing are a delicate process for both the grantor and the grantee; thus, learning these practices is essential to an R1 university, such as the University of Mississippi and its faculty. Therefore, the main context of this theme is aligned with the theoretical foundations of this study, which involved the concepts of transformative learning theory.

Research Question 2

The second research question was about the manner by which sponsored programs and research faculty became socialized for research. From the answers of the 10 participants, the first theme that emerged for the second research question was the perception of being socialized to research through learning by doing. According to participants, research faculty members learned about the University's research procedures and processes by actively engaging with the existing systems. For theme 2.1, participants have expressed that they were socialized by attending

orientations or by actual engagement of practice within the University without necessarily undergoing formal training. However, those without formal training had to experience several grant rejections before acquiring successful sponsorships for research. Similarly, interactions with ORSP have enabled the participants to gain skills for socialization needed to ensure successful grants for research. Looking into the concept of learning through experience under the transformative learning theory (Mezirow, 1978), it may be deduced that the essence of theme 2.1 conformed to the theory. Moreover, Bilbao et al. (2008) claimed that socialization through implicit activity happens to individuals by them being in the environment.

A second theme also emerged for the second research question. In theme 2.2, it was revealed that that mentorship was integral part of socialization into research. Mentorships were characterized to be either formally-designated or informally-derived. Formally-designated mentors were assigned through a process within the University. In some cases, formally assigned mentors were helpful, easily accessible, and supportive. However, selecting a secondary mentor or an informally-derived mentor was found to be more helpful for others, especially in terms of grant development. Through mentorships, especially informal mentorships, successful grants have been more common.

Research Question 3

The third research question was about the perception of socialization as a barrier or incentive to advancing their research as a faculty member. From the answers of the 10 participants, the first theme that emerged was socialization presented challenges to research advancement. The several challenges to advancing research were: (a) the long and complex process of grant application; (b) inadequate communication between ORSP, the University

accounting department, and the grant recipients; (c) some units were under-resourced in human resources and infrastructure; thus, limiting the availability of resources that research faculty members access and utilize when undergoing the process of grant application (d) the University rewarded faculty members in achieving tenure that may not be deserving of the status, (e) the lack of formalized orientation process for new faculty at the unit level; (e) the National Science Foundation (NSF) preferred big institutions in their grant's allocation; (f) inadequate support for research faculty in grant writing; (g) the global COVID-19 pandemic.

The second theme for the third research question was about facilitators to advancing their research as faculty members. The facilitating factors include: (a) the reputation of the University as a top doctoral research institution; (b) allowing the transfer of research grant from previous university to the University of Mississippi; (c) access to experts in the field of study, (d) competitive salary; (e) a perception of receiving support in their grant and program work from the University. Overall, more barriers were identified in theme 3.1, as compared to the facilitator of research in theme 3.2. It may be inferred that the challenges had more prominent or lasting impression on research faculty members, as compared to facilitators that were helpful in advancing research.

Research Question 4

The fourth research question was about the experiences of transformative learning in socialization to research. Only one theme emerged from the data for the fourth research question: education and professional backgrounds of the research faculty had influenced their decision to join doctoral research. Having previous experiences in graduate research, grant writing, publishing, and teaching were essential to the decisions of research faculty to join doctoral

research. Research faculty gained essential skills through participating as research assistants or taking up professional roles in research organizations outside academia. Such finding is not uncommon, as relevant experiences tend to influence the decisions and skills development of individuals (Mezirow, 1978; Tierney & Rhoads, 1993).

ANALYSIS OF FINDINGS

The University of Mississippi has nine academic colleges, of which one has decentralized research administrative support. While there was consistency in the types of comments made about socialization to sponsored programs administration among respondents, there was a disparity in graduate experiences, knowledge and resources of faculty. Considering this fact, it was expected that those respondents with more leveraged resources and research administrative support would have more positive perceptions about their socialization. The researcher learned that this was not the case and was evidenced in the responses made by participants.

Analysis of the data revealed that faculty with sponsored research responsibility selected UM as a preferred institution based upon the documented facilitators. As a result of this research, the investigator acknowledged that their premise was supported. Faculty who have a lacked of specific knowledge with regard to sponsored programs office roles and responsibilities did become frustrated and disengaged when not properly socialized. The researcher also recognized that the perceived barriers of the faculty that were presented are critical areas that should be acknowledged by the institution's administrators and policy makers. By way of this research, participants shared perceptions and exposed concerns that while related to their socialization to sponsored programs administration, may be beyond the scope of the sponsored programs office to address. Because this research focused on faculty who have an expressed interest in

sponsored research, a limitation of this research was that it does not focus on or address the tensions in philosophy between faculty who want to primarily teach versus research. Additionally, it did not inquire about the perceptions or potential rewards for faculty not grounded in sponsored research.

While the participants were of an homogeneous background, given the respondents' expressed perceptions of the availability of formal mentorship programs and their perceptions of the University's units providing support to faculty, coupled with their perception of the number of barriers they were subjected to; it is reasonable to expect that had the participants experienced programs that socialized them to research and sponsored programs in a more effective manner, their perceptions would be more positive. Thus, faculty who take part in applying for and managing externally funded projects would in-turn have greater regard for the institution's investment to facilitate their success. As such, the transformative learning that occurred would be based upon different experiences and beliefs resulting in different perspectives.

RECOMMENDATIONS FOR PRACTICE

The exploration in this study have included data on the perceptions of faculty at the University of Mississippi and their socialization experiences to research and sponsored program administration through the lens of transformative learning. From the data collection and analysis, six themes emerged to address the four research questions of the study. In theme 1.1, the values, attitude, and practices of research faculty are aligned with the chances of obtaining research grants. The core implication of this main finding of theme 1.1 is the having values, attitude, and practices that are aligned with the objective, which is winning research grants. Moreover, from theme 1.1, it was learned that experiences shape the values, attitudes, and practices of research

faculty. Based on theme 1.1, it is recommended that research Universities imbibe a culture that promotes the importance of research among its faculty. Furthermore, to improve the chances of winning grants, it is recommended that research universities, like the University of Mississippi, encourage faculty researchers to develop useful strategies to ensure successful grant application. Administrative support through providing resources and training to research faculty must be in place to equip these researchers with the effective strategies that they may use in applying for grants. These strategies and trainings may focus on dealing with the tedious process of documentation during grant application, which has been a concern, was also expressed in the findings of this study. Providing this support may also mitigate the negative experiences that participants expressed when dealing with grant application.

According to Theme 2.1, there were situations whereby participants learned about the University's research procedures and processes by actively engaging with the existing systems. Most of the participants learned and became successful in the process of grant application because of experience, rather than through training. However, the issue was not about training as an ineffective strategy. Rather, the issue with training was the lack of useful content when it comes to sponsorship acquisition. The main implication of theme 2.1 for practice is the need to enhance training for grant writing among research faculty. Therefore, it is recommended that a research University's administration give importance to training for grant writing. Providing guidelines and support to research faculty about proper process for undergoing grant writing may minimize unsuccessful applications for sponsorships.

In theme 2.2, mentorships were highlighted. I found that the assignment of formal mentors to researchers has been inconsistent – some had formally-assigned mentors, while most of the majority of the participants did not. These mentors were found to be supportive in

different areas, which include grant writing, reviewing grant application documents, and recommending participants for grant approval. However, the usefulness of having a mentor is dependent on the extent of the mentor's knowledge about the grant application process and socialization or interaction with the participant or applicant. Based on theme 2.2, it is recommended that research universities formalize a mentorship program for research grant applicants to improve success rates for these research faculty members. The mentorship program must also ensure the placement of mentors with appropriate skills, knowledge, and practices in terms of guiding grant applicants to successfully acquire sponsorship.

Theme 3.1 was about the challenges that research faculty experienced at the University of Mississippi, in relation to research sponsorships. Majority of the challenges revolved around grant application, the complex process involved, inadequate communication between ORSP, accounting, and the participant's unit, and the limited resources for support of grant writing process and research. Based on the challenges that were identified in theme 3.1, it is recommended that administrators in a research University develop strategies to alleviate the burden of grant application processing. As previously mentioned, having a proper mentoring program for grant applicants must be in place to make application easier for research faculty members. This recommendation may address the challenge of the complex grant application process. Another recommendation is for university administrators to assign an inter-party communications board or team that will focus on ensuring efficient correspondence between the grant applicants and the sponsoring body (e.g., ORSP). The team may be composed of members of the University research department and the sponsoring arm of the ORSP. Having such team is useful for researchers in terms of communicating with ORSP or acquiring answers to questions to ORSP about sponsorships or grants.

In theme 3.2, the facilitators for research advancements among faculty members were identified. The prominent facilitators were reputation of the University as a research institution, availability of sponsored programs, and competitive salaries for research and program faculty. The main recommendation in line with theme 3.2 is to maintain the good reputation of the University as a research institution, to ensure that sponsored programs are open or available for application, and to keep salaries at a competitive level.

In the final theme 4.1, it was found that education and professional backgrounds of the research and program faculty had influenced their decision to join doctoral research. The interests had developed as they navigated through their graduate and doctoral studies. If the goal of research universities is to attract research faculty members that will persevere in an academic or research path, then their focus must be on attracting research faculty members with educational and professional background of research. Examples of these are those who have experiences as research assistants in the past.

To contextualize the learnings in terms of socialization to research and sponsored programs through a transformative learning lens and to better understand the findings, the following figure was developed as an adaptation of Miller (2010) and Nerstrom (2014) frameworks and layers the frameworks while placing a thematic statement along the sphere. These six thematic statements address the four research questions of the study and represent recommendations made to enhance institutional practices within the university to improve faculty perceptions and ultimately their sponsored research productivity.

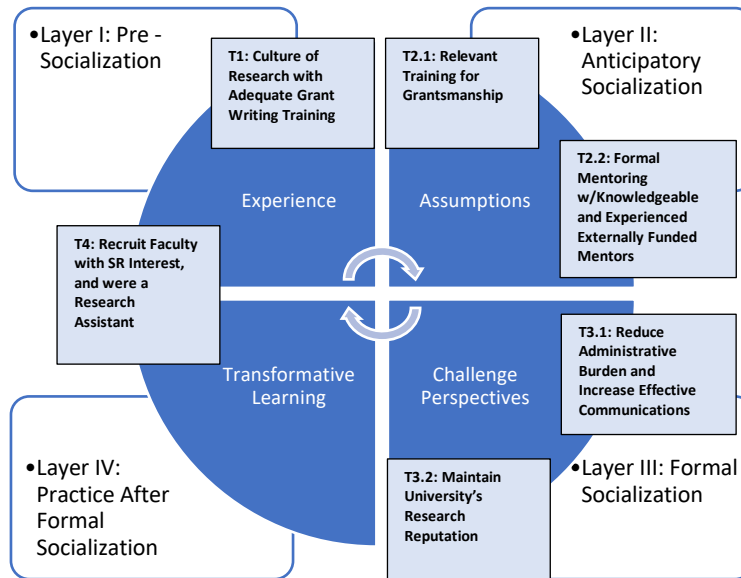


Figure 3: Hodge-Penn’s Adaptation of Miller (2010) and Nerstrom (2014) Frameworks

To improve practices as an administrative leader of sponsored programs at the University, these findings indicate that within the leader’s roles and responsibilities, that a shift of the culture should be included. According to de Caluwe and Vermaak (2004) changing and learning are connected. Thus, the objective of the shift in culture is to address how the transformative learning takes place and to tackle the type of socialization experiences faculty desire to be successful in their externally-sponsored program activities.

RECOMMENDATIONS FOR RESEARCH

Several areas of inquiry, which could further the understanding about how faculty experience socialization at the University of Mississippi remain. The data reveal that socialization is one of many factors that contributed to participants’ success in sponsored programs and research. Because socialization affects so many dynamics of professional development, it is difficult to use the data to specify the unique role socialization plays among

the other factors. This section suggests areas of study, which could enhance research and expand the application of the findings to other populations.

Recommendations for future research are also based on the limitations of the current study. The first limitation is based on the use of phenomenology as the research design. This design has limitations related to researcher bias. However, to address this limitation, the researcher has acknowledged the need to be self-aware of the multiple roles as a workplace professional, doctoral learner, and scholar to achieve independence. Based on this limitation, it is recommended that additional data collection source be used to expand the data set for this study and determine if the findings will change or be validated through data triangulation.

Another limitation of this study is that data cannot be generalized. Although generalization is not the objective of a qualitative study, it is recommended that transferability be improved. To enhance transferability of the study for future readers, increased depth in the reporting of participants' words and perspectives—along with triangulation from other document sources pertinent to the participants for deeper probing may be needed. This recommendation may be helpful in advancing scientific knowledge about the topic of this study.

SUMMARY OF THE MANUSCRIPT

The purpose of this qualitative phenomenological study was to explore faculty socialization within research and sponsored programs at the University of Mississippi, a public R1 university. In this third manuscript, the summary of the problem, methodology, and findings were presented. It was found that experience and expertise are important factors in ensuring success of grant or sponsorship acquisition for research faculty members. According to the participants' socialization, most of the faculty felt they had learned the institutions' values,

beliefs, and normative behavior through trial and error in addition to informal or formal mentoring from senior faculty members. A prevalent subtheme that was indicated by the participants' responses was that student focused orientation was used as a guide for their research, teaching, and service endeavors when they began their faculty experiences.

Based on the findings, the recommendations for practice included the importance of training for grant writing. It was recommended that guidelines and support must be in place to properly educate research faculty about proper process for undergoing grant writing to minimize unsuccessful applications for sponsorships. It was also recommended that mentoring program be developed while considering appropriate mentor qualification and proper mentor placement. Another recommendation for practice was to have an inter-party communications board or team between the sponsoring body and the university. Such a team may be considered useful in ensuring efficient correspondence between the grant applicants and the sponsoring body (e.g., ORSP), especially when it comes to accomplishing the documents needed for grant application. Maintaining the good reputation of the University as a research institution, ensuring that sponsored programs are open or available for application, and keeping salaries at a competitive level are also part of the recommendation to promote active research and development among faculty members. For future research, it was recommended that the depth of the study be expanded to determine if findings are transferable to other settings. Data sources may also be added for triangulation, which may improve the credibility or validity of the findings of this study.

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Advisor: Name
- BA** Grambling State University, Psychology December 1997

HONORS AND AWARDS

- Author Fellow** 2022
Cohort 6, Journal of Research Administration
Society of Research Administrators International (SRAi)
- Executive Leadership Academy for Women** 2017
Cohort 5, Georgia State University
- Grant Peer Reviewer** 2000 - 2014
Technical College System of GA, Adult Education and Family Literacy (AEFLA) Sub-grant
Georgia Department of Education, Striving Reader Comprehensive Literacy Sub-grant
English for Successful Living, Dollar General Literacy Grant
English for Successful Living, City of Sandy Springs Grant for Non-profits
National Institute for Mental Health, Research Viability
US Department of Education, High School Graduation Initiative (HSGI)
US Office of Head Start Grant (to include reviewer training)
United Way of Metropolitan Atlanta Certified Community Investment
(Impact Area, Outcome Measurement, Funding Priorities and Site Visit Procedures)

PROFESSIONAL EXPERIENCE

Assistant Vice Chancellor for Research, University of Mississippi, 2018 to Present
Office of Research and Sponsored Programs

Oxford, Mississippi

Delegated authority and oversight to the Office's operations to include strategic planning, administrative management, and resource investment with primary responsibility for university-wide Sponsored Programs Administration. Leading the university's Oxford and affiliate campuses ~\$118M research enterprise.

Director, Georgia State University, 2016 to 2018
College of Education and Human Development

Atlanta, Georgia

Administrative oversight and management of all contract and grant pre-award, award set-up and post-award research administration, including post award accounting functions to the College with ~\$22M research enterprise.

Associate Director, Georgia State University, 2015 to 2016
Perimeter College Office of Grants and Sponsored Programs

Atlanta, Georgia

College-wide administrative oversight, strategist, and management of all contract and grant pre-award and award set-up with ~\$9M award growth in less than six months.

Grants Manager, Emory University, 2014 to 2015
School of Medicine Department of Pediatrics

Atlanta, Georgia

Department-wide administrative oversight and management of all grant proposal development. Managed \$45 million sponsored research grants and contracts portfolio.

Director, Technical College System of Georgia, 2006 to 2014
Office of Adult Education, Workplace Education – Transition Services

Atlanta, Georgia

State Leader for the National Career Awareness Project and curriculum, piloted 4 college programs scalable to statewide dissemination.

Director, Georgia State University, 2002 to 2006
Andrew Young School of Public Policy – Neighborhood Collaborative

Atlanta, Georgia

Directed the Corporation for National and Community Services' Senior Corps Programs and staff; which included the Foster Grandparent Program (FGP), Senior Companion Program (SCP) and the Retired and Senior Volunteer Program and managed \$7.5 million funding allocation.

PRESENTATIONS AND INVITED LECTURES

2016 Region III NCURA Conference, Miramar, Florida

Presenter - Breaking Down Institutional Silos to Target Strategic Funding

2011 National College Transition Network, Providence, Rhode Island
Presenter – Integrating the NCA Curriculum in Unique Adult Education Settings

Argosy University, Graduate Education students, Atlanta, Georgia
Guest Lecturer - The Impact of Workplace Education to Business and Industry

Morehouse School of Medicine Prevention Research Center, Atlanta, Georgia
Guest Lecturer - Health Literacy Curricula for Low Literacy

Emory University/Rollins School of Public Health, Decatur, Georgia
Guest Lecturer - Health Literacy and Health Policies

INSTITUTIONAL ADVISORY COMMITTEES

University of Mississippi Research Round Table

University of Mississippi Associate Deans of Research Advisory Committee

University of Mississippi Research Center Directors' Advisory Committee

University of Mississippi Student Experiential Learning Advisory Committee

University of Mississippi University Research Board (non-delegate)

University of Mississippi Innovation HUB Tenant Selection Committee

University of Mississippi Industry Engagement Committee

University of Mississippi Chancellor's Commission on the Status of Women – Campus
Climate/Work-Life Alignment Working Group
University of Mississippi Women in Executive Leadership

PROFESSIONAL AFFILIATIONS

PROFESSIONAL ASSOCIATIONS

APLU Council on Governmental Relations – University of Mississippi Representative

Federal Demonstration Partnership – University of Mississippi Administrator

American Society of Public Administrators

Grant Professional Association (Georgia Chapter)

International Society of Research Administrators (iSRA)

National Council of University Research Administrators (NCURA) Region III

National Forum of Black Public Administrators (NFBPA) Atlanta Chapter

National Grants Management Association (NGMA)

SOCIAL and CIVIC

Delta Sigma Theta Sorority, Inc., Tupelo Alumnae Chapter
Jack and Jill of America, Inc., Greater Metropolitan Atlanta Chapter
Junior League of Metro Atlanta

COMMUNITY SERVICE

Court Appointed Special Advocate (CASA) Lafayette County Mississippi

CASA Volunteer, Oxford, MS 2019 – Present

Georgia PTA

Director, District 10 (Atlanta, North Fulton, South Fulton Councils) 2013 – 2016

Atlanta Public Schools

Member, Superintendent Search Committee, Atlanta, GA 2013 – 2014

Dekalb County Georgia Community Service Board (CSB)

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