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November 15, 2016

Director Michael Cohen
Department of Finance
915 L Street
Sacramento, California 95814

The Honorable Mark Leno
Chair, Joint Legislative Budget Committee
1020 N Street, Room 553
Sacramento, California 95814

Dear Director Cohen and Senator Leno:

Pursuant to Item 6440-001-0001 of the 2016 Budget Act, Provision 4.2 (d)(1) (SB 826, Chapter 23, Statues of 2016), enclosed is the University of California's report to the Legislature and the Department of Finance on the *Use of One-time Funds to Support Best Practices in Equal Employment Opportunity In Faculty Employment.*

If you have any questions regarding this report, Interim Associate Vice President David Alcocer would be pleased to speak with you. He can be reached by telephone at (510) 987-9113, or by email at David.Alcocer@ucop.edu.

Yours very truly,

Janet Napolitano
President

Enclosure

cc: Senate Budget and Fiscal Review Committee
The Honorable Marty Block, Chair
Senate Budget and Fiscal Review Subcommittee #1
(Attn: Ms. Anita Lee)
(Attn: Ms. Cheryl Black)
The Honorable Kevin McCarty, Chair
Assembly Budget Subcommittee #2
(Attn: Mr. Mark Martin)
(Attn: Ms. Katie Koerber)

Ms. Peggy Collins, Joint Legislative Budget Committee
Mr. Danny Alvarez, Secretary of the Senate
Ms. Tina McGee, Legislative Analyst's Office
Ms. Amy Leach, Office of the Chief Clerk of the Assembly
Mr. Jim Lasky, Legislative Counsel Bureau
Mr. E. Dotson Wilson, Chief Clerk of the Assembly
Mr. Jeff Bell, Department of Finance
Mr. Christian Osmena, Department of Finance
Ms. Maritza Urquiza, Department of Finance
Ms. Tina McGee, Legislative Analyst's Office
Mr. Mac Taylor, Legislative Analyst's Office
Mr. Jason Constantouros, Legislative Analyst's Office
Provost and Executive Vice President Aimée Dorr
Executive Vice President and Chief Financial Officer Nathan Brostrom
Senior Vice President Nelson Peacock
Vice Provost Susan Carlson
Vice President Pamela Brown
Interim Associate Vice President David Alcocer
Deputy to the Chief Financial Officer Kieran Flaherty
Executive Director Jenny Kao
Manager Bruce Kennedy

Use of One-time Funds to Support Best Practices in Equal Employment Opportunity in Faculty Employment

Legislative Report

December 2016

UNIVERSITY *of* CALIFORNIA

UNIVERSITY OF CALIFORNIA

Report on the Use of One-time Funds to Support Best Practices in Equal Employment Opportunity In Faculty Employment

The University of California provides the following report in response to item 6440-001-0001 of the 2016 Budget Act, Provision 4.2 (d)(1) (SB 826, Chapter 23, Statues of 2016), which states:

> "$2,000,000 is included on a one-time basis for a program for best practices in equal employment opportunity. (2) No later than December 1, 2016, the Regents of the University of California shall submit to the Director of Finance and the Legislature, in conformity with Section 9795 of the Government Code, a report that includes the number of ladder-rank faculty, disaggregated by race, ethnicity, and gender, and a description of the specific uses of these funds to support equal employment opportunity in faculty employment, including any systemwide training, monitoring and compliance."

Summary

This report provides the latest systemwide data on University of California ladder-rank faculty, disaggregated by race, ethnicity, and gender. It also provides a preliminary report on the uses of the $2,000,000 provided to UC to support equal opportunity in faculty employment, including systemwide training, monitoring and compliance. In planned expenditures on "pilot" projects at three campuses, UC is supporting new faculty diversity efforts that will supplement but not supplant other efforts already underway. UC believes this targeted use of the funds will allow the University to make progress in pilot units in a single year and will provide information on best practices for future efforts to increase faculty diversity across UC.

Background

UC remains committed to increasing the diversity of its faculty, particularly the presence of domestic under-represented minorities (African-American, Chicano(a)/Latino(a)/Hispanic, and Native American) and women. Every campus as well as UCOP has ongoing efforts to meet this goal; these will continue, in parallel with the one-time funding of $2 million from the state. For example, the President's Postdoctoral Fellowship Program (PPFP), which has annual expenditures over $6 million, continues to bring diverse faculty to UC, and had an all-time high of 22 new ladder-rank faculty members in 2016. In 2016-17, it has 70 scholars in the PPFP and companion Chancellors' Postdoctoral Fellowship Program. This increase in the number of fellows and the hiring of diverse faculty draws, in part, from the President's own commitment of $5 million to augment ongoing efforts to support these diverse scholars.

Annually, all ten campuses are committing funding and personnel to continue their ongoing efforts to support best practices in recruiting and retaining a diverse faculty. This includes, on all ten campuses, the following: monitoring of recruitment efforts, implicit bias and climate enhancement training, and use of a common on-line recruitment system which facilitates data collection about the diversity of candidate pools and finalist lists. Each campus has also built its own set of recruitment and retention practices to fit campus culture and needs; such practices include use of equity advisors in departments and/or schools; requiring "contributions to diversity" statements from job candidates; undertaking cluster hiring and planning for diverse cohorts of new faculty; designating endowed chairs to support diverse faculty; training search committees and performance review committees in implicit bias; building robust mentoring programs; increasing outreach to build diverse candidate pools; establishing campus advisory councils; using exit survey data to better understand why faculty leave and the cost to the campus with respect to faculty diversity; using benchmarking data to track and report progress on faculty diversity; advertising open faculty positions in a way that highlights support of diverse communities; and establishing campus-wide and department-level strategic action plans.

The additional one-time funding focused on just three campus schools/colleges allows UC to supplement these ongoing systemwide efforts with targeted efforts that may be transferable outside of pilot units.

Number of UC Ladder-rank Faculty, Disaggregated by Race/Ethnicity and Gender

Tables 1 through 6 present the latest data on the demographics of ladder-rank faculty systemwide. Ladder-rank faculty are those tenured or tenure-eligible faculty who have a full range of responsibilities in teaching, research, and service. This data draws from UC's 2016 Accountability Report (http://accountability.universityofcalifornia.edu/2016/): of most relevance are "Chapter 5: Faculty and Other Academic Employees" and "Chapter 7: Diversity." The UC Information Center (http://universityofcalifornia.edu/infocenter) also has interactive data on the "Diversity of UC's Faculty and Academic Appointees," including information by campus and by discipline.

The first two tables offer ladder-rank faculty data disaggregated by race and ethnicity and citizenship status (Table 1) and by gender (Table 2). Domestic underrepresented minority faculty (Black/African American, Chicano(a)/Latino(a)/Hispanic, and American Indian/Alaskan Native) constituted 7%, and international minority faculty (Black/African, Latino(a)/Hispanic) were 2%. Sixteen percent of the faculty are Asian/Pacific Islander/Native Hawaiian) and 75% are white. Because so many of UC's faculty are international, we track this identifier to ensure we fully understand the diversity of the faculty. Women are 32% of the ladder-rank faculty.

TABLE 1
Ladder Rank Faculty and Equivalent; Headcounts by Race/Ethnicity and Citizenship
Universitywide - October 2015

Race/Ethnicity/Citizenship	Headcount	%
Black/African American Dom	253	2%
Black/African Intl	43	<1%
American Indian/Alaskan Native	61	1%
Chicano(a)/Latino(a)/Hispanic Dom	451	4%
Latino(a)/Hispanic Intl	181	2%
Asian/Pacific Islander/Native Hawai'ian Dom	929	9%
Asian/Pacific Islander/Native Hawai'ian Intl	749	7%
White/Other Dom	6,350	61%
White/Other Intl	1,468	14%
Total	10,485	

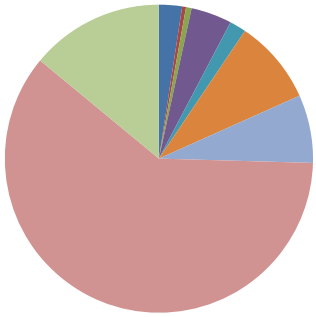
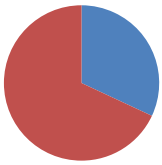


TABLE 2
Ladder Rank Faculty and Equivalent; Headcounts by Gender
Universitywide - October 2015

Gender	Headcount	%
Female	3,348	32%
Male	7,137	68%
Total	10,485	



There is greater diversity among the newest faculty at UC and we provide additional demographic information on hiring over the last nine years to provide detail on such recent hires. Table 3 displays data in three 3-year cohorts of hires to show the volume of hiring since 2006-07 and the presence of underrepresented minorities (URM) among the hires; we present the information in 3-year cohorts to smooth out peculiarities of any single year. There were 7.4% URM (domestic) and 2.7% URM (international) in 2006-07 to 2008-09; 10.4% and 1.6% of the same two groups in 2009-10 to 2011-12; and 9.8% and 3.1% in 2012-13 to 2014-15.

TABLE 3
Ladder Rank Faculty and Equivalent; New Hires by Race/Ethnicity and Citizenship
Universitywide – 2006-07 through 2014-15 in 3-year Cohorts

Race/Ethnicity/Citizenship	2006-07 to 2008-09	2009-10 to 2011-12	2012-13 to 2014-15
White/Other Intl	358	177	246
White/Other Dom	892	464	737
Asian/Pacific Islander/Native Hawai'ian Intl	149	89	159
Asian/Pacific Islander/Native Hawai'ian Dom	158	80	137
Latino(a)/Hispanic Intl	34	14	36
Chicano(a)/Latino(a)/Hispanic Dom	74	52	78
American Indian/Alaskan Native	12	5	15
Black/African Intl	12	1	9
Black/African American Dom	42	40	51
Total	1,731	922	1,468

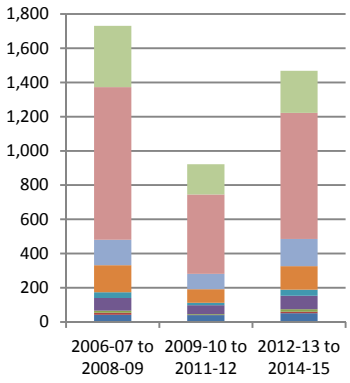


Table 4 offers comparable recent hiring data with a focus on gender. The percentage of women hired in the three 3-year cohorts went up gradually in this same time frame, from 36% of hires in 2006-07 to 2008-09; to 37% of hires in 2009-10 to 2011-12; and to 39% of hires in 2012-13 to 2014-15.

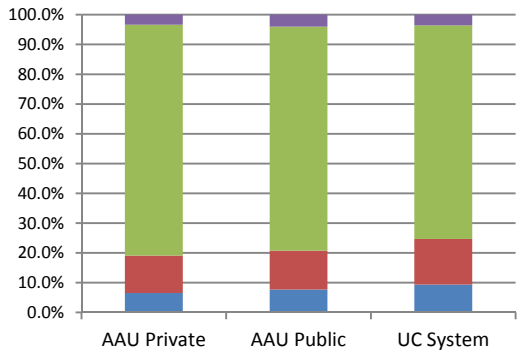
TABLE 4
Ladder Rank Faculty and Equivalent; New Hires by Gender
Universitywide – 2006-07 through 2014-15 in 3-year Cohorts

Gender	2006-07 to 2008-09	2009-10 to 2011-12	2012-13 to 2014-15
Male	1,104	578	893
Female	627	344	575
Total	1,731	922	1,468

To contextualize these data in one additional way, we are providing comparable data from the American Association of Universities (AAU) Private and Public Universities (Tables 5 and 6). It is important to note that available data from the AAU does not include disaggregation by citizenship status, but does provide a "non-resident Alien category" that is not equivalent to the citizenship status UC uses. Thus, the UC data presented in Table 5 presents the data on citizenship, race, and ethnicity in an alternate way from that presented in Table 1 and Table 3. UC's categories of "Domestic" and "International" in Table 1 and Table 3 are combined in the AAU data. For example, in Table 1 UC's first five categories (Black/African American Domestic; Black/African International; American Indian/Alaskan Native; Chicano(a)/Latino(a)/Hispanic Domestic; and Latino(a)/Hispanic International) roll up into one category in table 5, "URM Total". The data in Table 5 show that UC's 9% URM ladder-rank faculty ("Tenured and Tenure Track" is the AAU category) exceeds the averages of the AAU Public and Private Universities.

TABLE 5
Full-Time Tenured and Tenure Track Faculty by Race/Ethnicity
AAU Private and Public Institutions Compared to UC System

Race/Ethnicity	AAU Private	AAU Public	UC System
Non Resident Alien	3%	4%	4%
White/Other	78%	75%	72%
Asian/PI	13%	13%	15%
URM TOTAL	7%	8%	9%

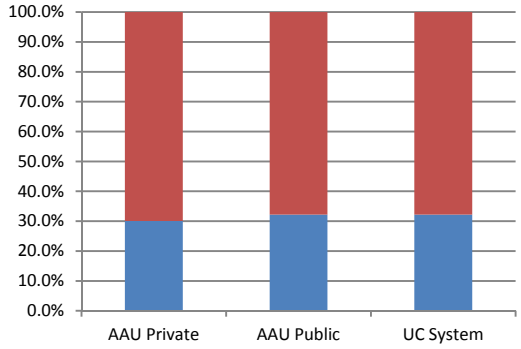


Source: IPEDS Fall 2014 Human Resources Survey
Note: IPEDS faculty and Race/Ethnicity classifications differ from UC classifications. Race/Ethnicity is reported for faculty who are U.S. Citizens or Permanent Residents; others are classified in the "Non-Resident Alien" category. "AAU Public" in the Table does NOT include the UC AAU campuses.

Table 6 offers AAU comparison data by gender. UC has 32% female faculty, the same percentage as other public AAU institutions.

TABLE 6
Full-Time Tenured and Tenure Track Faculty by Gender
AAU Private and Public Institutions Compared to UC System

Race/Ethnicity	AAU Private	AAU Public	UC System
Male	70%	68%	68%
Female	30%	32%	32%



Source: IPEDS Fall 2014 Human Resources Survey
Note: "AAU Public" in the Table does NOT include the UC AAU campuses.

Advancing Faculty Diversity ($2 million, one-time allocation)

The University is committed to increasing the diversity of its faculty, both in the presence of under-represented minorities and in the presence of women. UC's plan is to make the best possible use of the one-time allocation of $2 million towards this commitment, and has directed the $2 million to support new faculty diversity efforts that will supplement, but not supplant, other efforts already underway. By taking a scientific, evidence-based approach, UC plans to identify best practices that could be expanded in coming years and thereby ensure that future funding would also be a good investment. After consultation with offices in Sacramento, UC decided on a plan that will have selected campus units act as pilot sites during the course of the 2016-17 faculty recruitment cycle. This allows UC to make targeted expenditures on pilot units that 1) need to make progress in faculty diversity; 2) have demonstrated a commitment to improve faculty diversity; and 3) have the capacity to develop practices that can be adopted more broadly with sufficient future funding. We plan to identify the most successful methods now that later can be adapted and duplicated to produce positive outcomes at all campuses.

To select the pilot units, in August the UC Provost invited each campus to propose an intensified approach to hiring a more diverse faculty in a selected unit. The Provost also decided to ask for particular attention to strategies that would help UC make progress in the hiring of African-American, Latino(a)/Chicano(a)/Hispanic, and Native American faculty members. Campuses submitted strong proposals, each drawing from on-going campus efforts and each proposing to use additional funds to support a school or department poised to make significant advances in its faculty diversity. The proposals were innovative and illustrative of how much the campuses are already engaged in this issue. The best proposals had pilot units with deep understanding of and support for a more diverse faculty and had demonstrated some kind of prior success (with hiring women, for example). They also show that a sizable investment targeted at supporting these efforts might facilitate more diverse hiring.

Review criteria were established and communicated to campuses prior to submission of the proposals and a group of seven faculty and academic administrators reviewed the submissions; the President's Office selected three campus units to receive the bulk of the funding as pilot colleges/schools: the College of Agricultural and Environmental Science at UC Davis, the Bourns College of Engineering at UC Riverside, and the Jacobs School of Engineering at UC San Diego. Proposed pilot programs on these three campuses all had the following qualities:

- Importantly, they acknowledge how important this effort is for educating UC's diverse student body.
- These pilots all have strong leadership on diversity issues from the Dean and have a track record of prior work to build understanding of climate and inclusion issues.
- Each also has campus-wide support for efforts to recruit and retain a more diverse faculty and to build a more inclusive campus climate.
- Each unit is planning sufficient hiring for the coming year, so their enhanced recruitment efforts are more likely to produce a diverse set of new faculty members.

A brief description of each pilot unit as well as comparator units follows:

UC Davis

Advancing Faculty Diversity in Agricultural and Environmental Sciences - $600,000. With a focus in the College of Agricultural and Environmental Sciences, which is undertaking significant hiring during 2016-17, the project will leverage ongoing campus efforts to improve recruitment, mentoring, and community engagement for non-majority faculty. A Faculty Diversity Oversight Committee will work with the Dean on a series of coordinated efforts, including intensified outreach efforts, "LAUNCH" mentoring committees for new faculty, incentives for faculty joining CAMPOS (the Center for Advancing Multicultural Perspectives on Science), and the Provost's commitment to assist in hiring additional faculty members with deep roots in the African American community.

UC Riverside

Advancing Engineering Faculty Diversity at the University of California, Riverside - $600,000. With a focus in the Bourns College of Engineering and related cluster hiring, the project will target potential engineering faculty slightly earlier in their careers by offering new faculty members funding for a year of post-doctoral research as well as additional early-career professional development; having UC pay for a "post-doctoral" year to focus on research will give these candidates a head-start on the demanding review process for earning tenure. The project will include an enhanced recruitment process, with required diversity statements, candidate evaluation rubrics, and attention to building the campus Chancellor's Postdoctoral Fellowship Program.

UC San Diego

Engineering Diversity: Broadening Applicant Pools, Evaluating Objectively, and Attracting Diverse Faculty to the Jacobs School of Engineering - $512,000. Through the leadership of the Jacobs School of Engineering Dean and plans for substantial hiring in 2016-17, this project includes four elements: targeted outreach to minority applicants, use of written evaluation tools (rubrics), job support mechanisms for spouses or partners, and the building of a faculty diversity cohort. The additional support will be particularly important in handling the challenges of meeting new faculty members' family needs like child or eldercare responsibilities or partner employment. The project will also draw on recent enhancements to family accommodations, recent evidence-based review of recruitment efforts, a database of Latino (a) engineers around the country, and campus-wide efforts to build an inclusive climate.

***Comparison units* - $288,000.** Each of the three pilot projects will have a comparison unit, so that the efforts and hiring in the funded units can be compared to the efforts and hiring in comparison units not receiving funding. There will be substantial effort required in the comparison units to provide information on their hiring and climate issues and the project funds will support appropriate part-time staff time on the campuses.

A systemwide Project Advisory Group, coordinated by the Office of the President, will help guide and monitor these three pilot projects and the collection and analysis of data and metrics during the course of the year. The Group includes representatives appointed by the Chancellor and Executive Vice Chancellor/Provost on each campus and also includes Academic Senate representatives. The Group will advise on development of reports on the pilot projects and share in the work of designing best ways to ensure the pilot projects advance efforts to diversify the UC faculty.

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