

UNIVERSITY OF CALIFORNIA

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO



SANTA BARBARA • SANTA CRUZ

1111 Franklin Street
Oakland, CA 94607-5200
Phone: (510) 987-9074
<http://www.ucop.edu>

November 9, 2018

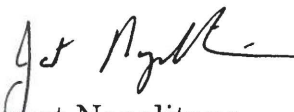
The Honorable Holly J. Mitchell
Chair, Joint Legislative Budget Committee
1020 N Street, Room 553
Sacramento, California 95814

Dear Senator Mitchell:

Pursuant to Item 6440-001-0001 of the 2017 Budget Act, Provision 2.5(b)(2), enclosed is the University of California's final report to the Legislature on *2017-18 Use of One-time Funds to Support Best Practices in Equal Employment Opportunity in Faculty Employment*.

If you have any questions regarding this report, 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
The Honorable Anthony J. Portantino, 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: Mrs. Katie Sperla)

The Honorable Holly J. Mitchell

November 9, 2018

Page 2

Ms. Jennifer Troia, 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. E. Dotson Wilson, Chief Clerk of the Assembly
Mr. Jeff Bell, Department of Finance
Mr. Chris Ferguson, Department of Finance
Mr. Jack Zwald, 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 Michael Brown
Executive Vice President and Chief Financial Officer Nathan Brostrom
Senior Vice President Claire Holmes
Vice Provost and Chief Outreach Officer Yvette Gullatt
Vice Provost Susan Carlson
Associate Vice Provost Elizabeth Halimah
Associate Vice President David Alcocer
Associate Vice President and Director Kieran Flaherty
Chief Policy Advisor and Executive Director Jenny Kao
Chief of Staff to the Chief Financial Officer Oren Gabriel
Chief of Staff Governmental Relations Bob Hartnagel
Deputy General Counsel Allison Woodall
Senior Counsel Martha Kim
Manager Jennifer Brice

Final Report on the 2017-18 Use of One-time Funds to Support Best Practices in Equal Employment Opportunity in Faculty Employment

**Report to the State Legislature
Submitted by
UC Office of the President**

December 2018

TABLE OF CONTENTS

I.	Executive Summary	2
II.	The University of California’s Commitment to Faculty Diversity	4
III.	The University of California’s Approach to the One-time Allocation of \$2 Million to Support Equal Opportunity in Faculty Employment	6
IV.	Practices in Place to Advance Faculty Diversity	10
V.	Pilot A Program: Advancing Faculty Diversity in Berkeley Engineering – UC Berkeley	11
VI.	Pilot B Program: Building Our Own Pipeline to the Professoriate: Advancing Faculty Diversity in Science, Technology, Engineering, and Mathematics Schools – UC Irvine	16
VII.	Pilot C Program: Engineering Diversity: Advancing Faculty Diversity in the Biomedical Sciences – UC San Francisco	21
VIII.	Pilot D Program: Enhancing Faculty Diversity, Department of Economics – UC Santa Barbara	25
IX.	Summary of Findings for All Four Pilot Units	29
X.	Looking Ahead	30

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 2017 Budget Act, Provision 2.5(b)2 (AB 97, Chapter 14, Statutes of 2017), which states:

“Of the funds appropriated in this item, the following amounts are provided on a one-time basis: (1) \$2,000,000 for the creation or expansion of equal employment opportunity programs. Funding should be distributed to selected departments on campuses seeking to create or expand equal employment opportunity programs. (2) The University of California shall submit, no later than December 1, 2017, a report to the Legislature, in conformity with Section 9795 of the Government Code, that describes uses of these funds and indicates the number of ladder-rank faculty at the university, disaggregated by race, ethnicity, and gender.”

This final report is a follow-up to the preliminary report submitted by President Napolitano on November 13, 2017.

I. Executive Summary

This is a report on the \$2,000,000 provided to UC to support equal opportunity in faculty employment. With the second year of one-time funds, UC supported new faculty diversity efforts on “pilot” programs at four campuses that supplemented but did not supplant already existing programs. Taking a scientific, evidence-based approach, UC used the new funds to identify best practices in recruitment of a diverse faculty by concentrating funds on a few targeted interventions.

Instead of distributing funds across all campuses and diluting the impact of the supplemental funding, UC decided to focus on four units where a significant influx of resources could have immediate impact through an intensified approach to hiring diverse faculty. In order to gauge the success of the interventions in the pilot units, comparator units that had not received any supplemental funding were designated and monitored alongside the pilot units throughout the year. In addition, the 2017-18 hiring results in each pilot unit were compared with the hiring results from the prior two years in the pilot unit.

In the 2017-18 funding year, there was a substantial increase in the percentage of underrepresented minority (URM) and female faculty as finalists in three pilot units and of those hired in all four pilot units. The four pilot units averaged a 30.7% increase in URM faculty hired and 12.0% increase in female faculty hired compared to the hiring over the prior two years. In the meantime, the comparator units, who did not receive any additional funding, averaged a 9.2% increase in URM faculty hired and a 12.1% increase in female faculty hired compared to the hiring over the prior two years. All four pilot units hired new faculty who have made valuable contributions to diversity, which will improve the campus climate for women

and URM and promote equal opportunity for all members of the academic community. It is clear that the infusion of funds into the pilot units made a difference in faculty diversity relative to their past performance and to the comparator units.

After a competition among the campuses, UC selected four units to be pilot units in fiscal year 2017-18: the College of Engineering at UC Berkeley; STEM (Science, Technology, Engineering, and Mathematics) schools at UC Irvine; Biomedical Sciences schools at UC San Francisco; and the Department of Economics at UC Santa Barbara. All four pilot units proposed innovative interventions to advance faculty diversity and presented evidence of 1) a need to make progress in faculty diversity; 2) commitment to improve faculty diversity; and 3) capacity to develop practices that can be adopted more broadly with sufficient future funding. The pilot units utilized the supplemental funds for the following programs:

UC Berkeley. Advancing Faculty Diversity in Berkeley Engineering. \$500K. With strong commitment by the leadership and plans for substantial hiring in 2017-18, this program focused on four broad categories: increase the diversity of applicant pools; emphasize and require contributions to equity and inclusion; improve evaluation and reduce bias; and increase the effectiveness of interviews, recruiting, and professional development. In addition to employing best practices already promoted by the campus and ensuring they are implemented well, this program implemented additional interventions, including those identified in year one of the Advancing Faculty Diversity program and from UC Berkeley's own Search Committee Chair Survey conducted from 2012-16. The interventions included revisions to position announcements, targeted outreach, required diversity statements, expanded startup funding, equity advisor meetings for candidates, evaluation of candidates by a student committee, multi-criteria rubrics, a centralized review committee, increased pool of finalists, support for partner/spouse careers, and postdoctoral support.

UC Irvine: Building Our Own Pipeline to the Professoriate: Advancing Faculty Diversity in Science, Technology, Engineering, and Mathematics Schools at the University of California, Irvine. \$450K. In addition to extending best practices in use at UCI, this program piloted a locally-funded Provost Hiring Incentive to recruit former postdoctoral scholars associated with the system-wide University of California President's Postdoctoral Fellowship Program (PPFP) and the campus-level partner Chancellor's Postdoctoral Fellowship programs (CPF). The program supported the transitions of postdoctoral scholars into faculty positions through a concierge strategy that consisted of research support, work-life integration resources, and community connections for retention and advancement through a newly-established Society of Inclusive Excellence Fellows. One of the schools comprising the pilot unit served as a comparator unit during year one of the Advancing Faculty Diversity program.

UC San Francisco: Advancing Faculty Diversity in the Biomedical Sciences at the University of California, San Francisco. \$450K. With the recruitment of new Deans in the School of Nursing and School of Dentistry, there was significant hiring of ladder-rank faculty in the biomedical sciences in 2017-18. For optimal impact on these recruitments, this program

included a search oversight committee and active and targeted outreach through search ambassadors; the program also leveraged the existing mentoring program, required diversity statements, and allocated recruitment funds to faculty who will contribute significantly to diversity and inclusion. The Executive Vice Chancellor and Provost provided matching funds for the recruitment of the faculty.

UC Santa Barbara: Enhancing Faculty Diversity at UC Santa Barbara, Department of Economics. \$500K. The Department of Economics prepared a comprehensive plan that built on a cluster hire approach to construct a strategic initiative that focused on four key components: searching across multiple ranks and fields, advertising, attractive research start-up packages, and enhanced faculty and staff time to focus on a broad search. A key component of this program was the adaptation of a successful intervention from year one of the Advancing Faculty Diversity program with the creation of a postdoctoral fellowship to precede the assistant professorship, as well as enhancement of the endowed chair start-up package to support work with underrepresented minority and low-income students.

The final results of the pilot programs suggest that the following may be best practices that UC can continue to test with the additional third year of funding allocated by the State:

- **accountability** on campus as well as at the systemwide level (through the Program Advisory Group, which met monthly);
- **campus commitment of funding**, for either one-time or permanent full-time equivalent (FTE) faculty;
- **enhanced outreach** through personal contacts, use of databases, and targeted ads;
- associated use of **PPFP/CFP recruitments**;
- **targeting potential faculty slightly earlier** in their careers through support for post-doctoral work;
- **strong leadership and sustained and strategic involvement** from the unit leaders, including a department chair, deans, a vice provost, and a vice chancellor;
- **rubrics/criteria** to guide decision-making by faculty members;
- strengthening the role of **faculty equity advisors** during the recruitment process;
- use of “**contributions to diversity statements**” in candidate evaluation; and
- **significant involvement of hiring committees**, including centralized review committees.

II. The University of California’s Commitment to Faculty Diversity

The University of California is committed to increasing the diversity of its faculty. A diverse faculty brings a wide range of interests, abilities, life experiences, and worldviews that enhance UC’s teaching, research and public service mission. A diverse faculty reflects UC’s commitment to equality of opportunity and excellence, ensuring that UC can serve the needs of our increasingly diverse society and fully utilize the intellectual resources embedded in that diversity.

Proposition 209, the 1996 voter initiative codified as article I, section 31 of the California Constitution, prohibits universities in California from discriminating against or “granting preferential treatment” to any individual or group on the basis of race, sex, color, ethnicity or national origin. As established by Proposition 209, UC may not, and does not, consider an individual’s race or gender in the selection of individuals for faculty appointment. While Proposition 209 eliminated some of the tools that UC had previously employed to achieve diversity in its faculty, there are many steps that UC has taken to maintain and enhance diversity and equal opportunity in faculty employment in full compliance with current law.

UC is particularly focused on increasing the presence of underrepresented minorities (African-American, Chicano (a)/Latino (a)/Hispanic, and Native American) and women in its faculty. Through its policies, UC has adopted a strategy for recruiting and retaining a diverse faculty by recognizing and rewarding faculty contributions to diversity and equal opportunity through their teaching, research, outreach, and service. An excerpt from the Academic Personnel Manual (APM) states:

The University of California is committed to excellence and equity in every facet of its mission. Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California’s diverse population, or research in a scholar’s area of expertise that highlights inequalities. Mentoring and advising of students and faculty members, particularly from underrepresented and underserved populations, should be given due recognition in the teaching or service categories of the academic personnel process.

(APM - 210-1-d, <http://ucop.edu/academic-personnel-programs/files/apm/apm-210.pdf>)

Valuing faculty contributions to diversity improves the campus climate for all, especially women and underrepresented minorities, best serves the needs of our diverse student body, and promotes equal opportunity for all members of the academic community.

Ongoing efforts to diversify the faculty are in place at all campuses and at UCOP; these efforts continued in parallel with the one-time funding of \$2 million from the state. For example, the President’s Postdoctoral Fellowship Program (PPFP) offers postdoctoral research fellowships, faculty mentoring, and eligibility for a faculty hiring incentive to outstanding scholars in all fields whose research, teaching, and service will contribute to diversity and equal opportunity. Although the PPFP is a small program, from Academic Year 2003-2004 through Academic Year 2018-2019, 191 UC faculty new hires were PPFP fellows. With pending confirmations for

Academic Year 2018-2019 and confirmations and pending offers for Academic Year 2019-2020, up to an additional 17 PPFP fellows will be hired as UC faculty.

All ten campuses commit funding and personnel to support best practices in recruiting and retaining a diverse faculty including monitoring recruitment efforts; implicit bias and climate enhancement training; and use of a common on-line recruitment system (UC Recruit) that establishes systemwide minimum recruitment requirements and 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; designating endowed chairs to support diverse faculty; 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.

More in-depth information can be found on UCOP’s website dedicated to faculty diversity (<http://ucop.edu/faculty-diversity/index.html>); the website includes a description of some of the systemwide and campus diversity efforts currently underway. Additional information is also included in the September 2018 Board of Regents item on Faculty Diversity: <http://regents.universityofcalifornia.edu/regmeet/sept18/a2.pdf>

III. The University of California’s Approach to the One-time Allocation of \$2 Million to Support Equal Employment Opportunity in Faculty Employment

In an effort to make the best possible use of the one-time allocation of \$2 million towards supporting equal employment opportunity in faculty employment, UC proposed that the \$2 million allocation be used to support new faculty diversity efforts that supplement, but do not supplant, other efforts already underway. UC suggested a scientific, evidence-based approach, to identify best practices from pilot units that can be expanded in coming years to other units, and would maximize the impact of future funding.

After consultation with stakeholders, UC launched its plan to select campus units to act as pilot sites during the course of the 2017-18 faculty recruitment cycle.¹ This has allowed 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. During the current,

¹ On November 13, 2017, UC submitted to the Director of Finance and the Legislature, in conformity with Section 9795 of the Government Code, a report that included the number of ladder-rank faculty, disaggregated by race, ethnicity, and gender, and provided a description of the specific uses of these funds to support equal employment opportunity in faculty employment.

third, year of the program, UC will award funds to campus units in a similar fashion to year one and two, asking that they consider adopting successful interventions from the 2016-17 and 2017-18 programs. The 2018-19 program will also be expanded to include campus proposals that will focus on faculty retention efforts, including programs targeted at department or school climate. The Office of the President will provide the funding for the retention programs.

Selection of Pilot Units

On July 31, 2017, the UC Provost invited each campus to propose an intensified approach to hiring a more diverse faculty within a selected unit. Review criteria were established and communicated to campuses prior to submission of the proposals. The Provost also asked 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.

Campus proposals were innovative and illustrative of how much the campuses are already engaged in this issue. The best proposals came from units that had demonstrated some prior success in their diversity efforts and that displayed a deep understanding of and support for increasing faculty diversity. They also specified how a sizable investment could facilitate more diverse hiring during the 2017-18 academic year.

Based on input from a review committee of faculty and academic administrators, the President's Office selected four campus units to receive the bulk of the funding as pilot units: College of Engineering at UC Berkeley; STEM Schools at UC Irvine; Biomedical Sciences Schools at UC San Francisco; and Department of Economics at UC Santa Barbara. The four pilot programs shared the following qualities:

- They acknowledged the importance of a diverse faculty to UC's diverse student body;
- There was strong support for diversity from the Dean(s)/Chair(s) and evidence of previous efforts to build an understanding of climate and inclusion issues;
- Campus-wide support for efforts to recruit and retain diverse faculty and to build a more inclusive campus climate were evident; and
- Each unit was planning sufficient hiring for the year, so their enhanced recruitment efforts were more likely to produce a diverse set of new faculty members.

Development of Evaluative Procedures and Input from Campus Leadership

Systemwide Program Advisory Group

The Office of the President convened a systemwide Program Advisory Group to help guide and monitor the four pilot programs during 2017-18. The advisory group met monthly and included representatives appointed by the Chancellor and Executive Vice Chancellor/Provost on each campus as well as Academic Senate representatives. The advisory group was instrumental in informing the collection and analysis of data and metrics. The group also advised on the development of reports on the pilot programs and shared in the work of

designing the best ways to ensure the pilot programs could advance future efforts to diversify UC faculty.

Selection of Comparator Units

Each of the four pilot units were assigned at least one comparator unit, so that the efforts and hiring in the funded units could be compared to the efforts and hiring in comparator units that did not receive supplemental funding. Of the \$2 million allocation, \$100,000 was distributed across six comparator units and to the UC Recruit data team located at UC Irvine to support data collection and reporting efforts. The UC Recruit team provided data support for the program and helped identify which recruitment practices correlated with more diverse hiring.

UC comparator units were invited to take part based on similarities in size, location, number of recruitments, and, in some cases, ranking. See Table 1 below.

Table 1. Comparator Units

Pilot school/college	Comparator school/college	Rationale
UC Berkeley College of Engineering	Comparator Unit A	Similar ranking, location, and size.
UC Irvine STEM Schools	Comparator Unit B	The STEM programs and practices are related in subspecialties and size.
UC San Francisco Biomedical Sciences Schools	Comparator Unit C and Comparator Unit D	Similar regional impact on recruitment and a combined recruitment number of ladder-rank faculty that provides an appropriate comparison level.
UC Santa Barbara Department of Economics	Comparator Unit E and Comparator Unit F	Pilot unit's ranking is between the two comparator units and the combined recruitment number in 2017-18 provides an appropriate comparison level.

There was substantial effort required by the comparator units to provide information on their hiring and climate issues and the program funds supported appropriate part-time staff time. In partnership with the UC Recruit team, the Office of the President put together a profile of the six comparator units, including data on hiring. Comparator units provided data verification on the profile of their unit. In addition, comparator units provided an inventory of the practices currently in place to support faculty diversity both in their school/college/department and on campus.

Data Collection

Each pilot unit's 2017-18 recruitment and hiring data were compared with two sets of data.

1) The current year's hiring results in each pilot unit were compared with the hiring results from the prior two years in the pilot unit. 2) The 2017-18 hiring results in each pilot unit were compared to the 2017-18 hiring results in the comparator unit. (Note that hiring in these pilot and comparator units is commonly assessed by academic year, with the exception of Biomedical Sciences at UCSF and Comparator Units C and D, which are fiscal year.) Collected data were used to determine whether the interventions supported by the additional state funds had an impact on the diversity of faculty recruited in the pilot units in 2017-18.

To assess whether the infusion of funds into the pilot units makes a difference in faculty diversity relative to the comparator units (who received no additional funding for their recruitment efforts) and relative to the pilot units' prior years' efforts, the pilot units, comparator units, and the UC Recruit team collected the following data for two recruitment cycles, from July 2015 through June 2017: 1) recruitment efforts; 2) practices in advancing faculty diversity; and 3) pilot-specific data.

1. **Recruitment efforts.** Using information accessible in UC Recruit², the Survey of Earned Doctorates (SED)³, the American Medical Association data, and the Corporate Personnel System, the UC Office of the President, in partnership with the UC Recruit team and campus units, gathered and validated the race/ethnicity and gender demographic data from the prior two years - July 1, 2015 through June 30, 2017 - and the current year, July 1, 2017 through June 30, 2018, for the following stages of recruitment:
 - a. Demographics of availability pools (the population of recent PhDs in specific academic disciplines from institutions across the U.S.)⁴
 - b. Demographics of applicant pools
 - c. Demographics of finalists⁵

² Many academic recruitments begin before the academic year in which the candidate is hired. However, in order to maintain consistency across all pilot and comparator units, a bright line rule was established that only jobs that were posted in UC Recruit after the beginning of the 2015-16 academic year and had a successful hire at the end of the 2016-17 academic year were counted. The same rule was applied to the 2017-18 academic year data. As a result, the URM and female new faculty hires in 2015-18 were not counted if the job was originally posted before 2015-16.

³ The SED is sponsored by the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) and by five other federal agencies: the National Institutes of Health, U.S. Department of Education, U.S. Department of Agriculture, National Endowment for the Humanities, and National Aeronautics and Space Administration. The survey gathers data from all research doctorate graduates on their educational history, sources of support, and post-graduation plans. The completed survey responses become part of the Doctorate Records File (DRF), a virtually complete data bank on doctorate recipients from 1920 to the present and the major source of doctoral data at the national level. The profiles of doctorate recipients that emerge from these data serve policymakers at the federal, state, local, and university levels.

⁴ Consistent with federal reporting obligations, the availabilities dataset used includes only U.S. citizens and permanent residents.

⁵ Finalists are those who were brought to campus for full in-person interviews.

d. Demographics of hires.⁶

2. **Practices in Advancing Faculty Diversity.** Each pilot and comparator unit submitted information on diversity practices in place in their school/college, as well as on their campus (see section IV below).
3. **Data collection specific to individual pilot units.** Each of the three pilot units also proposed data collection to allow for analysis of the effectiveness of their specific interventions during the pilot year compared to their data from prior years. The 2015-17 past performance data was then compared to data from 2017-18.

IV. Practices in Place to Advance Faculty Diversity

Each of the four pilot and six comparator units submitted information on diversity practices currently in place in their unit as well as at the campus level. These are considered to be “best practices” in building a supportive climate for recruitment and retention of a diverse faculty and will continue to be implemented at these locations. The interventions supported by the additional one-time funding were intended to supplement these current practices and help UC identify the most effective practices that, with sufficient future funding, should be adopted and/or expanded more broadly across all campuses to support equal opportunity in faculty employment.

All pilot and comparator units already have the following practices in place campus-wide (these practices are also in place at other UC campuses as well):

- senior-level **campus advisory councils** that advise the Chancellor with particular attention to institutional access and representation, campus climate and intergroup relations, and institutional transformation;
- senior-level **diversity leaders** who advance institutional priorities for diversity, equity, and inclusion as essential ingredients of academic excellence in higher education;
- **administrative review** of search plans, applicant pools, recruitment shortlists, and search reports, and comparison of the applicant and proposed interview pools to the availability pool and the department’s equal opportunity goals;
- **faculty recruitment search plans** that support broad, equitable and inclusive searches and search practices;
- **President’s Postdoctoral Fellowships and Chancellor’s Postdoctoral Fellowships** that offer faculty mentoring and eligibility for a hiring incentive to outstanding scholars in all fields whose research, teaching, and service contribute to diversity and equal opportunity at UC;
- inclusion of **candidate diversity statements** in the review criteria for appointment, promotion, and/or appraisal;

⁶ Hired includes those who were candidates proposed for hire, candidates with an offer, candidates who accepted an offer, and candidates who were hired as of July 31, 2018. Any candidates who were hired after July 31, 2018 were not captured and therefore the final numbers may vary slightly.

- use of an **automated academic recruitment system** (UC Recruit) that can aid campus equal opportunity efforts and annual reporting requirements;
- **equal opportunity/discrimination prevention offices** that closely monitor every academic search, and that provide guidance and advice to academic search committees;
- **implicit/unconscious bias training and climate enhancement** to mitigate the impact on recruitment and retention of attitudes or stereotypes that affect understanding, actions, and decisions in an unconscious manner;
- **search process improvements and committee trainings** on how implicit and institutional biases influence recruitment pools and candidate evaluation;
- **recruitment ads placed in diverse publications** that highlight UC's commitment to diversity;
- **benchmarking data** with tracking and progress reporting on faculty diversity, both campus-wide and within individual departments, divisions, colleges, and professional schools;
- **salary equity reviews** to ensure that salaries are internally consistent; and
- **trend data** for every school/college and department on campus that show demographics of national degree recipients in the selected department/school/college, including PhD recipients, of recent hires, and of department demographic composition by rank.

In addition, some of the pilot and comparator units also have executive sponsorship for URM/women, diversity accountability for deans, strategic action plans for diversity and inclusion, FTE allocations that prioritize contributions to diversity, diversity certification, exit and retention surveys, faculty climate surveys, federally-funded and UC-based programs to support URM recruitment and hiring, financial support for research on diversity-related issues, equity advisors/diversity liaisons, faculty of color networks, formal mentoring programs, institutional memberships in diversity-focused organizations, endowed chairs to support recruitments, and participation in networks and at conferences to encourage diverse candidates to apply for positions.

V. Pilot A Program: Advancing Faculty Diversity in Berkeley Engineering - UC Berkeley

Profile of Pilot A and Comparator A

Based on Fall 2017 data, there are a total of 236 Ladder-Rank Faculty and Equivalent ("faculty"⁷) in the UC Berkeley College of Engineering (CoE). Underrepresented minorities are 6.4% and women are 17.8% of total faculty in CoE. In Comparator A, there are a total of 179 faculty (2.2% URM and 15.1% female). The national availability⁸ of recent doctoral recipients in engineering and computer science is 10.6% URM and 24.5% women.

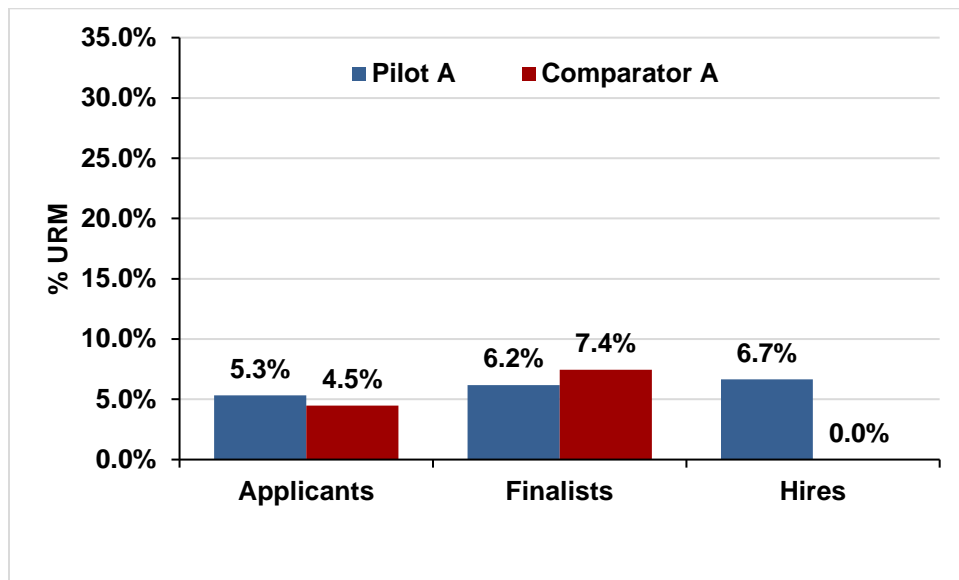
⁷ Current faculty composition is defined as Ladder-Rank Faculty and Lecturer with Security of Employment positions in the Corporate Personnel System (CPS) October 2017 snapshot file.

⁸ U.S. citizen and permanent residents who received PhDs from U.S. universities from 2011 through 2015, as reported in the Survey of Earned Doctorates.

There are a total of 5,333 students in the pilot unit (3,373 undergraduate students and 1,960 graduate students), with 9.3% undergraduate URM and 6.8% graduate URM, as well as 25.9% undergraduate women and 29.7% graduate women. There are a total of 5,892 students in Comparator A (3,627 undergraduate and 2,265 graduate students), with 10.0% undergraduate URM and 5.7% graduate URM, as well as 25.4% undergraduate women and 22.3% graduate women.

The 2015-17 recruitment data show that both the pilot and comparator units remained relatively flat in making progress in diversifying their faculty as new faculty were hired, with the exception of women in the pilot unit, which slightly exceeded the national availability. As reflected in Chart 1 below, in academic years 2015-17, 5.3% of qualified applicants⁹ in the pilot unit were URM. Out of the qualified applicants, 6.2% of the finalists were URM, and ultimately 6.7% of those hired were URM. The proportion of qualified applicants and finalists in the comparator unit were similar to the pilot unit though the comparator unit did not hire any new URM faculty.

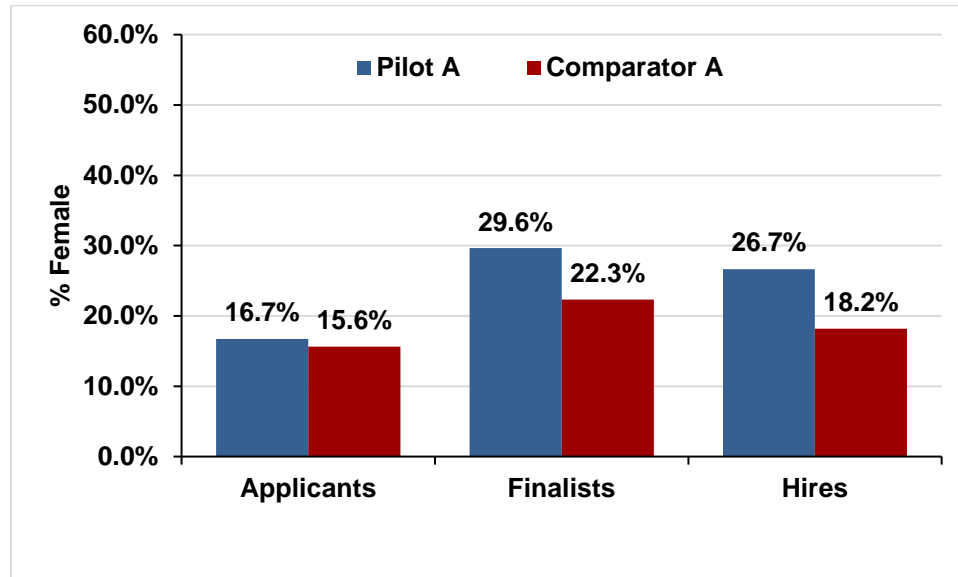
Chart 1: Pilot A and Comparator A
Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Years 2015-16 and 2016-17



As reflected in Chart 2 below, women were 16.7% of the qualified applicants, 29.6% of the finalists, and 26.7% of those hired in the pilot unit. In comparison, women were 15.6% of the qualified applicants, 22.3% of the finalists, and 18.2% of those hired in the comparator unit.

⁹ Applicants who meet the minimum qualifications for the position are “qualified applicants.”

Chart 2: Pilot A and Comparator A
Percentage (%) of Female Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic
Years 2015-16 and 2016-17



The data show that both the pilot and comparator unit lag behind the national availability of recent doctoral recipients in their total engineering and computer science faculty, as well as in their recent hires from 2015-17, with the exception of female faculty in the pilot unit.

Overview of Pilot A Program

Advancing Faculty Diversity in Berkeley Engineering was proposed jointly by the Provost and Executive Vice Chancellor and Dean of the College of Engineering, and endorsed by each of the Department Chairs in the College. The goals of the CoE were to: (1) improve the faculty search process to overcome barriers faced by female and URM applicants, and (2) cultivate a culture throughout the CoE in which all members of the community view themselves as active participants in advancing equity and inclusion (E&I).

New search guidelines were developed, which each departmental search committee adopted and modified as needed to fit their individual needs and experience. With the guidelines, the CoE introduced new elements throughout their search processes with the aim of attracting more diverse candidate pools (e.g., greater numbers of female and URM applicants), reducing bias throughout all stages of the evaluation process, and successfully recruiting their top candidates. A key element of these new guidelines was the requirement that all successful faculty candidates demonstrate how they could contribute to the CoE's diversity, equity, and inclusion efforts. Candidates were provided with guidance at each stage of the search process so that they had the opportunity to prepare evidence to demonstrate their contributions. The CoE also developed specific guidance for faculty and students to assist them as they evaluated

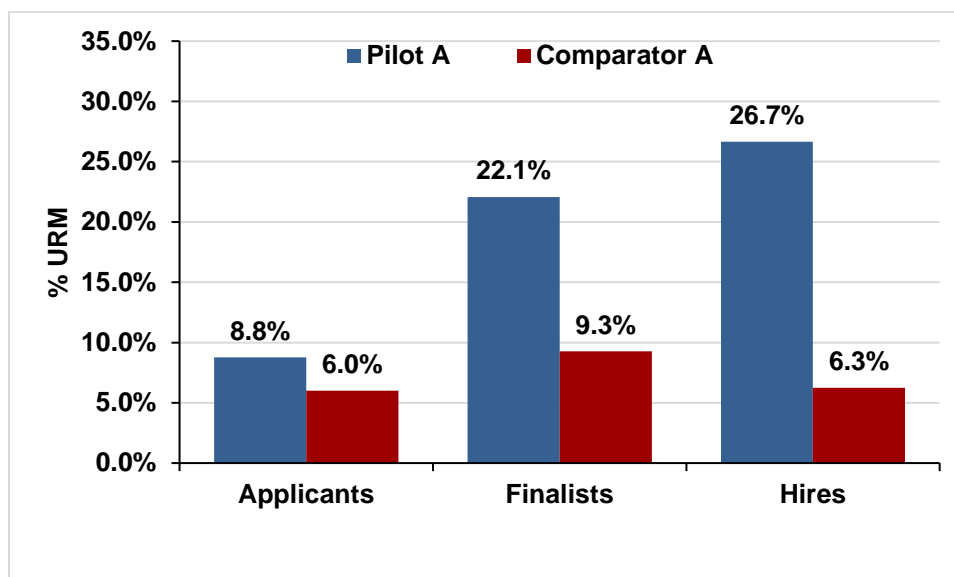
candidates' contributions to diversity via their diversity statements and their interview and other meetings with College constituents.

An additional novel aspect of the searches in 2017-18 was the provision of five unallocated FTE slots to the CoE. Departments had the option to compete for one of these CoE slots, knowing that to succeed, all of that department's searches (for both pre-authorized and College slots) had to embrace the new guidelines and demonstrate that all successful candidates achieved excellence at advancing equity and inclusion. CoE emphasized that candidates for all searches had to be evaluated using the same criteria, and all the CoE departments chose to participate in this effort. Thus, in their evaluation of candidates, they placed excellence in advancing equity and inclusion on par with excellence in research, teaching, and service.

Results for Pilot A

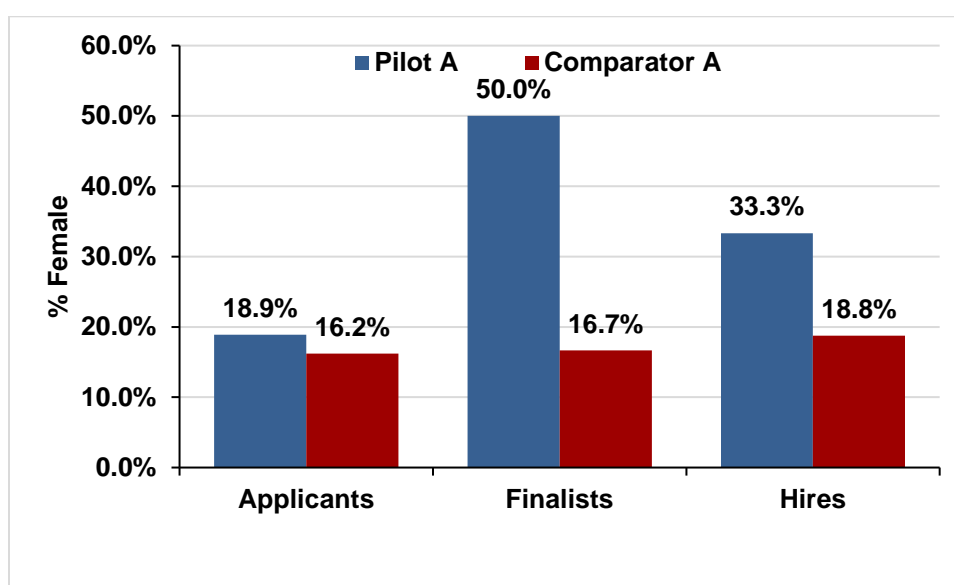
As reflected in Chart 3 below, CoE had a 3.5% increase in URM applicants from 2015-17 to 2017-18. Due to the interventions CoE introduced during the search process, there was a substantial increase in the percentage of URM finalists and those hired in 2017-18; CoE saw a 15.9% increase in URM finalists and a 20.0% increase in URM hires compared to 2015-17. With 26.7% URM hired in 2017-18, CoE exceeded the national availability by 16.1 percentage points. Meanwhile, even though the pilot unit and comparator unit had a similar percentage of URM applicants (8.8% and 6.0%, respectively), only 9.3% of the finalists and 6.3% of those hired in the comparator unit were URM, indicating that the interventions implemented by the pilot unit through the additional state funding had a significant impact on the diversity of the faculty hired in 2017-18.

Chart 3: Pilot A and Comparator A
Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



Additionally, as reflected in Chart 4 below, the proportion of female applicants remained relatively similar in 2017-18 compared to 2015-17 in both the pilot and comparator unit. Again, with the interventions introduced in 2017-18, CoE had a 20.4% increase in female finalists and a 6.6% increase in women hired compared to 2015-17, exceeding the national availability by 8.8 percentage points. The comparator unit, on the other hand, remained relatively consistent in the percentage of female finalists and female faculty hired compared to 2015-17.

Chart 4: Pilot A and Comparator A
Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



The Dean, who is the chief academic and administrative leader for the CoE, stated: “We have learned a tremendous amount through the Advancing Faculty Diversity Initiative, and will continue to refine our search process and guidelines to ensure progress in diversifying the CoE faculty. We are fostering within the CoE a culture of collective responsibility for advancing equity and inclusion. Diversity, Equity & Inclusion (DEI) should be an integral part of the College’s mission, and hence should extend beyond the application and interview processes to be a measurable outcome of our daily research, teaching, and service. To reinforce the importance of DEI, we are explicitly assessing contributions to DEI in faculty merit and advancement cases. Also, the CoE has invested resources to increase staffing support to assist faculty with their efforts to advance diversity, equity, and inclusion. We will continue to monitor our progress in diversifying the faculty and in cultivating an inclusive climate in our educational and research programs.”

Future Plans

The CoE will continue to emphasize in its hiring practices that excellence in advancing equity and inclusion must be considered on par with excellence in research and teaching. The College plans to use the new guidance provided by their Office of Faculty Equity and Welfare, which was revised for the entire campus based on what was learned in the CoE. The materials include guidance to candidates about how to prepare a diversity statement, as well as guidance to search committees for how to include and evaluate contributions to diversity throughout the search process.

In addition to the \$500,000 from the special State funds, the CoE has committed an additional \$250,000 towards equity and inclusion efforts. Part of this funding is going towards a new, full-time staff position titled the “Director of Faculty Engagement in Equity and Inclusion.” The new Director began her position on August 15, 2018, and has started developing a program to support the success of their junior faculty, and to engage all the CoE faculty more deeply in advancing diversity, equity and inclusion.

The \$250,000 commitment from the CoE is also supporting a new partnership with the University of Michigan, College of Engineering, to expand the NextProf Workshop. NextProf aims to diversify the engineering professoriate through a four-day intensive workshop on the faculty search process that brings together 70 graduate students and postdocs from across the country. They aim to inspire and prepare the aspiring faculty to be successful at obtaining faculty positions. Many faculty throughout the College are contributing to the workshop. They plan to actively recruit NextProf participants to apply to CoE faculty openings in the future.

VI. Pilot B Program: Building Our Own Pipeline to the Professoriate: Advancing Faculty Diversity in Science, Technology, Engineering, and Mathematics Schools – UC Irvine

Profile of Pilot B and Comparator B

As of Fall 2017, there are a total of 417 Ladder-Rank Faculty and Equivalent in the UC Irvine Science, Technology, Engineering, and Mathematics (UCI STEM) Schools¹⁰. Underrepresented minorities are 6.0% and women are 25.4% of total faculty in UCI STEM. In Comparator B, there are a total of 523 faculty (7.3% URM and 20.8% female). The national availability of recent doctoral recipients in STEM disciplines (excluding math) is 11.2% URM and 39.4% women.

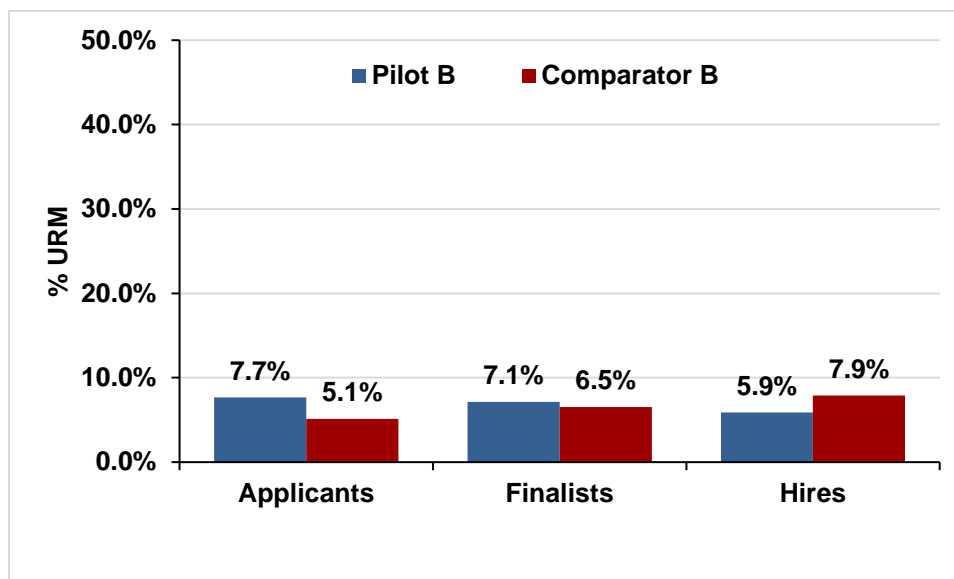
The demographics of the undergraduate student body in the pilot and comparator units are far more diverse than the faculty, while the diversity of the graduate student body is more similar to that of the faculty. There are a total of 13,322 students in the pilot unit (11,139

¹⁰ Schools included in this initiative are the schools of biological sciences, engineering, information and computer sciences, and physical sciences. The Department of Mathematics was not included in the pilot program because math recruitment data is not currently tracked in UC Recruit.

undergraduate students and 2,183 graduate students), with 23.6% undergraduate URM and 7.7% graduate URM, as well as 39.8% undergraduate women and 35.9% graduate women. There are a total of 17,997 students in Comparator B (14,062 undergraduate and 3,935 graduate students), with 18.8% undergraduate URM and 6.9% graduate URM, as well as 43.8% undergraduate women and 31.6% graduate women.

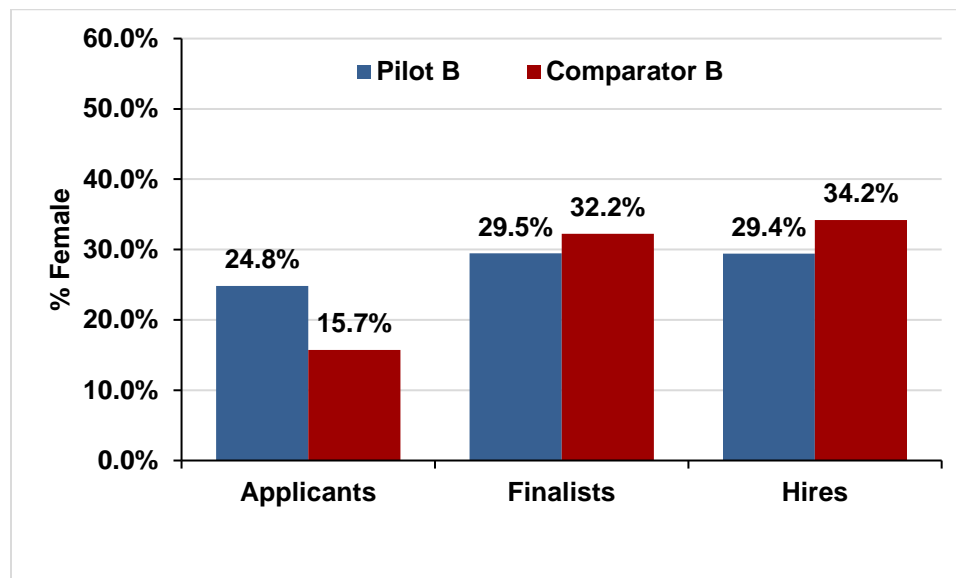
The percentage of URM and female faculty in both the pilot and comparator unit fall below the national availability in the STEM disciplines. In 2015-17, the percentage of URM hired as new faculty remained below the national availability in both the pilot and comparator units.

Chart 5: Pilot B and Comparator B
Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Years 2015-16 and 2016-17



As reflected in Chart 6 below, the percentage of new female faculty hired in 2015-17 in the pilot and comparator units was greater than the current percentage in the unit, although below the national availability.

Chart 6: Pilot B and Comparator B
Percentage (%) of Female Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic
Years 2015-16 and 2016-17



Overview of Pilot B Program

The UCI STEM pilot involved four academic units: the School of Biological Sciences, The Henry Samueli School of Engineering, the Donald Bren School of Information and Computer Sciences, and the School of Physical Sciences. These units opened a total of 49 faculty recruitments in 2017-18, representing 42% of faculty recruitments campus-wide for faculty during this period.

A major emphasis of this pilot focused on expanding recruitment networks, and on broadening the diverse pool of candidates through effective search procedures and consideration of former and current fellows from the University of California President's Postdoctoral Fellowship Program and UC Chancellor's Postdoctoral Fellowship Program (UC PPFP/UC CPF). To this end, each academic unit involved developed either Equity Committees or reviewers who reviewed resource listings of fellows to identify and refer potential candidates to search committees for their recruitment actions. The \$450K in funding through the pilot program provided Start-up Supplemental Grants of \$62,500 for each new hire (campus sources provided the balance of funding for this effort) to foster research activities among the new hires.

The new strategies – broadening recruitment networks and incentivizing hiring for the departments and candidates – were integrated into regular recruitment processes to complement existing equity advisor presentations and consultations to search committees about implicit bias and recruitment best practices. The equity advisors are faculty peer advisors who monitor the search process and practices to support diverse faculty recruitment and retention. In addition to examining search practices, the equity advisors implemented Career

Concierge Strategies to provide information to candidates about family friendly accommodations, salary equity practices, mentoring, and school climate initiatives.

Additional new and continuing resources were identified to effectively recruit and support entering STEM faculty. Specifically, a Society of Inclusive Excellence Fellows was established during 2017-18 to engage faculty and postdoctoral scholars at UCI who are associated with UC PPFP/CPF programs in quarterly meetings of interest. The Society creates a new network for professional development among entering and continuing faculty members who have been affiliated with the mentoring and research opportunities hosted through the UC fellowship programs.

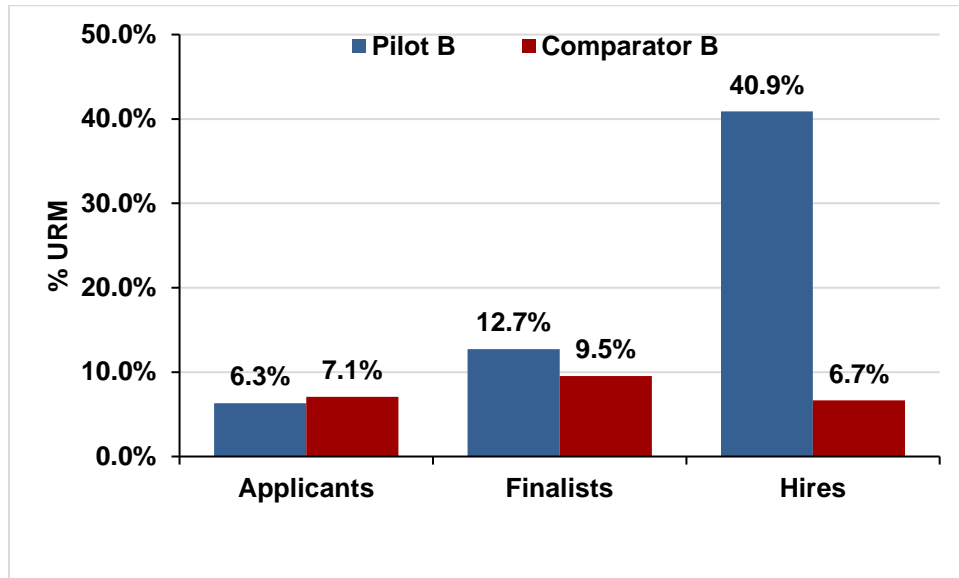
Fellows and former fellows who were offered faculty positions through this pilot program also are poised to benefit from existing support programs to enhance their productivity. The eight STEM hires are eligible for funding through the UCI Travel Awards program, and for Career Awards disbursed by the Office of Inclusive Excellence to underwrite participation in a nationally-recognized Faculty Success Program. These resources will be available to new faculty as tenure-track assistant professors.

Results for Pilot B

The “Building Our Own Pipeline to the Professoriate” pilot successfully led to the recruitment of eight new STEM faculty who were formerly or currently awarded the UC postdoctoral fellowships. Review of these outcomes suggest that increased outreach to diverse networks that included UC PPFP and CPF scholars provided search committees with valuable ways to broaden their pool of potential candidates and to interest diverse researchers in UCI faculty positions.

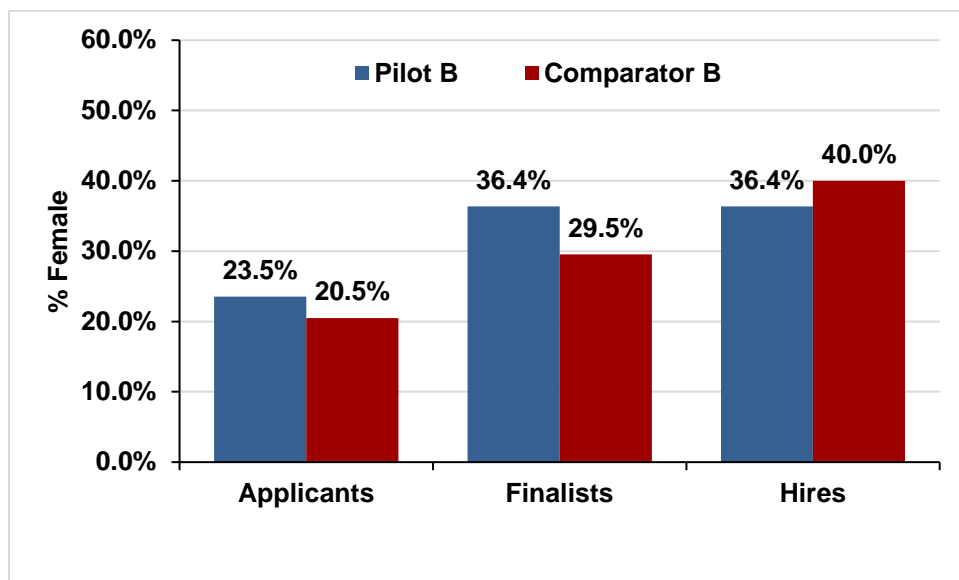
As reflected in Chart 7 below, UCI STEM had approximately the same percentage of URM applicants in 2015-17 as in 2017-18. However, following UCI STEM’s targeted efforts in 2017-18, there was a 35% increase in the percentage of URM hired, exceeding the national availability of URM STEM PhDs by 29.7 percentage points. During that same time period, the comparator unit remained relatively consistent in its hiring of URM, remaining below the national availability.

Chart 7: Pilot B and Comparator B
Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



Additionally, as reflected in Chart 8 below, during the 2017-18 recruitment period, consistent with the upward trend in the hiring of new female faculty, both the pilot and comparator units continued to increase the percentage of female faculty hired in relation to the last two years and overall faculty composition. The pilot unit is nearing the national availability while the comparator unit slightly exceeds it.

Chart 8: Pilot B and Comparator B
Percentage (%) of Female Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



Another strategy the pilot unit adopted that correlates with the substantial increase in the diversity of new hires in 2017-18 involved accountability for ensuring equitable hiring practices through monitoring by existing equity advisors. The equity advisors played invaluable roles in consulting with search committees about hiring priorities, and they were effective stewards of University information and policies of interest to candidates. The mentoring matches and other activities developed by equity advisors will provide timely professional mentoring and support to the newly hired faculty.

The Dean for the Physical Sciences stated: “I am encouraged that our expanded recruitment networks have played a role to broaden diversity among our faculty candidates. I am hopeful that our continued use of these resources, and broadening our mentor networks for faculty who are hired in the school, will lengthen the pipeline of diverse scholars in future years.” The Dean of Biological Sciences stated: “I realize that the long-term productivity and retention of all of our faculty will require conducive working environments and support for scholarship and work/life balance. Our Equity Advisor will continue to engage with incoming and continuing faculty to support professional development, salary equity, and ongoing policy review to support diversity, equity, and inclusion.”

Future Plans

The key practices that resulted from the pilot, which will be continued, include the following: review and identification of potential candidates from UC PPFP/CPF listings; referrals of such potential candidates to relevant search committees; use of hiring incentives and/or other funding resources to enhance start-up packages and professional development; and equity advisor monitoring and consulting with search committees about recruitment best practices, outreach strategies, salary equity information, and development of practices to support timely and effective review of candidates.

VII. Pilot C Program: Advancing Faculty Diversity in the Biomedical Sciences – UC San Francisco

Profile of Pilot C and Comparators C and D

Two comparator units (Comparators C and D, the data from which are combined for purposes of this analysis) were selected for the UC San Francisco Biomedical Sciences¹¹ (BiomedSci) based on their size and composition. There are a total of 338 faculty in the pilot unit and 590 faculty in the combined comparator units. Underrepresented minorities make up 6.2% of total faculty positions in the pilot unit and 9.2% in the comparators. Women make up 33.1% of total faculty positions in the pilot unit and 32.0% in the comparators. The national availability¹² in Biomedical Sciences is 8.5% URM and 52.9% women.

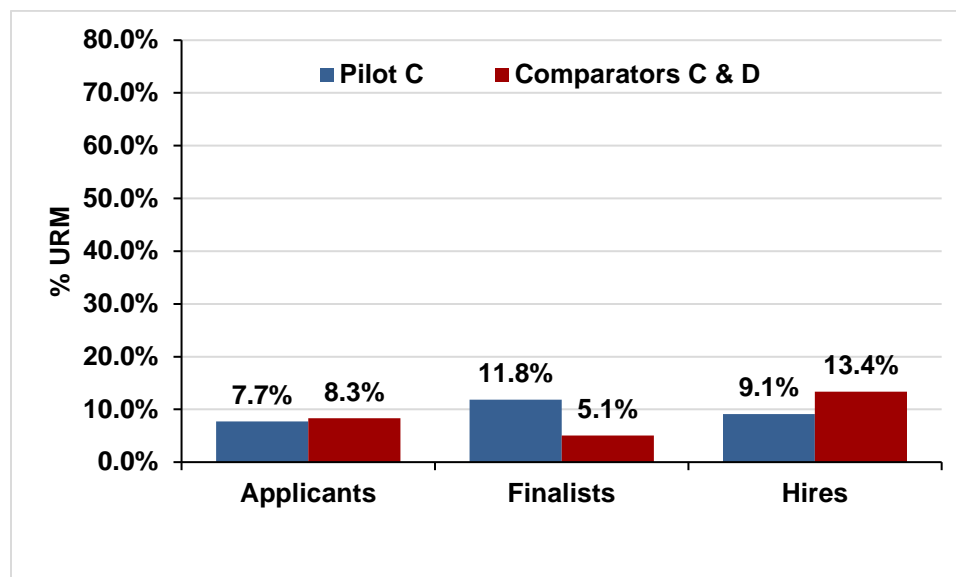
¹¹ The Schools included in Biomedical Sciences are Dentistry, Medicine, Nursing, and Pharmacy.

¹² 2012 AMA data

There are a total of 1,476 students in the pilot unit, with 18.6% URM and 60.4% women. In comparison, there are a total of 2,411 students in the comparators, with 22.7% URM and 60.9% women.

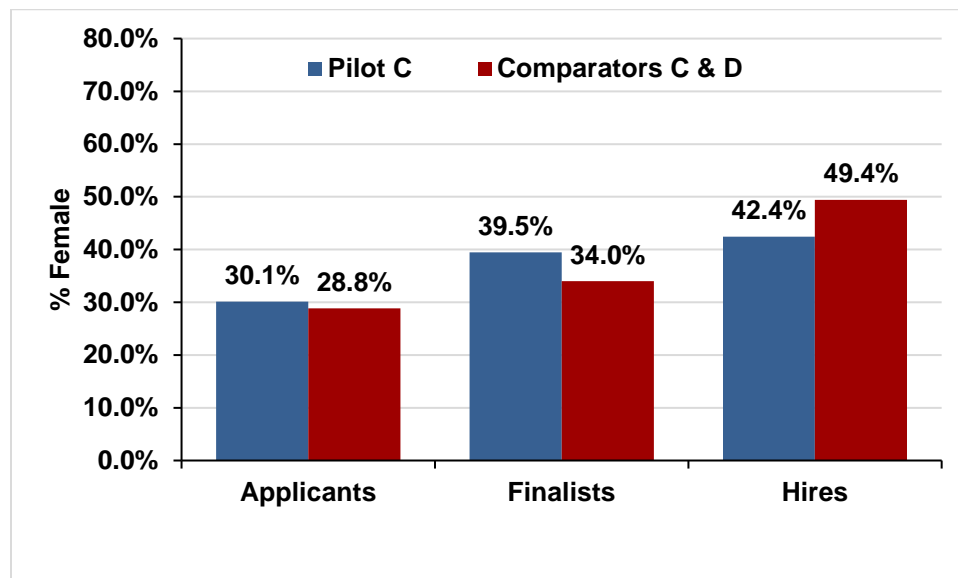
In overall BiomedSci faculty composition, the percentage of URM faculty is below the national availability in the pilot unit while slightly higher than the national availability in the comparators. As reflected in Chart 9 below, the percentage of new URM faculty hired in 2015-17 exceeded the national availability in both the pilot and comparator units.

Chart 9: Pilot C and Comparators C & D
Percentage (%) of Under-Represented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Years 2015-16 and 2016-17



The percentage of new female faculty hired in 2015-17 in both the pilot and comparators was higher than the overall percentage of female faculty on the current faculty, though remaining below the national availability.

Chart 10: Pilot C and Comparators C & D
Percentage (%) of Female Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic
Years 2015-16 and 2016-17



Overview of Pilot C Program

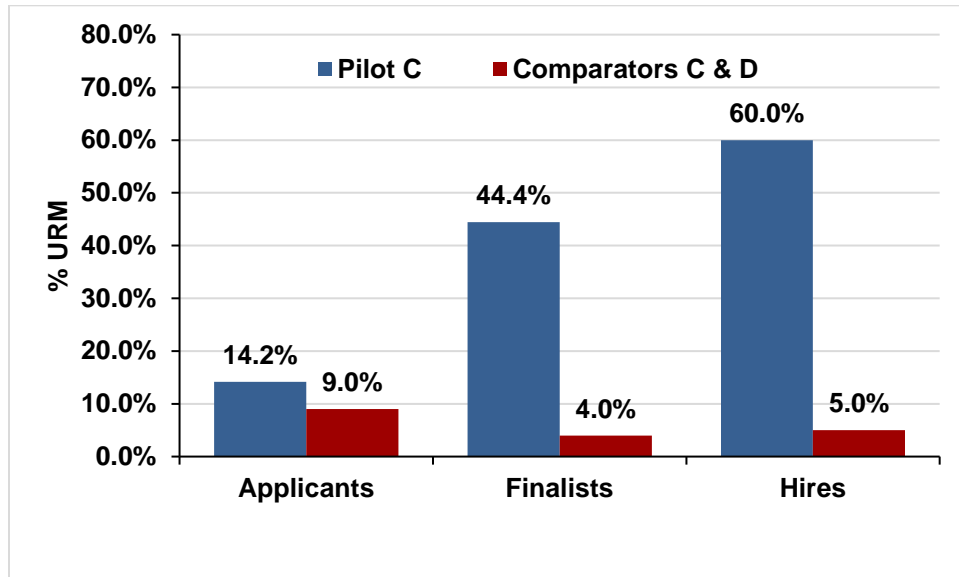
The Advancing Faculty Diversity in Biomedical Sciences' \$450K in funding for the 2017-2018 academic year was a proposal to improve UCSF BiomedSci's ability to attract, interview, and hire outstanding faculty who will contribute to diversity, equity and inclusion. The Ladder-Rank Faculty represent a small component of UCSF's total faculty. The funding allowed UCSF BiomedSci to expand their recruitment outreach via expanded advertisements and targeted outreach activities, to implement the requirement for the Contributions to Diversity Statements, to engage a Multidisciplinary Search Oversight committee, and to provide direct financial support for the recruitments. The incentives pushed those leading the search process to develop a pool of qualified candidates who could demonstrate their contributions to diversity.

A Search Oversight Committee reviewed all searches for Ladder-Rank positions, with representation from dentistry, nursing, medicine, and pharmacy, as well as the Vice Chancellor of Research. The evaluation of the Contributions to Diversity Statements provided a valuable new addition to the recruitment evaluation process and played a role in the determination of which recruitment would be granted the research funds.

Results for Pilot C

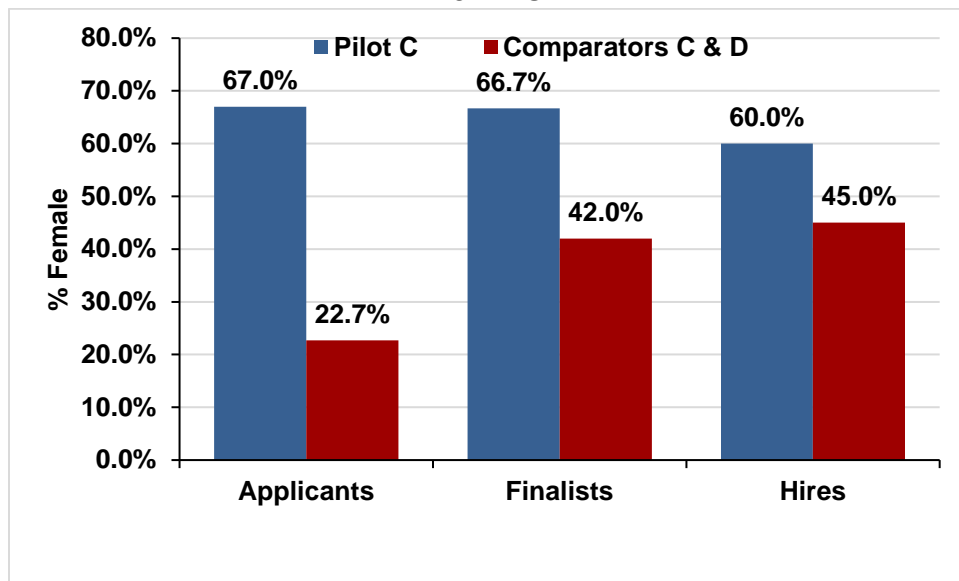
From 2015-17 to 2017-18, the pilot unit had a 32.6% increase in URM finalists and 50.9% increase in URM faculty hired, exceeding the national availability by 51.5 percentage points. In the meantime, the comparators experienced a slight decrease in the percentage of URM hired.

Chart 11: Pilot C and Comparators C & D
Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



From 2015-17 to 2017-18, the pilot unit had a 27.2% increase in female finalists and 17.6% increase in female faculty hired, exceeding the national availability by 7.1%. In the meantime, the comparators experienced a slight decrease in the percentage of women hired.

Chart 12: Pilot C and Comparators C & D
Percentage (%) of Female Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



Future Plans

UCSF BiomedSci plans to review the distribution and process for management of FTE in an effort to identify and align FTE availability with strategic and programmatic goals. In addition, the UCSF Provost and Executive Vice Chancellor has funded a 0.5 FTE staff member to continue and expand direct outreach efforts, development of internal pipeline strategies, and support for basic science departmental efforts.

VIII. Pilot D Program: Enhancing Faculty Diversity, Department of Economics – UC Santa Barbara

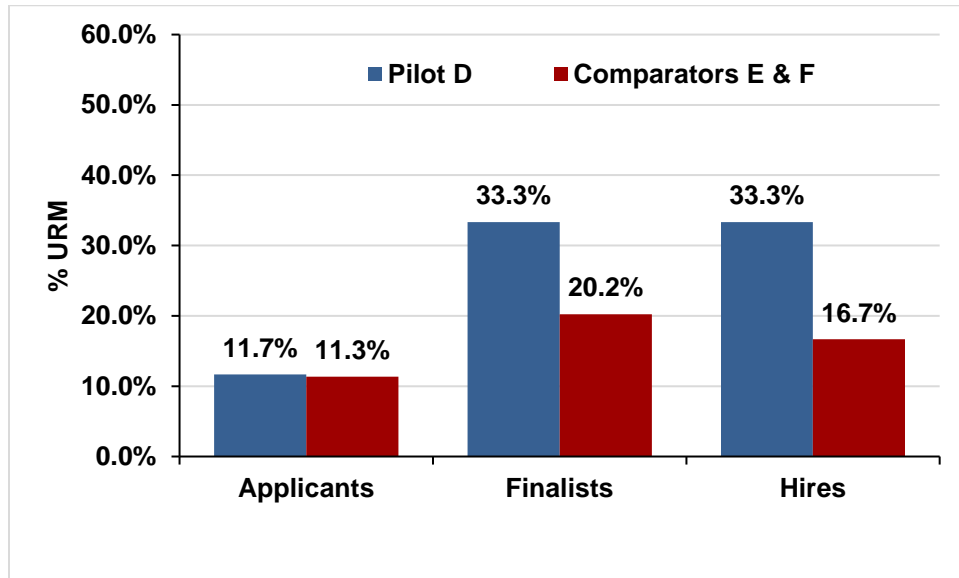
Profile of Pilot D and Comparators E & F

Two comparator units (Comparators E and F, the data from which are combined for purposes of this analysis) were selected for the UC Santa Barbara Department of Economics (UCSB Economics) based on their size and composition. There are a total of 23 faculty in the pilot unit and 60 faculty in the combined comparator units. Underrepresented minorities make up 8.7% of total faculty positions in the pilot unit and 9.7% in the comparators. Women make up 17.4% of total faculty positions in the pilot unit and 16.7% in the comparators. The national availability in Economics for URM is 9.5% and 32.6% women.

In Pilot Unit D, there are a total of 2,376 students (2,315 undergraduate and 61 graduate students), with 17.4% undergraduate URM and no graduate URM, as well as 37.7% undergraduate women and 32.8% graduate women. In the comparators, there are a total of 2,360 students (2,139 undergraduate and 221 graduate students), with 15.5% undergraduate URM and 1.4% graduate URM, as well as 43.7% undergraduate women and 35.1% graduate women.

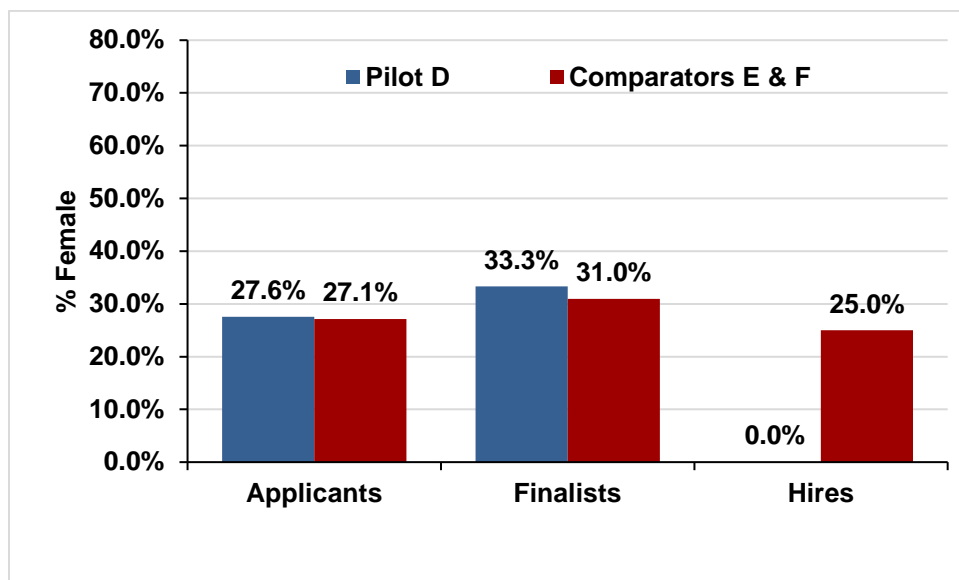
While the percentage of URM in relation to the overall Economics faculty hovers around the national availability (slightly below in the pilot unit and slightly above in the comparator units), the percentage of new URM faculty hired was well above the national availability in both units in 2015-17 (33.3% and 16.7%, respectively).

Chart 13: Pilot D and Comparator E & F
Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Years 2015-16 and 2016-17



The percentage of female faculty in relation to overall Economics faculty is below the national availability in both the pilot and comparator units. As shown in Chart 14, the pilot unit did not hire any female faculty in 2015-17, while the percentage of new female faculty hired by the comparator units exceeded the overall percentage of female faculty in relation to all current faculty, although it remained below the national availability.

Chart 14: Pilot D and Comparator E & F
Percentage (%) of Female Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Years 2015-16 and 2016-17



Overview of Pilot D Program

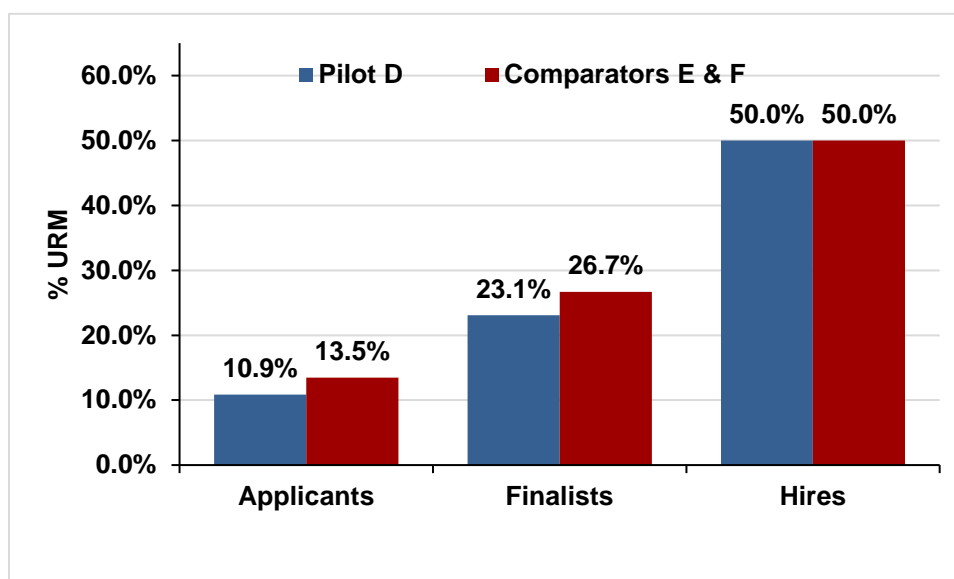
UCSB Economics used a multi-dimensional hiring strategy to enhance the diversity of the faculty. First, they advertised a major hiring drive that will continue over the next several years. This created excitement about joining a growing and vibrant department and sent a clear message about momentum and commitment. Second, they offered new PhD candidates a postdoctoral fellowship to precede the start of an assistant professorship. This gave candidates an important advantage in a very competitive market. Third, they leveraged multiple current faculty open positions at all ranks, including at least two assistant/associate professor open positions (with the ability to make up to four simultaneous offers) and two endowed chairs (Aster and North Hall). Fourth, they allocated additional resources towards the search: additional interviews, faculty time, and staff resources. In particular, they exerted substantial search and outreach efforts. They actively searched for candidates who would enhance their diversity, both on the new PhD market and among faculty in highly active research universities in the U.S. and internationally. Finally, the Executive Vice Chancellor promised to give the department the maximum flexibility in deploying authorized open positions and search waivers, if required.

Results for Pilot D

From 2015-17 to 2017-18, the pilot unit saw a 16.7% increase in URM faculty hired, exceeding the national availability in 2017-18 by 40.5 percentage points. Fifty percent of the new hires in the comparator units were also URM. As this hiring initiative was conducted at the department level, rather than at the school or division level like the other pilot programs, the hiring of one or two URM faculty results in a substantial change in percentage of new faculty hired.

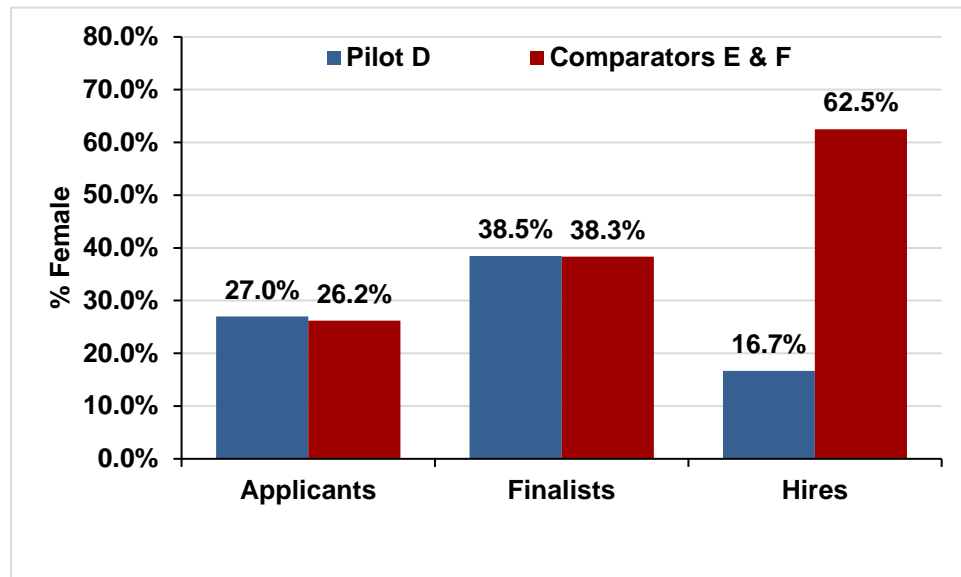
Chart 15: Pilot D and Comparator E & F

Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



In 2015-17, UCSB Economics did not hire any female faculty, while in 2017-18, 16.7% of new faculty hired were female, (although this was still below the national availability). The comparison units increased their hiring of female faculty even more, hiring 62.5% women in the 2017-18 cohort.

Chart 16: Pilot D and Comparator E & F
Percentage (%) of Female Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



UCSB Economics successfully recruited a North Hall Chair in Economics with an express commitment to contribute to diversity-rich leadership training at the campus, and throughout the UC System. The North Hall Chair will direct a leadership training institute, supported by UCSB Economics, the Office of the Dean, and the Executive Vice Chancellor, and will initially be housed in the Division of Social Sciences, and will offer a year-long program to faculty members across the university who have a future interest in leadership positions.

In addition, through the UCSB Economics initiative, a faculty member in Black Studies, whose reach intersects substantially with Economics, was recruited. This recruitment will strengthen the intellectual ties and collaborative relations between the two departments.

In addressing the success of the department in recruiting four new faculty members as part of the initiative, the Dean of the College of Letters and Science noted that the “new faculty members comprise a qualitative leap forward in the diversity of Economics research and pedagogy; moreover, we are confident that this success will have a positive cumulative effect on future recruitment efforts. That is, a more diverse Department will have a greater chance of future diversity-enhancing recruitments.”

Future Plans

UCSB Economics intends to continue their proactive search efforts. They will continue to strive for inclusive applicants and first-round interview pools. They will also continue to ensure that their department enhances the productivity for all faculty on research, teaching, and professional dimensions.

IX. Summary of Findings for All Four Pilot Units

Overall, the additional funding allocated to UC resulted in substantial progress in increasing faculty diversity. By selecting different interventions and comparing the pilot units' results in 2015-17 to their results in the funded year (2017-18) in their own unit and against those of a comparator unit, UC sought to identify the most successful methods with the hope of adapting and replicating them to produce positive outcomes at all campuses. It is important to recognize that a limited number of comparisons were made between the four pilots and comparator programs. The overall number of hires evaluated through these studies is small and should be considered representative of the ability of thoughtful interventions to improve the diversity of applicants considered and ultimately hired into the UC faculty. These results provide evidence that a variety of practices can be implemented across disciplines to improve diversity in hiring and demonstrate that allowing flexible, locally-configured approaches shows promise. Longer term studies and comparisons are needed to demonstrate statistically valid comparisons. It is also important to recognize that there are other practices besides faculty hiring – for example, supporting graduate students and postdoctoral scholars and improving the climate for faculty success – that would strengthen the pipeline and increase the availability pool of excellent faculty, as well as supporting faculty retention.

The interventions that appear to have been the most successful in the four 2017-18 pilot units were as follows:

- **accountability** on campus as well as at the systemwide level (through the Program Advisory Group, which met monthly);
- **campus commitment of funding**, either one-time or permanent (FTE);
- **enhanced outreach** through personal contacts, use of databases, and targeted ads;
- associated use of **PPFP/CFP recruitments**;
- **targeting potential faculty slightly earlier** in their careers through support for post-doctoral work;
- **strong leadership and sustained and strategic involvement** from the unit leaders, including a department chair, deans, a vice provost, and a vice chancellor;
- **rubrics** to guide decision-making by faculty members;
- strengthening the role of **faculty equity advisors** during the recruitment process;
- use of “**contributions to diversity statements**” in candidate evaluation; and
- **significant involvement of hiring committees**, including centralized review committees.

A challenge with the one-time funding model remains that by the time the funds were allocated to the pilot units, faculty recruitments had already started in some departments, making it difficult to fully realize the effectiveness and impact of the proposed interventions. If pilot units were provided more lead time following receipt of the funding to implement their proposed hiring practices, it is likely that the effectiveness of the proposed interventions would be more readily apparent. Regardless of this challenge, all four units saw a significant increase in the percent of new URM faculty hired, as well as an increase in the percent of new female faculty hired. All units also saw significant change in practice and conversation within their units. It is clear that the infusion of funds into the pilot units made a difference in faculty diversity relative to their past performance and to the comparator units.

X. Looking Ahead

The results of the 2017-18 Advancing Faculty Diversity program at UC, using the additional funding allocated by the State, suggest that additional funding on targeted interventions does have an impact on supporting and increasing equal employment opportunity in faculty employment. UC's many other colleges and schools also continued their work on diversifying the faculty during the 2017-18 year. UC remains committed to its work on increasing the pipeline of potential faculty including its work to build strong support systems for graduate students and post-doctoral scholars as well as early career and established faculty.

UC's budget for 2018-19 includes an additional \$2M allocation from the State to support best practices in equal employment opportunity in the current year. To select the pilot units for the third year of funding, on July 12, 2018 the UC Provost invited each campus to propose an intensified approach to hiring a more diverse faculty in a selected unit with the adoption of specific interventions from the first two years. Campuses submitted strong proposals, each drawing from on-going campus efforts and from the successful interventions by the year one and two pilot units as well as proposing new interventions. The 2018-19 program will also be expanded to include campus proposals that will focus on faculty retention efforts, including programs targeted at department or school climate. The Office of the President will provide the funding for the retention programs.

As other units adapt and implement the successful strategies from the 2016-17 and 2017-18 funding years, UC can identify the most successful recruitment methods that are also transferable across different units and campuses. Finally, continued examination of years one and two of the program provides an opportunity for UC to study the ongoing impact of the interventions on the pilot units.

Contact Information:
Office of the President
University of California
1111 Franklin Street
Oakland, CA 94607
<http://ucop.edu/>

Final Report on the 2017-18 Use of One-time Funds to Support Best Practices in Equal Employment Opportunity in Faculty Employment

**Report to the State Legislature
Submitted by
UC Office of the President**

December 2018

TABLE OF CONTENTS

I.	Executive Summary	2
II.	The University of California’s Commitment to Faculty Diversity	4
III.	The University of California’s Approach to the One-time Allocation of \$2 Million to Support Equal Opportunity in Faculty Employment	6
IV.	Practices in Place to Advance Faculty Diversity	10
V.	Pilot A Program: Advancing Faculty Diversity in Berkeley Engineering – UC Berkeley	11
VI.	Pilot B Program: Building Our Own Pipeline to the Professoriate: Advancing Faculty Diversity in Science, Technology, Engineering, and Mathematics Schools – UC Irvine	16
VII.	Pilot C Program: Engineering Diversity: Advancing Faculty Diversity in the Biomedical Sciences – UC San Francisco	21
VIII.	Pilot D Program: Enhancing Faculty Diversity, Department of Economics – UC Santa Barbara	25
IX.	Summary of Findings for All Four Pilot Units	29
X.	Looking Ahead	30

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 2017 Budget Act, Provision 2.5(b)2 (AB 97, Chapter 14, Statutes of 2017), which states:

“Of the funds appropriated in this item, the following amounts are provided on a one-time basis: (1) \$2,000,000 for the creation or expansion of equal employment opportunity programs. Funding should be distributed to selected departments on campuses seeking to create or expand equal employment opportunity programs. (2) The University of California shall submit, no later than December 1, 2017, a report to the Legislature, in conformity with Section 9795 of the Government Code, that describes uses of these funds and indicates the number of ladder-rank faculty at the university, disaggregated by race, ethnicity, and gender.”

This final report is a follow-up to the preliminary report submitted by President Napolitano on November 13, 2017.

I. Executive Summary

This is a report on the \$2,000,000 provided to UC to support equal opportunity in faculty employment. With the second year of one-time funds, UC supported new faculty diversity efforts on “pilot” programs at four campuses that supplemented but did not supplant already existing programs. Taking a scientific, evidence-based approach, UC used the new funds to identify best practices in recruitment of a diverse faculty by concentrating funds on a few targeted interventions.

Instead of distributing funds across all campuses and diluting the impact of the supplemental funding, UC decided to focus on four units where a significant influx of resources could have immediate impact through an intensified approach to hiring diverse faculty. In order to gauge the success of the interventions in the pilot units, comparator units that had not received any supplemental funding were designated and monitored alongside the pilot units throughout the year. In addition, the 2017-18 hiring results in each pilot unit were compared with the hiring results from the prior two years in the pilot unit.

In the 2017-18 funding year, there was a substantial increase in the percentage of underrepresented minority (URM) and female faculty as finalists in three pilot units and of those hired in all four pilot units. The four pilot units averaged a 30.7% increase in URM faculty hired and 12.0% increase in female faculty hired compared to the hiring over the prior two years. In the meantime, the comparator units, who did not receive any additional funding, averaged a 9.2% increase in URM faculty hired and a 12.1% increase in female faculty hired compared to the hiring over the prior two years. All four pilot units hired new faculty who have made valuable contributions to diversity, which will improve the campus climate for women

and URM and promote equal opportunity for all members of the academic community. It is clear that the infusion of funds into the pilot units made a difference in faculty diversity relative to their past performance and to the comparator units.

After a competition among the campuses, UC selected four units to be pilot units in fiscal year 2017-18: the College of Engineering at UC Berkeley; STEM (Science, Technology, Engineering, and Mathematics) schools at UC Irvine; Biomedical Sciences schools at UC San Francisco; and the Department of Economics at UC Santa Barbara. All four pilot units proposed innovative interventions to advance faculty diversity and presented evidence of 1) a need to make progress in faculty diversity; 2) commitment to improve faculty diversity; and 3) capacity to develop practices that can be adopted more broadly with sufficient future funding. The pilot units utilized the supplemental funds for the following programs:

UC Berkeley. Advancing Faculty Diversity in Berkeley Engineering. \$500K. With strong commitment by the leadership and plans for substantial hiring in 2017-18, this program focused on four broad categories: increase the diversity of applicant pools; emphasize and require contributions to equity and inclusion; improve evaluation and reduce bias; and increase the effectiveness of interviews, recruiting, and professional development. In addition to employing best practices already promoted by the campus and ensuring they are implemented well, this program implemented additional interventions, including those identified in year one of the Advancing Faculty Diversity program and from UC Berkeley's own Search Committee Chair Survey conducted from 2012-16. The interventions included revisions to position announcements, targeted outreach, required diversity statements, expanded startup funding, equity advisor meetings for candidates, evaluation of candidates by a student committee, multi-criteria rubrics, a centralized review committee, increased pool of finalists, support for partner/spouse careers, and postdoctoral support.

UC Irvine: Building Our Own Pipeline to the Professoriate: Advancing Faculty Diversity in Science, Technology, Engineering, and Mathematics Schools at the University of California, Irvine. \$450K. In addition to extending best practices in use at UCI, this program piloted a locally-funded Provost Hiring Incentive to recruit former postdoctoral scholars associated with the system-wide University of California President's Postdoctoral Fellowship Program (PPFP) and the campus-level partner Chancellor's Postdoctoral Fellowship programs (CPF). The program supported the transitions of postdoctoral scholars into faculty positions through a concierge strategy that consisted of research support, work-life integration resources, and community connections for retention and advancement through a newly-established Society of Inclusive Excellence Fellows. One of the schools comprising the pilot unit served as a comparator unit during year one of the Advancing Faculty Diversity program.

UC San Francisco: Advancing Faculty Diversity in the Biomedical Sciences at the University of California, San Francisco. \$450K. With the recruitment of new Deans in the School of Nursing and School of Dentistry, there was significant hiring of ladder-rank faculty in the biomedical sciences in 2017-18. For optimal impact on these recruitments, this program

included a search oversight committee and active and targeted outreach through search ambassadors; the program also leveraged the existing mentoring program, required diversity statements, and allocated recruitment funds to faculty who will contribute significantly to diversity and inclusion. The Executive Vice Chancellor and Provost provided matching funds for the recruitment of the faculty.

UC Santa Barbara: Enhancing Faculty Diversity at UC Santa Barbara, Department of Economics. \$500K. The Department of Economics prepared a comprehensive plan that built on a cluster hire approach to construct a strategic initiative that focused on four key components: searching across multiple ranks and fields, advertising, attractive research start-up packages, and enhanced faculty and staff time to focus on a broad search. A key component of this program was the adaptation of a successful intervention from year one of the Advancing Faculty Diversity program with the creation of a postdoctoral fellowship to precede the assistant professorship, as well as enhancement of the endowed chair start-up package to support work with underrepresented minority and low-income students.

The final results of the pilot programs suggest that the following may be best practices that UC can continue to test with the additional third year of funding allocated by the State:

- **accountability** on campus as well as at the systemwide level (through the Program Advisory Group, which met monthly);
- **campus commitment of funding**, for either one-time or permanent full-time equivalent (FTE) faculty;
- **enhanced outreach** through personal contacts, use of databases, and targeted ads;
- associated use of **PPFP/CFP recruitments**;
- **targeting potential faculty slightly earlier** in their careers through support for post-doctoral work;
- **strong leadership and sustained and strategic involvement** from the unit leaders, including a department chair, deans, a vice provost, and a vice chancellor;
- **rubrics/criteria** to guide decision-making by faculty members;
- strengthening the role of **faculty equity advisors** during the recruitment process;
- use of “**contributions to diversity statements**” in candidate evaluation; and
- **significant involvement of hiring committees**, including centralized review committees.

II. The University of California’s Commitment to Faculty Diversity

The University of California is committed to increasing the diversity of its faculty. A diverse faculty brings a wide range of interests, abilities, life experiences, and worldviews that enhance UC’s teaching, research and public service mission. A diverse faculty reflects UC’s commitment to equality of opportunity and excellence, ensuring that UC can serve the needs of our increasingly diverse society and fully utilize the intellectual resources embedded in that diversity.

Proposition 209, the 1996 voter initiative codified as article I, section 31 of the California Constitution, prohibits universities in California from discriminating against or “granting preferential treatment” to any individual or group on the basis of race, sex, color, ethnicity or national origin. As established by Proposition 209, UC may not, and does not, consider an individual’s race or gender in the selection of individuals for faculty appointment. While Proposition 209 eliminated some of the tools that UC had previously employed to achieve diversity in its faculty, there are many steps that UC has taken to maintain and enhance diversity and equal opportunity in faculty employment in full compliance with current law.

UC is particularly focused on increasing the presence of underrepresented minorities (African-American, Chicano (a)/Latino (a)/Hispanic, and Native American) and women in its faculty. Through its policies, UC has adopted a strategy for recruiting and retaining a diverse faculty by recognizing and rewarding faculty contributions to diversity and equal opportunity through their teaching, research, outreach, and service. An excerpt from the Academic Personnel Manual (APM) states:

The University of California is committed to excellence and equity in every facet of its mission. Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California’s diverse population, or research in a scholar’s area of expertise that highlights inequalities. Mentoring and advising of students and faculty members, particularly from underrepresented and underserved populations, should be given due recognition in the teaching or service categories of the academic personnel process.

(APM - 210-1-d, <http://ucop.edu/academic-personnel-programs/files/apm/apm-210.pdf>)

Valuing faculty contributions to diversity improves the campus climate for all, especially women and underrepresented minorities, best serves the needs of our diverse student body, and promotes equal opportunity for all members of the academic community.

Ongoing efforts to diversify the faculty are in place at all campuses and at UCOP; these efforts continued in parallel with the one-time funding of \$2 million from the state. For example, the President’s Postdoctoral Fellowship Program (PPFP) offers postdoctoral research fellowships, faculty mentoring, and eligibility for a faculty hiring incentive to outstanding scholars in all fields whose research, teaching, and service will contribute to diversity and equal opportunity. Although the PPFP is a small program, from Academic Year 2003-2004 through Academic Year 2018-2019, 191 UC faculty new hires were PPFP fellows. With pending confirmations for

Academic Year 2018-2019 and confirmations and pending offers for Academic Year 2019-2020, up to an additional 17 PPFP fellows will be hired as UC faculty.

All ten campuses commit funding and personnel to support best practices in recruiting and retaining a diverse faculty including monitoring recruitment efforts; implicit bias and climate enhancement training; and use of a common on-line recruitment system (UC Recruit) that establishes systemwide minimum recruitment requirements and 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; designating endowed chairs to support diverse faculty; 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.

More in-depth information can be found on UCOP’s website dedicated to faculty diversity (<http://ucop.edu/faculty-diversity/index.html>); the website includes a description of some of the systemwide and campus diversity efforts currently underway. Additional information is also included in the September 2018 Board of Regents item on Faculty Diversity: <http://regents.universityofcalifornia.edu/regmeet/sept18/a2.pdf>

III. The University of California’s Approach to the One-time Allocation of \$2 Million to Support Equal Employment Opportunity in Faculty Employment

In an effort to make the best possible use of the one-time allocation of \$2 million towards supporting equal employment opportunity in faculty employment, UC proposed that the \$2 million allocation be used to support new faculty diversity efforts that supplement, but do not supplant, other efforts already underway. UC suggested a scientific, evidence-based approach, to identify best practices from pilot units that can be expanded in coming years to other units, and would maximize the impact of future funding.

After consultation with stakeholders, UC launched its plan to select campus units to act as pilot sites during the course of the 2017-18 faculty recruitment cycle.¹ This has allowed 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. During the current,

¹ On November 13, 2017, UC submitted to the Director of Finance and the Legislature, in conformity with Section 9795 of the Government Code, a report that included the number of ladder-rank faculty, disaggregated by race, ethnicity, and gender, and provided a description of the specific uses of these funds to support equal employment opportunity in faculty employment.

third, year of the program, UC will award funds to campus units in a similar fashion to year one and two, asking that they consider adopting successful interventions from the 2016-17 and 2017-18 programs. The 2018-19 program will also be expanded to include campus proposals that will focus on faculty retention efforts, including programs targeted at department or school climate. The Office of the President will provide the funding for the retention programs.

Selection of Pilot Units

On July 31, 2017, the UC Provost invited each campus to propose an intensified approach to hiring a more diverse faculty within a selected unit. Review criteria were established and communicated to campuses prior to submission of the proposals. The Provost also asked 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.

Campus proposals were innovative and illustrative of how much the campuses are already engaged in this issue. The best proposals came from units that had demonstrated some prior success in their diversity efforts and that displayed a deep understanding of and support for increasing faculty diversity. They also specified how a sizable investment could facilitate more diverse hiring during the 2017-18 academic year.

Based on input from a review committee of faculty and academic administrators, the President's Office selected four campus units to receive the bulk of the funding as pilot units: College of Engineering at UC Berkeley; STEM Schools at UC Irvine; Biomedical Sciences Schools at UC San Francisco; and Department of Economics at UC Santa Barbara. The four pilot programs shared the following qualities:

- They acknowledged the importance of a diverse faculty to UC's diverse student body;
- There was strong support for diversity from the Dean(s)/Chair(s) and evidence of previous efforts to build an understanding of climate and inclusion issues;
- Campus-wide support for efforts to recruit and retain diverse faculty and to build a more inclusive campus climate were evident; and
- Each unit was planning sufficient hiring for the year, so their enhanced recruitment efforts were more likely to produce a diverse set of new faculty members.

Development of Evaluative Procedures and Input from Campus Leadership

Systemwide Program Advisory Group

The Office of the President convened a systemwide Program Advisory Group to help guide and monitor the four pilot programs during 2017-18. The advisory group met monthly and included representatives appointed by the Chancellor and Executive Vice Chancellor/Provost on each campus as well as Academic Senate representatives. The advisory group was instrumental in informing the collection and analysis of data and metrics. The group also advised on the development of reports on the pilot programs and shared in the work of

designing the best ways to ensure the pilot programs could advance future efforts to diversify UC faculty.

Selection of Comparator Units

Each of the four pilot units were assigned at least one comparator unit, so that the efforts and hiring in the funded units could be compared to the efforts and hiring in comparator units that did not receive supplemental funding. Of the \$2 million allocation, \$100,000 was distributed across six comparator units and to the UC Recruit data team located at UC Irvine to support data collection and reporting efforts. The UC Recruit team provided data support for the program and helped identify which recruitment practices correlated with more diverse hiring.

UC comparator units were invited to take part based on similarities in size, location, number of recruitments, and, in some cases, ranking. See Table 1 below.

Table 1. Comparator Units

Pilot school/college	Comparator school/college	Rationale
UC Berkeley College of Engineering	Comparator Unit A	Similar ranking, location, and size.
UC Irvine STEM Schools	Comparator Unit B	The STEM programs and practices are related in subspecialties and size.
UC San Francisco Biomedical Sciences Schools	Comparator Unit C and Comparator Unit D	Similar regional impact on recruitment and a combined recruitment number of ladder-rank faculty that provides an appropriate comparison level.
UC Santa Barbara Department of Economics	Comparator Unit E and Comparator Unit F	Pilot unit's ranking is between the two comparator units and the combined recruitment number in 2017-18 provides an appropriate comparison level.

There was substantial effort required by the comparator units to provide information on their hiring and climate issues and the program funds supported appropriate part-time staff time. In partnership with the UC Recruit team, the Office of the President put together a profile of the six comparator units, including data on hiring. Comparator units provided data verification on the profile of their unit. In addition, comparator units provided an inventory of the practices currently in place to support faculty diversity both in their school/college/department and on campus.

Data Collection

Each pilot unit's 2017-18 recruitment and hiring data were compared with two sets of data.

1) The current year's hiring results in each pilot unit were compared with the hiring results from the prior two years in the pilot unit. 2) The 2017-18 hiring results in each pilot unit were compared to the 2017-18 hiring results in the comparator unit. (Note that hiring in these pilot and comparator units is commonly assessed by academic year, with the exception of Biomedical Sciences at UCSF and Comparator Units C and D, which are fiscal year.) Collected data were used to determine whether the interventions supported by the additional state funds had an impact on the diversity of faculty recruited in the pilot units in 2017-18.

To assess whether the infusion of funds into the pilot units makes a difference in faculty diversity relative to the comparator units (who received no additional funding for their recruitment efforts) and relative to the pilot units' prior years' efforts, the pilot units, comparator units, and the UC Recruit team collected the following data for two recruitment cycles, from July 2015 through June 2017: 1) recruitment efforts; 2) practices in advancing faculty diversity; and 3) pilot-specific data.

1. **Recruitment efforts.** Using information accessible in UC Recruit², the Survey of Earned Doctorates (SED)³, the American Medical Association data, and the Corporate Personnel System, the UC Office of the President, in partnership with the UC Recruit team and campus units, gathered and validated the race/ethnicity and gender demographic data from the prior two years - July 1, 2015 through June 30, 2017 - and the current year, July 1, 2017 through June 30, 2018, for the following stages of recruitment:
 - a. Demographics of availability pools (the population of recent PhDs in specific academic disciplines from institutions across the U.S.)⁴
 - b. Demographics of applicant pools
 - c. Demographics of finalists⁵

² Many academic recruitments begin before the academic year in which the candidate is hired. However, in order to maintain consistency across all pilot and comparator units, a bright line rule was established that only jobs that were posted in UC Recruit after the beginning of the 2015-16 academic year and had a successful hire at the end of the 2016-17 academic year were counted. The same rule was applied to the 2017-18 academic year data. As a result, the URM and female new faculty hires in 2015-18 were not counted if the job was originally posted before 2015-16.

³ The SED is sponsored by the National Center for Science and Engineering Statistics (NCSES) within the National Science Foundation (NSF) and by five other federal agencies: the National Institutes of Health, U.S. Department of Education, U.S. Department of Agriculture, National Endowment for the Humanities, and National Aeronautics and Space Administration. The survey gathers data from all research doctorate graduates on their educational history, sources of support, and post-graduation plans. The completed survey responses become part of the Doctorate Records File (DRF), a virtually complete data bank on doctorate recipients from 1920 to the present and the major source of doctoral data at the national level. The profiles of doctorate recipients that emerge from these data serve policymakers at the federal, state, local, and university levels.

⁴ Consistent with federal reporting obligations, the availabilities dataset used includes only U.S. citizens and permanent residents.

⁵ Finalists are those who were brought to campus for full in-person interviews.

d. Demographics of hires.⁶

2. **Practices in Advancing Faculty Diversity.** Each pilot and comparator unit submitted information on diversity practices in place in their school/college, as well as on their campus (see section IV below).
3. **Data collection specific to individual pilot units.** Each of the three pilot units also proposed data collection to allow for analysis of the effectiveness of their specific interventions during the pilot year compared to their data from prior years. The 2015-17 past performance data was then compared to data from 2017-18.

IV. Practices in Place to Advance Faculty Diversity

Each of the four pilot and six comparator units submitted information on diversity practices currently in place in their unit as well as at the campus level. These are considered to be “best practices” in building a supportive climate for recruitment and retention of a diverse faculty and will continue to be implemented at these locations. The interventions supported by the additional one-time funding were intended to supplement these current practices and help UC identify the most effective practices that, with sufficient future funding, should be adopted and/or expanded more broadly across all campuses to support equal opportunity in faculty employment.

All pilot and comparator units already have the following practices in place campus-wide (these practices are also in place at other UC campuses as well):

- senior-level **campus advisory councils** that advise the Chancellor with particular attention to institutional access and representation, campus climate and intergroup relations, and institutional transformation;
- senior-level **diversity leaders** who advance institutional priorities for diversity, equity, and inclusion as essential ingredients of academic excellence in higher education;
- **administrative review** of search plans, applicant pools, recruitment shortlists, and search reports, and comparison of the applicant and proposed interview pools to the availability pool and the department’s equal opportunity goals;
- **faculty recruitment search plans** that support broad, equitable and inclusive searches and search practices;
- **President’s Postdoctoral Fellowships and Chancellor’s Postdoctoral Fellowships** that offer faculty mentoring and eligibility for a hiring incentive to outstanding scholars in all fields whose research, teaching, and service contribute to diversity and equal opportunity at UC;
- inclusion of **candidate diversity statements** in the review criteria for appointment, promotion, and/or appraisal;

⁶ Hired includes those who were candidates proposed for hire, candidates with an offer, candidates who accepted an offer, and candidates who were hired as of July 31, 2018. Any candidates who were hired after July 31, 2018 were not captured and therefore the final numbers may vary slightly.

- use of an **automated academic recruitment system** (UC Recruit) that can aid campus equal opportunity efforts and annual reporting requirements;
- **equal opportunity/discrimination prevention offices** that closely monitor every academic search, and that provide guidance and advice to academic search committees;
- **implicit/unconscious bias training and climate enhancement** to mitigate the impact on recruitment and retention of attitudes or stereotypes that affect understanding, actions, and decisions in an unconscious manner;
- **search process improvements and committee trainings** on how implicit and institutional biases influence recruitment pools and candidate evaluation;
- **recruitment ads placed in diverse publications** that highlight UC's commitment to diversity;
- **benchmarking data** with tracking and progress reporting on faculty diversity, both campus-wide and within individual departments, divisions, colleges, and professional schools;
- **salary equity reviews** to ensure that salaries are internally consistent; and
- **trend data** for every school/college and department on campus that show demographics of national degree recipients in the selected department/school/college, including PhD recipients, of recent hires, and of department demographic composition by rank.

In addition, some of the pilot and comparator units also have executive sponsorship for URM/women, diversity accountability for deans, strategic action plans for diversity and inclusion, FTE allocations that prioritize contributions to diversity, diversity certification, exit and retention surveys, faculty climate surveys, federally-funded and UC-based programs to support URM recruitment and hiring, financial support for research on diversity-related issues, equity advisors/diversity liaisons, faculty of color networks, formal mentoring programs, institutional memberships in diversity-focused organizations, endowed chairs to support recruitments, and participation in networks and at conferences to encourage diverse candidates to apply for positions.

V. Pilot A Program: Advancing Faculty Diversity in Berkeley Engineering - UC Berkeley

Profile of Pilot A and Comparator A

Based on Fall 2017 data, there are a total of 236 Ladder-Rank Faculty and Equivalent ("faculty"⁷) in the UC Berkeley College of Engineering (CoE). Underrepresented minorities are 6.4% and women are 17.8% of total faculty in CoE. In Comparator A, there are a total of 179 faculty (2.2% URM and 15.1% female). The national availability⁸ of recent doctoral recipients in engineering and computer science is 10.6% URM and 24.5% women.

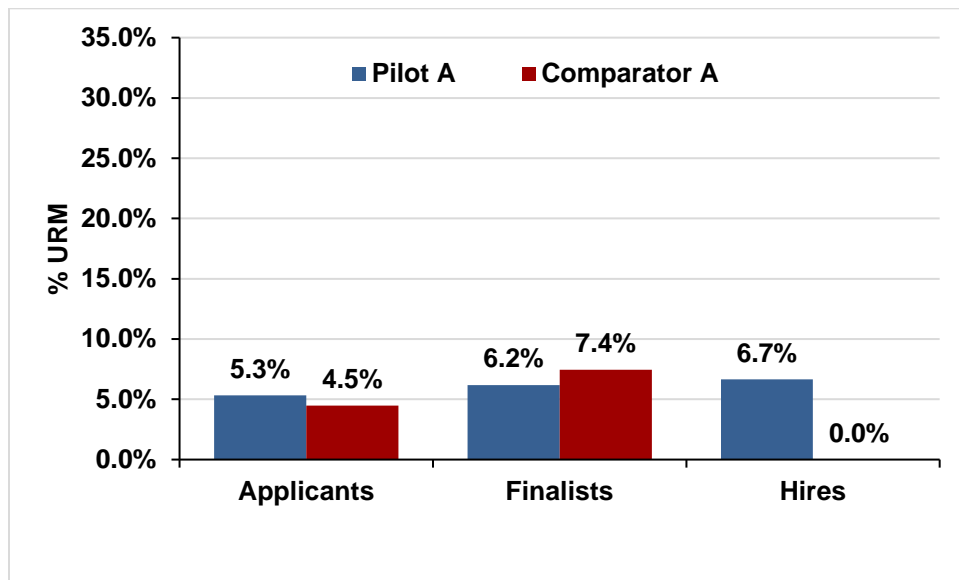
⁷ Current faculty composition is defined as Ladder-Rank Faculty and Lecturer with Security of Employment positions in the Corporate Personnel System (CPS) October 2017 snapshot file.

⁸ U.S. citizen and permanent residents who received PhDs from U.S. universities from 2011 through 2015, as reported in the Survey of Earned Doctorates.

There are a total of 5,333 students in the pilot unit (3,373 undergraduate students and 1,960 graduate students), with 9.3% undergraduate URM and 6.8% graduate URM, as well as 25.9% undergraduate women and 29.7% graduate women. There are a total of 5,892 students in Comparator A (3,627 undergraduate and 2,265 graduate students), with 10.0% undergraduate URM and 5.7% graduate URM, as well as 25.4% undergraduate women and 22.3% graduate women.

The 2015-17 recruitment data show that both the pilot and comparator units remained relatively flat in making progress in diversifying their faculty as new faculty were hired, with the exception of women in the pilot unit, which slightly exceeded the national availability. As reflected in Chart 1 below, in academic years 2015-17, 5.3% of qualified applicants⁹ in the pilot unit were URM. Out of the qualified applicants, 6.2% of the finalists were URM, and ultimately 6.7% of those hired were URM. The proportion of qualified applicants and finalists in the comparator unit were similar to the pilot unit though the comparator unit did not hire any new URM faculty.

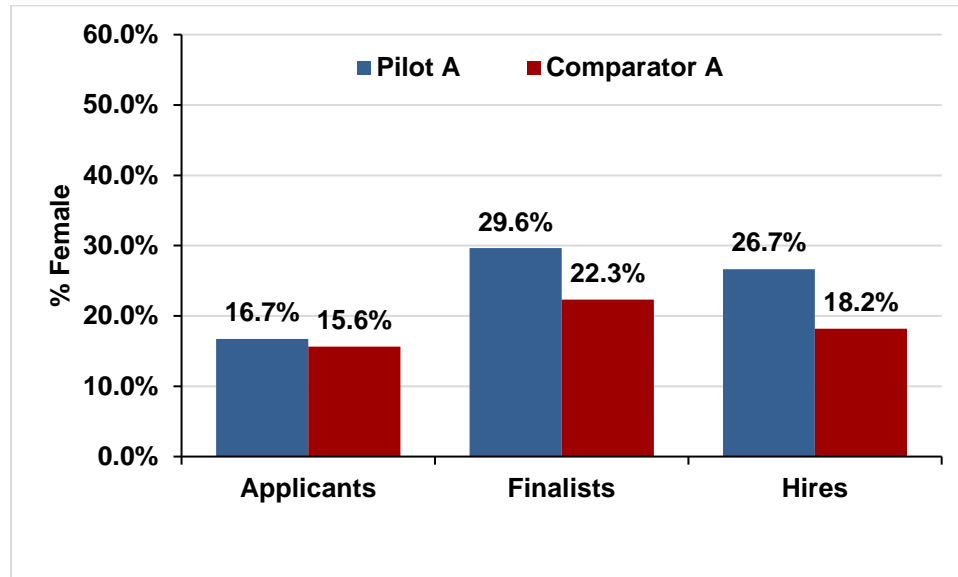
Chart 1: Pilot A and Comparator A
Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Years 2015-16 and 2016-17



As reflected in Chart 2 below, women were 16.7% of the qualified applicants, 29.6% of the finalists, and 26.7% of those hired in the pilot unit. In comparison, women were 15.6% of the qualified applicants, 22.3% of the finalists, and 18.2% of those hired in the comparator unit.

⁹ Applicants who meet the minimum qualifications for the position are “qualified applicants.”

Chart 2: Pilot A and Comparator A
Percentage (%) of Female Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic
Years 2015-16 and 2016-17



The data show that both the pilot and comparator unit lag behind the national availability of recent doctoral recipients in their total engineering and computer science faculty, as well as in their recent hires from 2015-17, with the exception of female faculty in the pilot unit.

Overview of Pilot A Program

Advancing Faculty Diversity in Berkeley Engineering was proposed jointly by the Provost and Executive Vice Chancellor and Dean of the College of Engineering, and endorsed by each of the Department Chairs in the College. The goals of the CoE were to: (1) improve the faculty search process to overcome barriers faced by female and URM applicants, and (2) cultivate a culture throughout the CoE in which all members of the community view themselves as active participants in advancing equity and inclusion (E&I).

New search guidelines were developed, which each departmental search committee adopted and modified as needed to fit their individual needs and experience. With the guidelines, the CoE introduced new elements throughout their search processes with the aim of attracting more diverse candidate pools (e.g., greater numbers of female and URM applicants), reducing bias throughout all stages of the evaluation process, and successfully recruiting their top candidates. A key element of these new guidelines was the requirement that all successful faculty candidates demonstrate how they could contribute to the CoE's diversity, equity, and inclusion efforts. Candidates were provided with guidance at each stage of the search process so that they had the opportunity to prepare evidence to demonstrate their contributions. The CoE also developed specific guidance for faculty and students to assist them as they evaluated

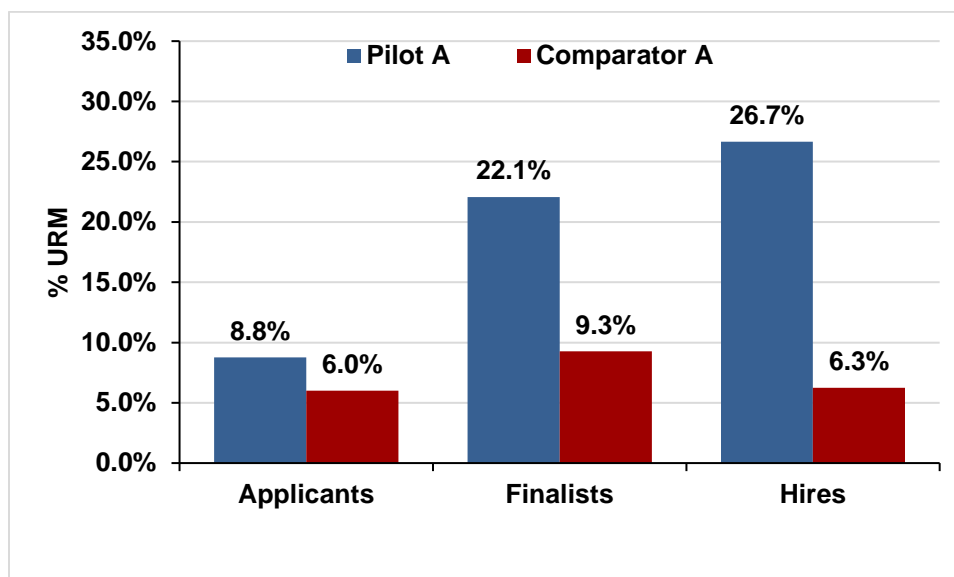
candidates' contributions to diversity via their diversity statements and their interview and other meetings with College constituents.

An additional novel aspect of the searches in 2017-18 was the provision of five unallocated FTE slots to the CoE. Departments had the option to compete for one of these CoE slots, knowing that to succeed, all of that department's searches (for both pre-authorized and College slots) had to embrace the new guidelines and demonstrate that all successful candidates achieved excellence at advancing equity and inclusion. CoE emphasized that candidates for all searches had to be evaluated using the same criteria, and all the CoE departments chose to participate in this effort. Thus, in their evaluation of candidates, they placed excellence in advancing equity and inclusion on par with excellence in research, teaching, and service.

Results for Pilot A

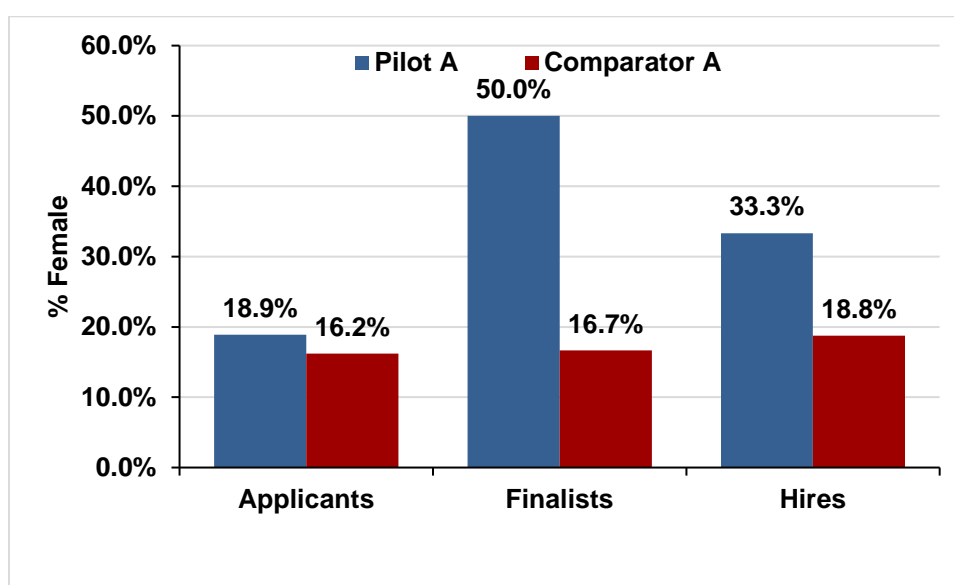
As reflected in Chart 3 below, CoE had a 3.5% increase in URM applicants from 2015-17 to 2017-18. Due to the interventions CoE introduced during the search process, there was a substantial increase in the percentage of URM finalists and those hired in 2017-18; CoE saw a 15.9% increase in URM finalists and a 20.0% increase in URM hires compared to 2015-17. With 26.7% URM hired in 2017-18, CoE exceeded the national availability by 16.1 percentage points. Meanwhile, even though the pilot unit and comparator unit had a similar percentage of URM applicants (8.8% and 6.0%, respectively), only 9.3% of the finalists and 6.3% of those hired in the comparator unit were URM, indicating that the interventions implemented by the pilot unit through the additional state funding had a significant impact on the diversity of the faculty hired in 2017-18.

Chart 3: Pilot A and Comparator A
Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



Additionally, as reflected in Chart 4 below, the proportion of female applicants remained relatively similar in 2017-18 compared to 2015-17 in both the pilot and comparator unit. Again, with the interventions introduced in 2017-18, CoE had a 20.4% increase in female finalists and a 6.6% increase in women hired compared to 2015-17, exceeding the national availability by 8.8 percentage points. The comparator unit, on the other hand, remained relatively consistent in the percentage of female finalists and female faculty hired compared to 2015-17.

Chart 4: Pilot A and Comparator A
Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



The Dean, who is the chief academic and administrative leader for the CoE, stated: “We have learned a tremendous amount through the Advancing Faculty Diversity Initiative, and will continue to refine our search process and guidelines to ensure progress in diversifying the CoE faculty. We are fostering within the CoE a culture of collective responsibility for advancing equity and inclusion. Diversity, Equity & Inclusion (DEI) should be an integral part of the College’s mission, and hence should extend beyond the application and interview processes to be a measurable outcome of our daily research, teaching, and service. To reinforce the importance of DEI, we are explicitly assessing contributions to DEI in faculty merit and advancement cases. Also, the CoE has invested resources to increase staffing support to assist faculty with their efforts to advance diversity, equity, and inclusion. We will continue to monitor our progress in diversifying the faculty and in cultivating an inclusive climate in our educational and research programs.”

Future Plans

The CoE will continue to emphasize in its hiring practices that excellence in advancing equity and inclusion must be considered on par with excellence in research and teaching. The College plans to use the new guidance provided by their Office of Faculty Equity and Welfare, which was revised for the entire campus based on what was learned in the CoE. The materials include guidance to candidates about how to prepare a diversity statement, as well as guidance to search committees for how to include and evaluate contributions to diversity throughout the search process.

In addition to the \$500,000 from the special State funds, the CoE has committed an additional \$250,000 towards equity and inclusion efforts. Part of this funding is going towards a new, full-time staff position titled the “Director of Faculty Engagement in Equity and Inclusion.” The new Director began her position on August 15, 2018, and has started developing a program to support the success of their junior faculty, and to engage all the CoE faculty more deeply in advancing diversity, equity and inclusion.

The \$250,000 commitment from the CoE is also supporting a new partnership with the University of Michigan, College of Engineering, to expand the NextProf Workshop. NextProf aims to diversify the engineering professoriate through a four-day intensive workshop on the faculty search process that brings together 70 graduate students and postdocs from across the country. They aim to inspire and prepare the aspiring faculty to be successful at obtaining faculty positions. Many faculty throughout the College are contributing to the workshop. They plan to actively recruit NextProf participants to apply to CoE faculty openings in the future.

VI. Pilot B Program: Building Our Own Pipeline to the Professoriate: Advancing Faculty Diversity in Science, Technology, Engineering, and Mathematics Schools – UC Irvine

Profile of Pilot B and Comparator B

As of Fall 2017, there are a total of 417 Ladder-Rank Faculty and Equivalent in the UC Irvine Science, Technology, Engineering, and Mathematics (UCI STEM) Schools¹⁰. Underrepresented minorities are 6.0% and women are 25.4% of total faculty in UCI STEM. In Comparator B, there are a total of 523 faculty (7.3% URM and 20.8% female). The national availability of recent doctoral recipients in STEM disciplines (excluding math) is 11.2% URM and 39.4% women.

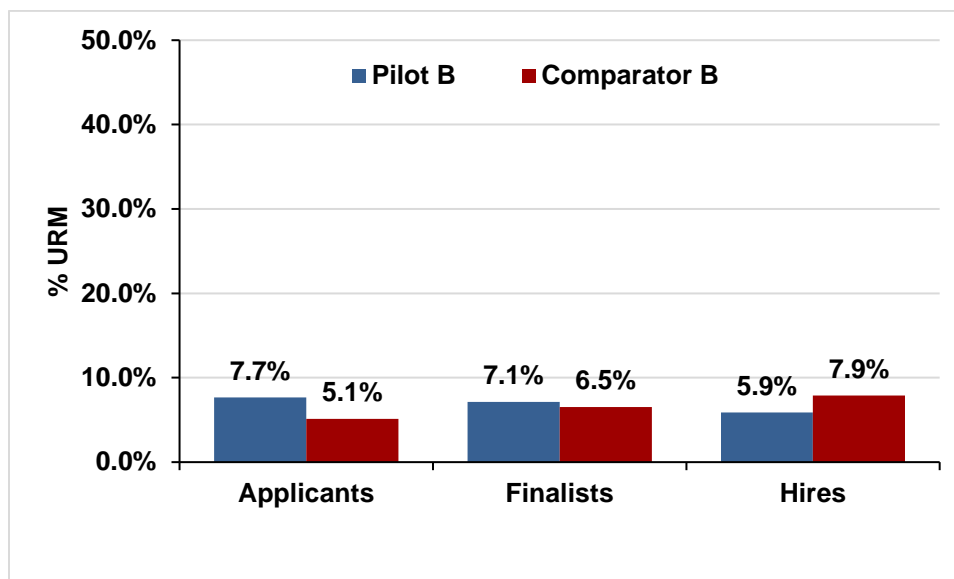
The demographics of the undergraduate student body in the pilot and comparator units are far more diverse than the faculty, while the diversity of the graduate student body is more similar to that of the faculty. There are a total of 13,322 students in the pilot unit (11,139

¹⁰ Schools included in this initiative are the schools of biological sciences, engineering, information and computer sciences, and physical sciences. The Department of Mathematics was not included in the pilot program because math recruitment data is not currently tracked in UC Recruit.

undergraduate students and 2,183 graduate students), with 23.6% undergraduate URM and 7.7% graduate URM, as well as 39.8% undergraduate women and 35.9% graduate women. There are a total of 17,997 students in Comparator B (14,062 undergraduate and 3,935 graduate students), with 18.8% undergraduate URM and 6.9% graduate URM, as well as 43.8% undergraduate women and 31.6% graduate women.

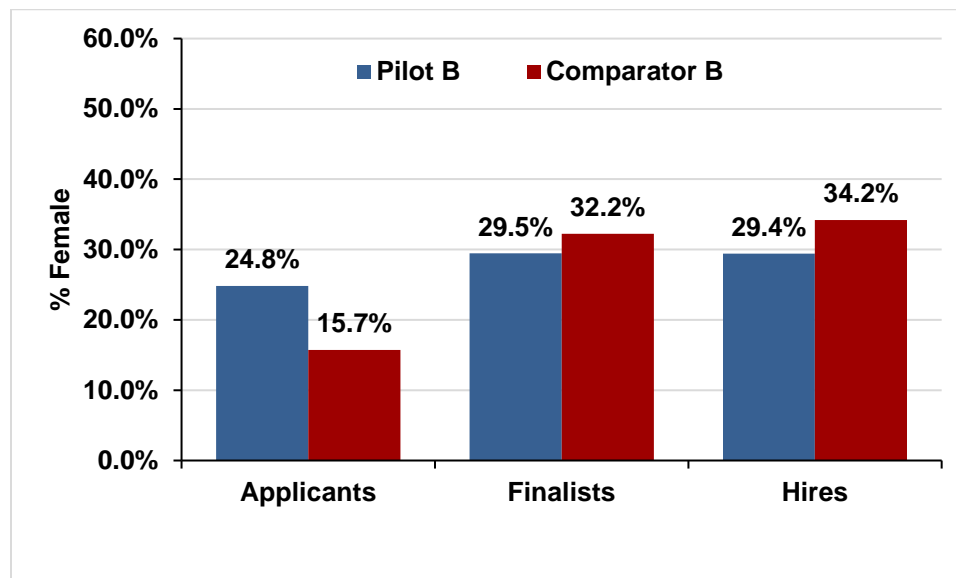
The percentage of URM and female faculty in both the pilot and comparator unit fall below the national availability in the STEM disciplines. In 2015-17, the percentage of URM hired as new faculty remained below the national availability in both the pilot and comparator units.

Chart 5: Pilot B and Comparator B
Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Years 2015-16 and 2016-17



As reflected in Chart 6 below, the percentage of new female faculty hired in 2015-17 in the pilot and comparator units was greater than the current percentage in the unit, although below the national availability.

Chart 6: Pilot B and Comparator B
Percentage (%) of Female Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic
Years 2015-16 and 2016-17



Overview of Pilot B Program

The UCI STEM pilot involved four academic units: the School of Biological Sciences, The Henry Samueli School of Engineering, the Donald Bren School of Information and Computer Sciences, and the School of Physical Sciences. These units opened a total of 49 faculty recruitments in 2017-18, representing 42% of faculty recruitments campus-wide for faculty during this period.

A major emphasis of this pilot focused on expanding recruitment networks, and on broadening the diverse pool of candidates through effective search procedures and consideration of former and current fellows from the University of California President’s Postdoctoral Fellowship Program and UC Chancellor’s Postdoctoral Fellowship Program (UC PPFP/UC CPF). To this end, each academic unit involved developed either Equity Committees or reviewers who reviewed resource listings of fellows to identify and refer potential candidates to search committees for their recruitment actions. The \$450K in funding through the pilot program provided Start-up Supplemental Grants of \$62,500 for each new hire (campus sources provided the balance of funding for this effort) to foster research activities among the new hires.

The new strategies – broadening recruitment networks and incentivizing hiring for the departments and candidates – were integrated into regular recruitment processes to complement existing equity advisor presentations and consultations to search committees about implicit bias and recruitment best practices. The equity advisors are faculty peer advisors who monitor the search process and practices to support diverse faculty recruitment and retention. In addition to examining search practices, the equity advisors implemented Career

Concierge Strategies to provide information to candidates about family friendly accommodations, salary equity practices, mentoring, and school climate initiatives.

Additional new and continuing resources were identified to effectively recruit and support entering STEM faculty. Specifically, a Society of Inclusive Excellence Fellows was established during 2017-18 to engage faculty and postdoctoral scholars at UCI who are associated with UC PPFP/CPF programs in quarterly meetings of interest. The Society creates a new network for professional development among entering and continuing faculty members who have been affiliated with the mentoring and research opportunities hosted through the UC fellowship programs.

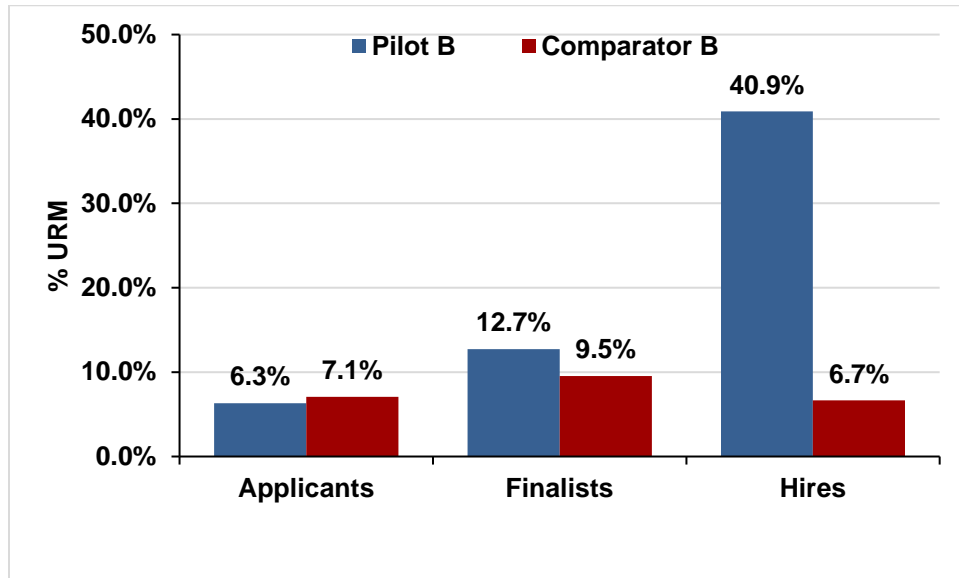
Fellows and former fellows who were offered faculty positions through this pilot program also are poised to benefit from existing support programs to enhance their productivity. The eight STEM hires are eligible for funding through the UCI Travel Awards program, and for Career Awards disbursed by the Office of Inclusive Excellence to underwrite participation in a nationally-recognized Faculty Success Program. These resources will be available to new faculty as tenure-track assistant professors.

Results for Pilot B

The “Building Our Own Pipeline to the Professoriate” pilot successfully led to the recruitment of eight new STEM faculty who were formerly or currently awarded the UC postdoctoral fellowships. Review of these outcomes suggest that increased outreach to diverse networks that included UC PPFP and CPF scholars provided search committees with valuable ways to broaden their pool of potential candidates and to interest diverse researchers in UCI faculty positions.

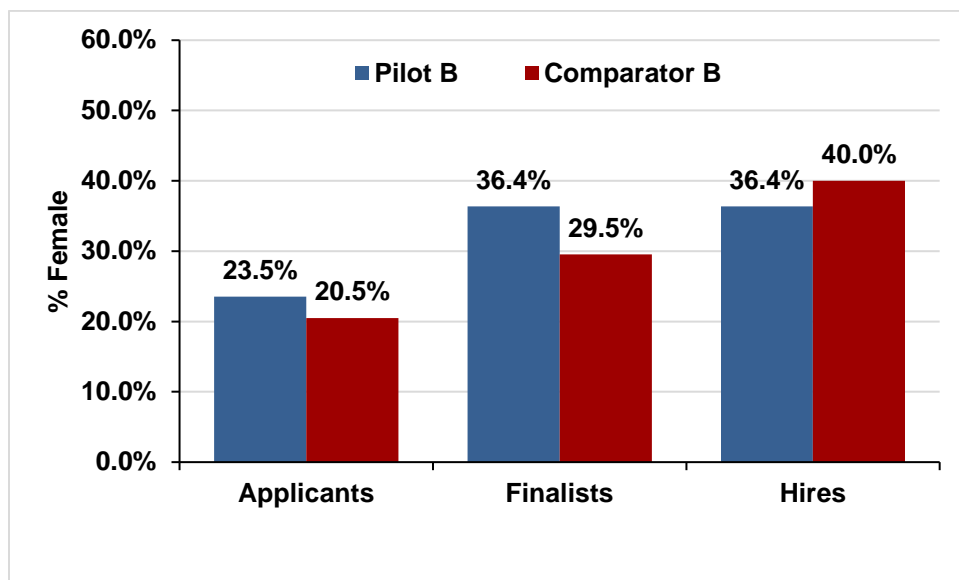
As reflected in Chart 7 below, UCI STEM had approximately the same percentage of URM applicants in 2015-17 as in 2017-18. However, following UCI STEM’s targeted efforts in 2017-18, there was a 35% increase in the percentage of URM hired, exceeding the national availability of URM STEM PhDs by 29.7 percentage points. During that same time period, the comparator unit remained relatively consistent in its hiring of URM, remaining below the national availability.

Chart 7: Pilot B and Comparator B
Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



Additionally, as reflected in Chart 8 below, during the 2017-18 recruitment period, consistent with the upward trend in the hiring of new female faculty, both the pilot and comparator units continued to increase the percentage of female faculty hired in relation to the last two years and overall faculty composition. The pilot unit is nearing the national availability while the comparator unit slightly exceeds it.

Chart 8: Pilot B and Comparator B
Percentage (%) of Female Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



Another strategy the pilot unit adopted that correlates with the substantial increase in the diversity of new hires in 2017-18 involved accountability for ensuring equitable hiring practices through monitoring by existing equity advisors. The equity advisors played invaluable roles in consulting with search committees about hiring priorities, and they were effective stewards of University information and policies of interest to candidates. The mentoring matches and other activities developed by equity advisors will provide timely professional mentoring and support to the newly hired faculty.

The Dean for the Physical Sciences stated: “I am encouraged that our expanded recruitment networks have played a role to broaden diversity among our faculty candidates. I am hopeful that our continued use of these resources, and broadening our mentor networks for faculty who are hired in the school, will lengthen the pipeline of diverse scholars in future years.” The Dean of Biological Sciences stated: “I realize that the long-term productivity and retention of all of our faculty will require conducive working environments and support for scholarship and work/life balance. Our Equity Advisor will continue to engage with incoming and continuing faculty to support professional development, salary equity, and ongoing policy review to support diversity, equity, and inclusion.”

Future Plans

The key practices that resulted from the pilot, which will be continued, include the following: review and identification of potential candidates from UC PPFP/CPF listings; referrals of such potential candidates to relevant search committees; use of hiring incentives and/or other funding resources to enhance start-up packages and professional development; and equity advisor monitoring and consulting with search committees about recruitment best practices, outreach strategies, salary equity information, and development of practices to support timely and effective review of candidates.

VII. Pilot C Program: Advancing Faculty Diversity in the Biomedical Sciences – UC San Francisco

Profile of Pilot C and Comparators C and D

Two comparator units (Comparators C and D, the data from which are combined for purposes of this analysis) were selected for the UC San Francisco Biomedical Sciences¹¹ (BiomedSci) based on their size and composition. There are a total of 338 faculty in the pilot unit and 590 faculty in the combined comparator units. Underrepresented minorities make up 6.2% of total faculty positions in the pilot unit and 9.2% in the comparators. Women make up 33.1% of total faculty positions in the pilot unit and 32.0% in the comparators. The national availability¹² in Biomedical Sciences is 8.5% URM and 52.9% women.

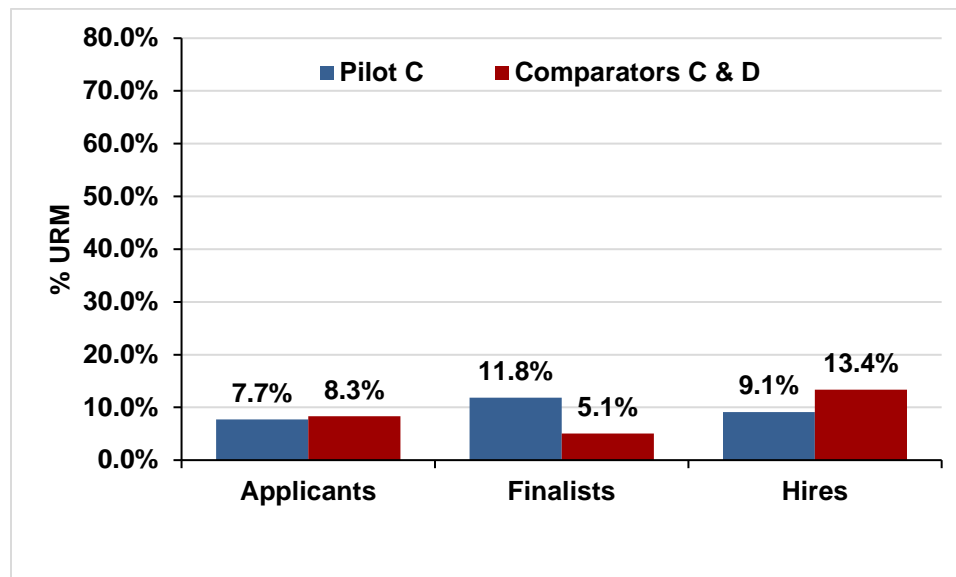
¹¹ The Schools included in Biomedical Sciences are Dentistry, Medicine, Nursing, and Pharmacy.

¹² 2012 AMA data

There are a total of 1,476 students in the pilot unit, with 18.6% URM and 60.4% women. In comparison, there are a total of 2,411 students in the comparators, with 22.7% URM and 60.9% women.

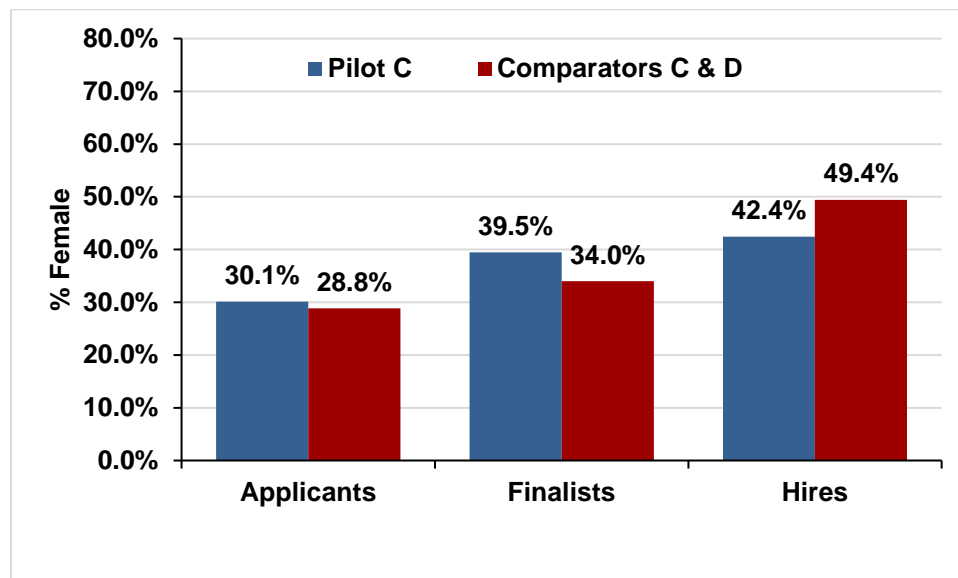
In overall BiomedSci faculty composition, the percentage of URM faculty is below the national availability in the pilot unit while slightly higher than the national availability in the comparators. As reflected in Chart 9 below, the percentage of new URM faculty hired in 2015-17 exceeded the national availability in both the pilot and comparator units.

Chart 9: Pilot C and Comparators C & D
Percentage (%) of Under-Represented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Years 2015-16 and 2016-17



The percentage of new female faculty hired in 2015-17 in both the pilot and comparators was higher than the overall percentage of female faculty on the current faculty, though remaining below the national availability.

Chart 10: Pilot C and Comparators C & D
Percentage (%) of Female Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic
Years 2015-16 and 2016-17



Overview of Pilot C Program

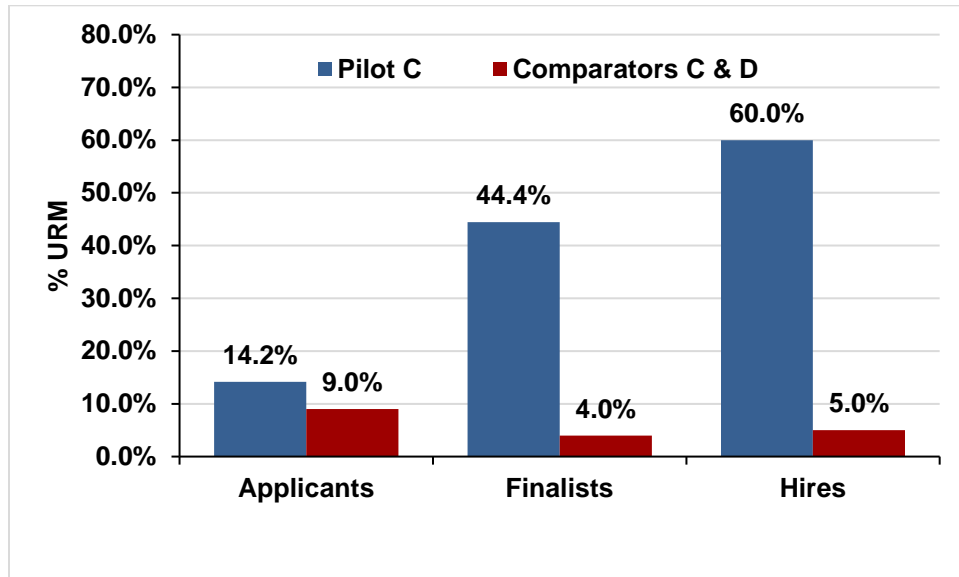
The Advancing Faculty Diversity in Biomedical Sciences' \$450K in funding for the 2017-2018 academic year was a proposal to improve UCSF BiomedSci's ability to attract, interview, and hire outstanding faculty who will contribute to diversity, equity and inclusion. The Ladder-Rank Faculty represent a small component of UCSF's total faculty. The funding allowed UCSF BiomedSci to expand their recruitment outreach via expanded advertisements and targeted outreach activities, to implement the requirement for the Contributions to Diversity Statements, to engage a Multidisciplinary Search Oversight committee, and to provide direct financial support for the recruitments. The incentives pushed those leading the search process to develop a pool of qualified candidates who could demonstrate their contributions to diversity.

A Search Oversight Committee reviewed all searches for Ladder-Rank positions, with representation from dentistry, nursing, medicine, and pharmacy, as well as the Vice Chancellor of Research. The evaluation of the Contributions to Diversity Statements provided a valuable new addition to the recruitment evaluation process and played a role in the determination of which recruitment would be granted the research funds.

Results for Pilot C

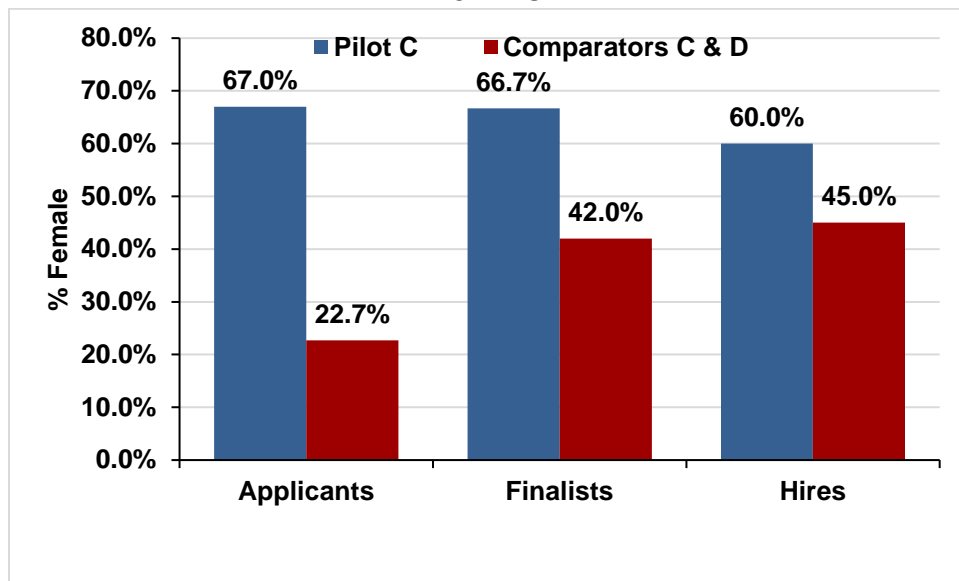
From 2015-17 to 2017-18, the pilot unit had a 32.6% increase in URM finalists and 50.9% increase in URM faculty hired, exceeding the national availability by 51.5 percentage points. In the meantime, the comparators experienced a slight decrease in the percentage of URM hired.

Chart 11: Pilot C and Comparators C & D
Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



From 2015-17 to 2017-18, the pilot unit had a 27.2% increase in female finalists and 17.6% increase in female faculty hired, exceeding the national availability by 7.1%. In the meantime, the comparators experienced a slight decrease in the percentage of women hired.

Chart 12: Pilot C and Comparators C & D
Percentage (%) of Female Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



Future Plans

UCSF BiomedSci plans to review the distribution and process for management of FTE in an effort to identify and align FTE availability with strategic and programmatic goals. In addition, the UCSF Provost and Executive Vice Chancellor has funded a 0.5 FTE staff member to continue and expand direct outreach efforts, development of internal pipeline strategies, and support for basic science departmental efforts.

VIII. Pilot D Program: Enhancing Faculty Diversity, Department of Economics – UC Santa Barbara

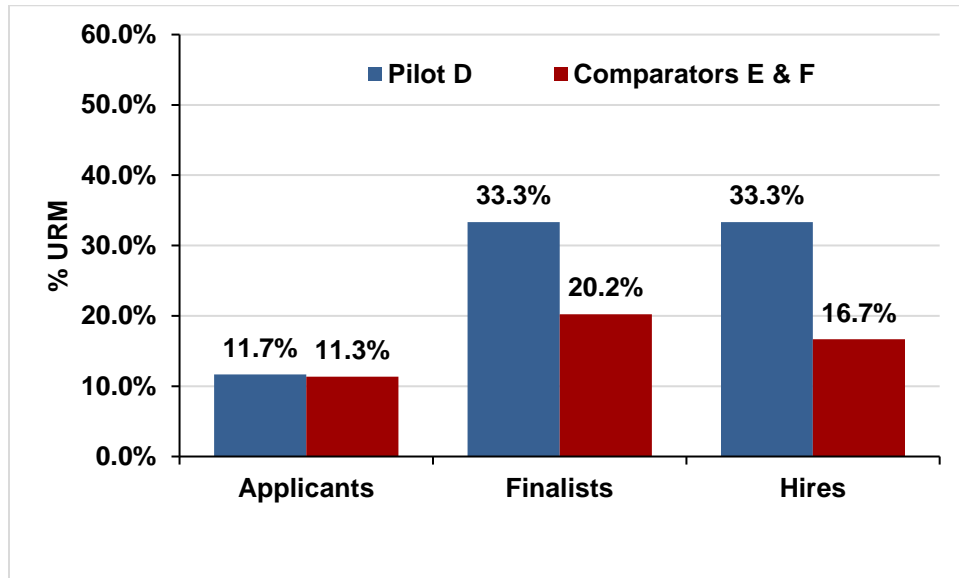
Profile of Pilot D and Comparators E & F

Two comparator units (Comparators E and F, the data from which are combined for purposes of this analysis) were selected for the UC Santa Barbara Department of Economics (UCSB Economics) based on their size and composition. There are a total of 23 faculty in the pilot unit and 60 faculty in the combined comparator units. Underrepresented minorities make up 8.7% of total faculty positions in the pilot unit and 9.7% in the comparators. Women make up 17.4% of total faculty positions in the pilot unit and 16.7% in the comparators. The national availability in Economics for URM is 9.5% and 32.6% women.

In Pilot Unit D, there are a total of 2,376 students (2,315 undergraduate and 61 graduate students), with 17.4% undergraduate URM and no graduate URM, as well as 37.7% undergraduate women and 32.8% graduate women. In the comparators, there are a total of 2,360 students (2,139 undergraduate and 221 graduate students), with 15.5% undergraduate URM and 1.4% graduate URM, as well as 43.7% undergraduate women and 35.1% graduate women.

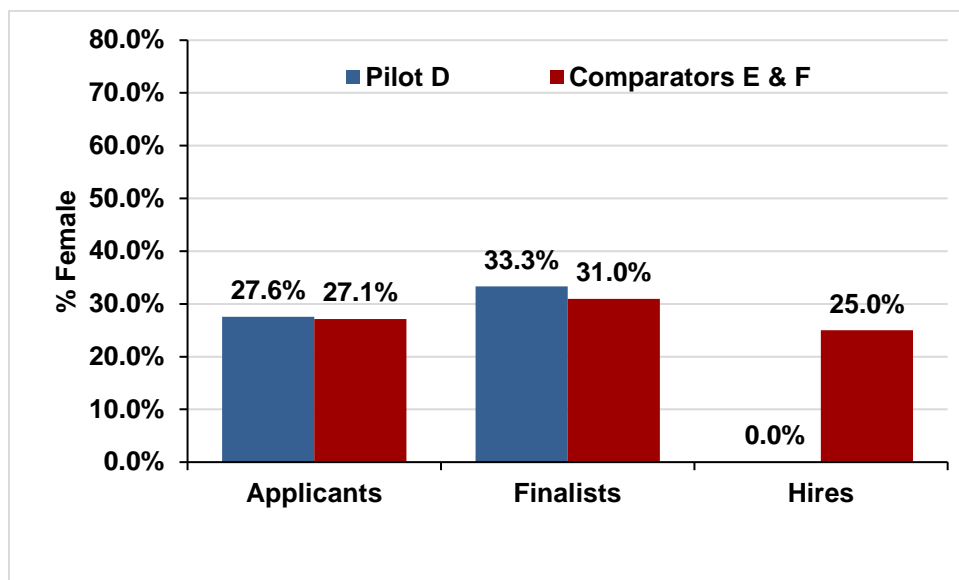
While the percentage of URM in relation to the overall Economics faculty hovers around the national availability (slightly below in the pilot unit and slightly above in the comparator units), the percentage of new URM faculty hired was well above the national availability in both units in 2015-17 (33.3% and 16.7%, respectively).

Chart 13: Pilot D and Comparator E & F
Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Years 2015-16 and 2016-17



The percentage of female faculty in relation to overall Economics faculty is below the national availability in both the pilot and comparator units. As shown in Chart 14, the pilot unit did not hire any female faculty in 2015-17, while the percentage of new female faculty hired by the comparator units exceeded the overall percentage of female faculty in relation to all current faculty, although it remained below the national availability.

Chart 14: Pilot D and Comparator E & F
Percentage (%) of Female Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Years 2015-16 and 2016-17



Overview of Pilot D Program

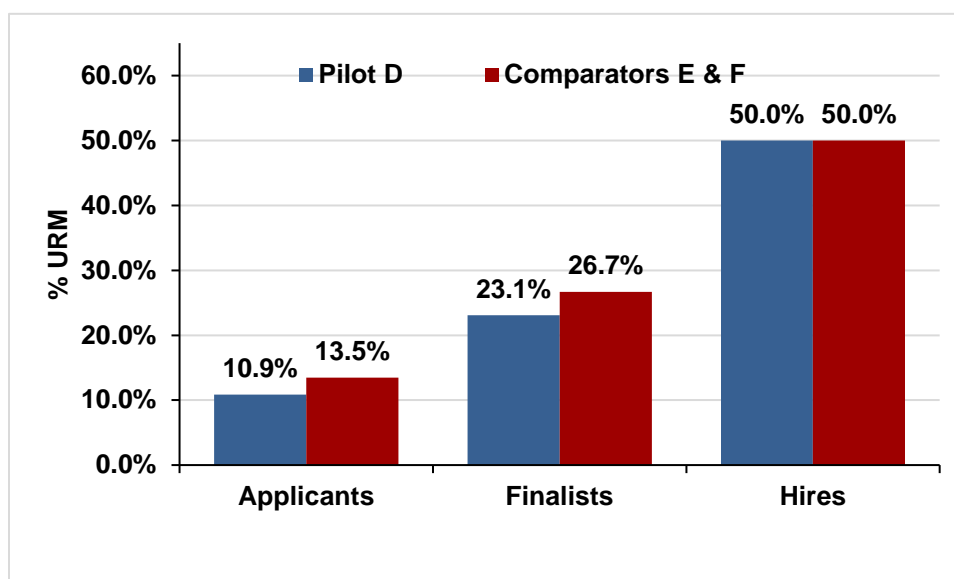
UCSB Economics used a multi-dimensional hiring strategy to enhance the diversity of the faculty. First, they advertised a major hiring drive that will continue over the next several years. This created excitement about joining a growing and vibrant department and sent a clear message about momentum and commitment. Second, they offered new PhD candidates a postdoctoral fellowship to precede the start of an assistant professorship. This gave candidates an important advantage in a very competitive market. Third, they leveraged multiple current faculty open positions at all ranks, including at least two assistant/associate professor open positions (with the ability to make up to four simultaneous offers) and two endowed chairs (Aster and North Hall). Fourth, they allocated additional resources towards the search: additional interviews, faculty time, and staff resources. In particular, they exerted substantial search and outreach efforts. They actively searched for candidates who would enhance their diversity, both on the new PhD market and among faculty in highly active research universities in the U.S. and internationally. Finally, the Executive Vice Chancellor promised to give the department the maximum flexibility in deploying authorized open positions and search waivers, if required.

Results for Pilot D

From 2015-17 to 2017-18, the pilot unit saw a 16.7% increase in URM faculty hired, exceeding the national availability in 2017-18 by 40.5 percentage points. Fifty percent of the new hires in the comparator units were also URM. As this hiring initiative was conducted at the department level, rather than at the school or division level like the other pilot programs, the hiring of one or two URM faculty results in a substantial change in percentage of new faculty hired.

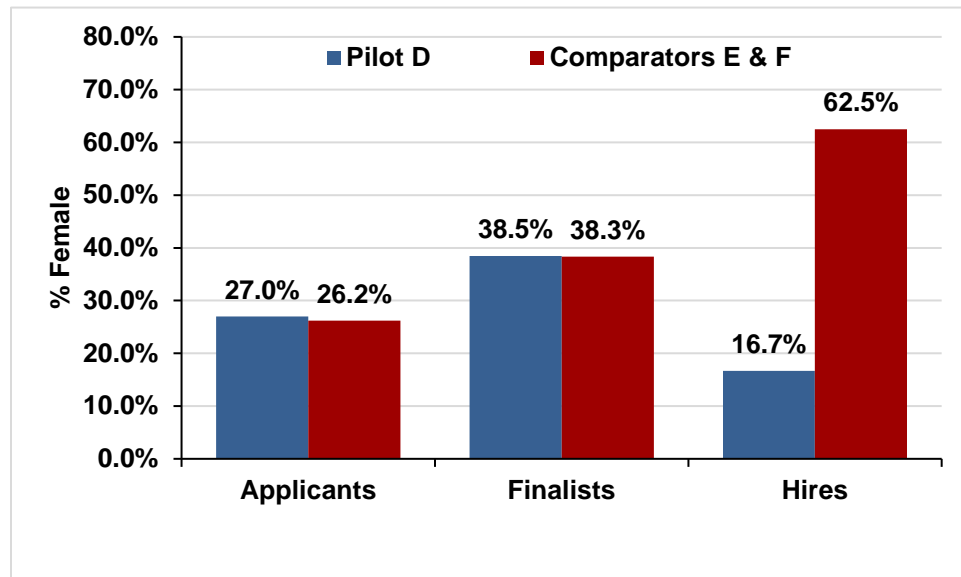
Chart 15: Pilot D and Comparator E & F

Percentage (%) of Underrepresented Minority Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



In 2015-17, UCSB Economics did not hire any female faculty, while in 2017-18, 16.7% of new faculty hired were female, (although this was still below the national availability). The comparison units increased their hiring of female faculty even more, hiring 62.5% women in the 2017-18 cohort.

Chart 16: Pilot D and Comparator E & F
Percentage (%) of Female Ladder-Rank Faculty and Equivalent by Hiring Stage, Academic Year 2017-18



UCSB Economics successfully recruited a North Hall Chair in Economics with an express commitment to contribute to diversity-rich leadership training at the campus, and throughout the UC System. The North Hall Chair will direct a leadership training institute, supported by UCSB Economics, the Office of the Dean, and the Executive Vice Chancellor, and will initially be housed in the Division of Social Sciences, and will offer a year-long program to faculty members across the university who have a future interest in leadership positions.

In addition, through the UCSB Economics initiative, a faculty member in Black Studies, whose reach intersects substantially with Economics, was recruited. This recruitment will strengthen the intellectual ties and collaborative relations between the two departments.

In addressing the success of the department in recruiting four new faculty members as part of the initiative, the Dean of the College of Letters and Science noted that the “new faculty members comprise a qualitative leap forward in the diversity of Economics research and pedagogy; moreover, we are confident that this success will have a positive cumulative effect on future recruitment efforts. That is, a more diverse Department will have a greater chance of future diversity-enhancing recruitments.”

Future Plans

UCSB Economics intends to continue their proactive search efforts. They will continue to strive for inclusive applicants and first-round interview pools. They will also continue to ensure that their department enhances the productivity for all faculty on research, teaching, and professional dimensions.

IX. Summary of Findings for All Four Pilot Units

Overall, the additional funding allocated to UC resulted in substantial progress in increasing faculty diversity. By selecting different interventions and comparing the pilot units' results in 2015-17 to their results in the funded year (2017-18) in their own unit and against those of a comparator unit, UC sought to identify the most successful methods with the hope of adapting and replicating them to produce positive outcomes at all campuses. It is important to recognize that a limited number of comparisons were made between the four pilots and comparator programs. The overall number of hires evaluated through these studies is small and should be considered representative of the ability of thoughtful interventions to improve the diversity of applicants considered and ultimately hired into the UC faculty. These results provide evidence that a variety of practices can be implemented across disciplines to improve diversity in hiring and demonstrate that allowing flexible, locally-configured approaches shows promise. Longer term studies and comparisons are needed to demonstrate statistically valid comparisons. It is also important to recognize that there are other practices besides faculty hiring – for example, supporting graduate students and postdoctoral scholars and improving the climate for faculty success – that would strengthen the pipeline and increase the availability pool of excellent faculty, as well as supporting faculty retention.

The interventions that appear to have been the most successful in the four 2017-18 pilot units were as follows:

- **accountability** on campus as well as at the systemwide level (through the Program Advisory Group, which met monthly);
- **campus commitment of funding**, either one-time or permanent (FTE);
- **enhanced outreach** through personal contacts, use of databases, and targeted ads;
- associated use of **PPFP/CFP recruitments**;
- **targeting potential faculty slightly earlier** in their careers through support for post-doctoral work;
- **strong leadership and sustained and strategic involvement** from the unit leaders, including a department chair, deans, a vice provost, and a vice chancellor;
- **rubrics** to guide decision-making by faculty members;
- strengthening the role of **faculty equity advisors** during the recruitment process;
- use of “**contributions to diversity statements**” in candidate evaluation; and
- **significant involvement of hiring committees**, including centralized review committees.

A challenge with the one-time funding model remains that by the time the funds were allocated to the pilot units, faculty recruitments had already started in some departments, making it difficult to fully realize the effectiveness and impact of the proposed interventions. If pilot units were provided more lead time following receipt of the funding to implement their proposed hiring practices, it is likely that the effectiveness of the proposed interventions would be more readily apparent. Regardless of this challenge, all four units saw a significant increase in the percent of new URM faculty hired, as well as an increase in the percent of new female faculty hired. All units also saw significant change in practice and conversation within their units. It is clear that the infusion of funds into the pilot units made a difference in faculty diversity relative to their past performance and to the comparator units.

X. Looking Ahead

The results of the 2017-18 Advancing Faculty Diversity program at UC, using the additional funding allocated by the State, suggest that additional funding on targeted interventions does have an impact on supporting and increasing equal employment opportunity in faculty employment. UC's many other colleges and schools also continued their work on diversifying the faculty during the 2017-18 year. UC remains committed to its work on increasing the pipeline of potential faculty including its work to build strong support systems for graduate students and post-doctoral scholars as well as early career and established faculty.

UC's budget for 2018-19 includes an additional \$2M allocation from the State to support best practices in equal employment opportunity in the current year. To select the pilot units for the third year of funding, on July 12, 2018 the UC Provost invited each campus to propose an intensified approach to hiring a more diverse faculty in a selected unit with the adoption of specific interventions from the first two years. Campuses submitted strong proposals, each drawing from on-going campus efforts and from the successful interventions by the year one and two pilot units as well as proposing new interventions. The 2018-19 program will also be expanded to include campus proposals that will focus on faculty retention efforts, including programs targeted at department or school climate. The Office of the President will provide the funding for the retention programs.

As other units adapt and implement the successful strategies from the 2016-17 and 2017-18 funding years, UC can identify the most successful recruitment methods that are also transferable across different units and campuses. Finally, continued examination of years one and two of the program provides an opportunity for UC to study the ongoing impact of the interventions on the pilot units.

Contact Information:
Office of the President
University of California
1111 Franklin Street
Oakland, CA 94607
<http://ucop.edu/>