

Office of the President

TO MEMBERS OF THE COMMITTEE ON EDUCATIONAL POLICY:

DISCUSSION ITEM

For Meeting of January 16, 2013

ANNUAL ACCOUNTABILITY SUB-REPORT ON DIVERSITY AT THE UNIVERSITY OF CALIFORNIA

EXECUTIVE SUMMARY

The fourth *Annual Accountability Sub-Report on Diversity* focuses on the diversity by gender, race, and ethnicity of faculty in the University of California and provides information about four efforts to enhance that diversity.

The fourth *Annual Accountability Report*, prepared as part of President Yudof's ongoing comprehensive framework to ensure greater accountability across the UC system contained a detailed chapter on diversity indicators at the University (available at <http://accountability.universityofcalifornia.edu/index/chapter/8>). That annual report has been presented to the Regents in July. Pursuant to an earlier Regents request, a separate *Accountability Sub-Report on Diversity at the University of California* was presented in January 2012. In that sub-report, three specific areas related to diversity (faculty diversity, graduate professional student diversity, and campus climate) were identified for future January sub-reports to the Regents and detailed diversity indicators were identified for reporting every five years. As planned, this January 2013 sub-report is about faculty diversity.

Faculty Diversity

Faculty diversity is critical to the future of the University of California. A diverse faculty enhances the breadth, depth, and quality of research and teaching programs by increasing the variety of experiences, perspectives and scholarly interests among faculty. The University remains dedicated to building a more diverse faculty, particularly increasing the participation of those from underrepresented racial and ethnic populations in the U.S. and, in some fields, of women. In the coming decades, a more diverse faculty will be an increasingly important measure of a great university.

UC employs over 9,000 ladder- and equivalent-rank faculty (together termed "faculty"), tenured faculty with career or permanent professorial appointments and "tenure-track" faculty, individuals in a position to be considered for tenured or career professorial positions. Ladder- and equivalent-rank faculty include faculty with appointments in the Professorial (ladder-rank)

series, as well as faculty in parallel series, such as Lecturer with Security of Employment, which offer an equivalent path to permanent status and are relatively few in the UC. Many of these faculty have long careers — for example, three-quarters of the faculty who retire have more than 30 years of service. This means the rate of demographic change is gradual and one must look beyond an analysis of the total faculty body to best assess progress in diversifying the faculty.

Noteworthy facts pertaining to faculty diversity at UC include the following:

- Diversifying faculty is a national challenge for universities, including UC. Among UC and its “Comparison 8” institutions, of all ladder- and equivalent-rank faculty only 7.8 percent are underrepresented racial and ethnic minorities, and 29.1 percent are female.
- UC is more diverse than its Comparison 8 institutions. UC’s faculty is 30.5 percent female and 8.6 percent underrepresented racial and ethnic minority (American Indian, Black/African/African American, and Chicano/Latino/Hispanic), compared to an average of 28.1 percent female and 7.3 percent underrepresented racial and ethnic minority among UC’s Comparison 8 institutions.
- Faculty diversity is most accurately assessed using national availability pool comparisons since UC recruits from a national and global pool of Ph.D. graduates. UC hires at rates equal to or higher than national availability in five of seven disciplines for racial and ethnic minorities, but only two of seven for women.
- New faculty hires are more diverse than the faculty as a whole at UC, which indicates a positive trend to enhancing diversity among UC faculty.
- Despite the national challenge, and UC’s current efforts, UC can do more to promote diversity among its faculty and is dedicated to identifying initiatives and promising practices which effectively promote diversity throughout the academic pipeline.

BACKGROUND

In accordance with the Regents’ Schedule of Reports, the *Annual Accountability Sub-Report on Diversity* is prepared for the January meeting. The item, in conjunction with the *Fourth Annual Accountability Report*, responds to the September 2007 recommendation by the Committee on Educational Policy to require the UC President to report annually on the status of diversity at the University. This recommendation was adopted as Regents’ policy.

Acting on recommendations of a report from a University-wide task force, the Board of Regents took three actions at their September 2007 meeting:

1. The Board adopted as policy a Diversity Statement, which reads in part: “Because the core mission of the University of California is to serve the interests of the State of California, it must seek to achieve diversity among its student bodies and among its employees.”

2. The Regents endorsed the Report's finding that "change is needed." The study group found that, although there are many pockets of success and innovation in seeking and supporting diversity, the University as a whole has not made sufficient progress and needs to focus greater sustained attention in this area.
3. To monitor progress and ensure accountability, the Regents affirmed that clear, consistent, and regularly produced data are necessary to "shine a light" on the University's efforts to increase and support diversity. To help achieve that goal, the Regents adopted a policy that will require the UC President to report annually on the status of diversity at the University.

To address point 3 above, the *Annual Accountability Report* includes a substantial section on diversity. In addition, the Office of the President will present detailed diversity indicators every five years. Moreover, annually, the Office of the President (OP) will present special topics on diversity, particularly focusing on challenges identified through previous initiatives including the Regents' Study Group on University Diversity and Staff Diversity Council in 2007 or other topics of interest to the Regents. This report focuses on faculty diversity. In January 2014, findings and analysis of the UC Campus Climate Study will be presented to the Regents.

UC Campus Climate Study

In recognition of the importance of gauging campus climate to create more inclusive and welcoming environments, in 2010, UC President Yudof formed an Advisory Council on Campus Climate, Culture, and Inclusion charged with monitoring campus progress and metrics and examining campus practice and policy. Each of the chancellors created similar councils on the 10 campuses and, in May 2010, the Regents created the Ad Hoc Committee on Campus Climate. In June 2011, the Council commissioned a systemwide campus climate study in order to gather a variety of data and assess the quality of life at UC for students, faculty, and staff. The University is dedicated to fostering a caring university community that provides leadership for constructive participation in a diverse, multicultural world. UC is determined to create a welcoming environment for everyone, improve the environment for working and learning on campus, and nurture a culture of inclusiveness and respect throughout every campus and location in our system. The Climate Survey, which is currently underway, will provide much-needed data and accountability measures. The study will include all populations – students, faculty, and staff – at the ten campuses, five medical centers, the Office of the President, Agriculture and Natural Resources extension offices, and Lawrence Berkeley National Laboratory. In commissioning this study, UC is taking a leading role in proactively obtaining information that will help guide efforts to create more welcoming and inclusive campus environments. UC is the first higher education institution of its size to conduct such a study. Study findings will be available in spring 2013 and will be reported to the Regents in the January 2014 *Annual Accountability Sub-Report on Diversity* as a special topic.

Special Topic Discussion: Diversity of UC Faculty

National Context of Faculty Diversity

Increasing the diversity among faculty is a national challenge, particularly for research universities. Across the U.S., the proportion of underrepresented minorities among faculty significantly lags behind underrepresented minority proportions in the population. Three groups are historically defined as underrepresented racial and ethnic minorities at the University: American Indian, Black/African/African American, and Chicano/Latino/Hispanic. Of all tenured and tenure-track faculty at UC and its eight comparison institutions, 7.8 percent were underrepresented racial and ethnic minorities in fall 2011. The “Comparison 8” institutions are the eight universities — four public (Illinois, Michigan, SUNY Buffalo, and Virginia) and four private (Harvard, MIT, Stanford, and Yale) — with which UC regularly compares faculty compensation rates and student fees. This group is widely recognized as appropriate for purposes of comparison by such external agencies as the California Department of Finance and the former California Postsecondary Education Commission (CPEC). As shown in Display 1, underrepresented minorities comprise 8.6 percent of all faculty at UC compared to an average of 7.3 percent among all Comparison 8 institutions. In the Comparison 8, UC lags behind only the University of Illinois in terms of underrepresented minority faculty. Women comprise 30.5 percent of all faculty at UC compared to an average of 28.1 percent among the Comparison 8. In the Comparison 8, only Yale has more women among ladder- and equivalent-rank faculty than UC, and UC is on par with the University of Illinois, SUNY Buffalo, and the University of Michigan.

DISPLAY 1: Percentage of underrepresented racial/ethnic minority and female ladder- and equivalent-rank faculty, Comparison 8, Fall 2011

Institution	Faculty Headcount	Percent Female	Percent URM
University of California	9,042	30.5%	8.6%
All Comparison 8	12,022	28.1%	7.3%
Harvard University	1,517	25.8%	6.3%
Massachusetts Institute of Technology	968	21.3%	5.8%
Stanford University	1,270	23.8%	6.3%
University at Buffalo (SUNY)	1,103	30.2%	6.4%
University of Illinois at Urbana-Champaign	1,671	30.1%	10.2%
University of Michigan-Ann Arbor	2,634	30.3%	8.6%
University of Virginia-Main Campus	1,395	25.4%	5.4%
Yale University	1,464	33.5%	6.6%

Source: Integrated Postsecondary Education Data System (IPEDS).

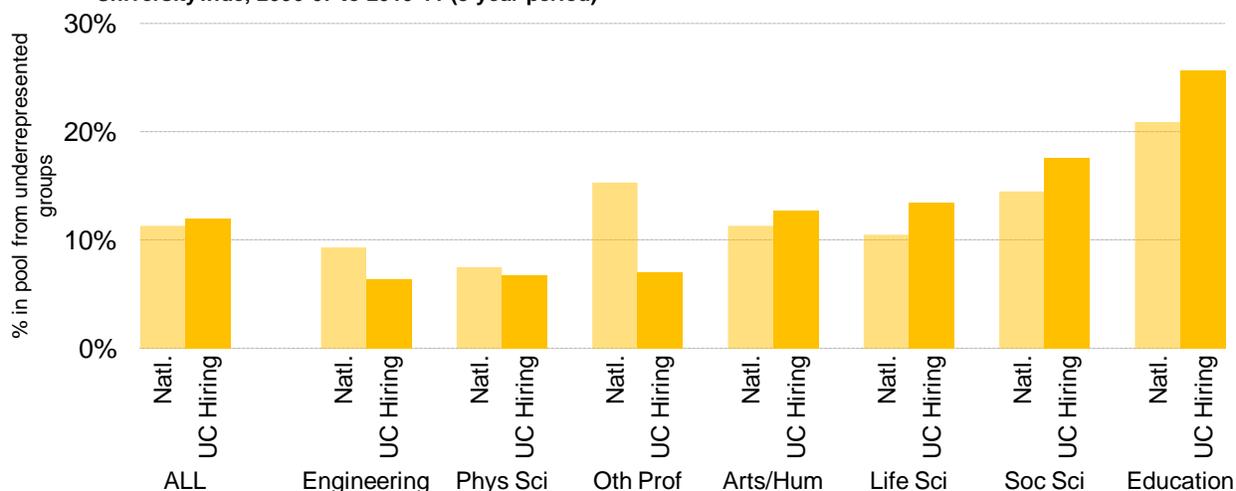
Notes:

- URM: underrepresented minority, which includes Black/African/African American, American Indian, and Chicano/Latino/Hispanic.
 - All data includes general campus and health sciences, and all disciplines as well as Hastings College of Law.
 - IPEDS Data includes faculty defined as tenure track faculty who perform instruction, research and public service. The IPEDS methodology to determine faculty grouping is slightly different from the UC traditional method of determining ladder- and equivalent-rank Faculty. The data in this display include only “ladder-rank faculty” consistent with reporting of other institutions, and does not include “equivalent-rank” faculty. All other data displayed in the item include both groups.
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Faculty Pipeline

Recruitment of both new and established faculty draws from a national and international pool of talent; the hiring of assistant, associate, and full professors draws from foreign nationals educated abroad as well as from U.S. and international scholars educated in the U.S. Out of these populations, the University remains dedicated to building a more diverse faculty, particularly from underrepresented racial and ethnic populations in the U.S. The number and proportion of underrepresented minority and women doctoral degree recipients has increased over the past decade at UC (see figure 8.6.1 in the 2012 Accountability Report), thereby increasing the pool of diverse candidates for entry level faculty positions. As will be shown in a later section (“New Hires”), UC has over time increased the diversity of its new hires. Presumably, this is attributable both to the improved pipeline and to increased effort by UC. At the same time, UC disciplines vary in the extent to which they are drawing from the available pool of diverse candidates for entry level faculty positions. Display 2 depicts the percentage of underrepresented new assistant professors hired at UC compared to availability pools. Availability pool estimates are based on the proportion of doctoral degrees (Ph.D.s) awarded nationally to students over a five-year period, between 2005 and 2009 for the data below. Between 2006-07 and 2010-11, UC hired underrepresented racial and ethnic minorities at a rate slightly higher than their proportion in the availability pool; however, this is not the case in all disciplines. Overall, underrepresented minorities accounted for 11.3 percent of the pool of nationwide doctoral degree recipients between 2006–07 and 2010–11, and 12.5 percent of UC’s new assistant professors.

DISPLAY 2: New assistant professors compared to national availability for underrepresented minorities by discipline, Universitywide, 2006-07 to 2010-11 (5-year period)



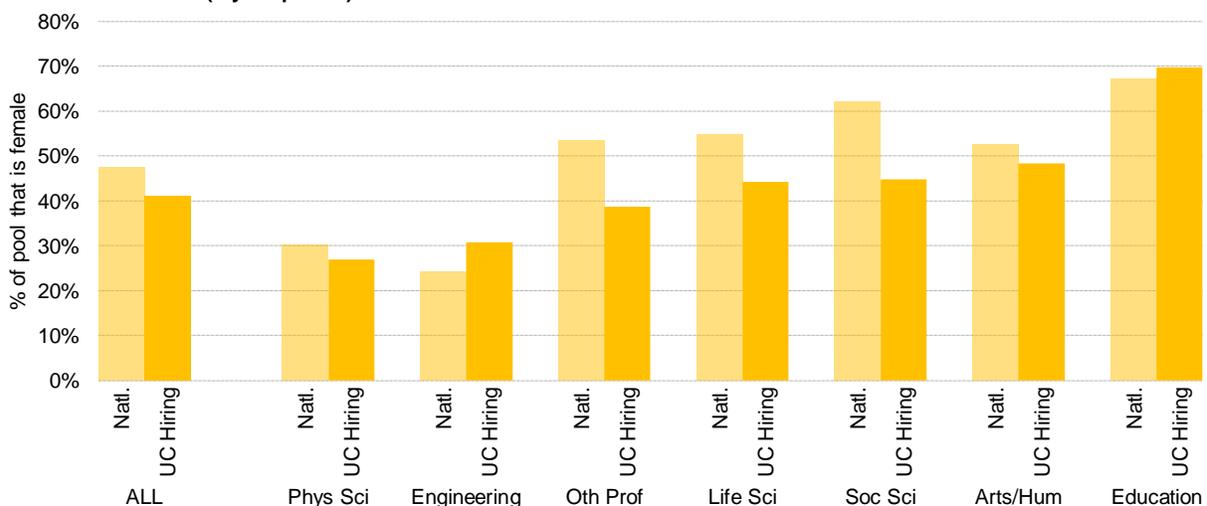
Sources: UC Corporate Payroll System; Academic Personnel Office. Availabilities: NSF, NIH, U.S. Department of Education, NEH, USDA, NASA, Survey of Earned Doctorates. New appointments: Academic Personnel’s new appointments database.

Notes:

- Availability estimated based on the proportion of Ph.D.s awarded in the U.S. from 2005 to 2009 nationwide.
- Data does not include Medicine, Dentistry and Optometry.
- “Other Professional” Fields includes: Business & Management, Communications, Architecture, Home Economics, Law, Library Science, Public Administration and Social Work. Nursing, Public Health, Pharmacy and Veterinary Medicine are included in Life Sciences.

Display 3 provides information about these availabilities by gender for new assistant professor hires of both domestic and international faculty. Between 2006–07 and 2010–11, the proportion of women hired at the new assistant professor level was below national availabilities in all disciplines except engineering and education. Overall, between 2006–07 and 2010–11, women constituted almost half of the nationwide pool of new doctoral degree recipients, but only about 40 percent of UC’s new hires.

DISPLAY 3: New assistant professors compared to national availability by gender and discipline, Universitywide, 2006-07 to 2010-11 (5-year period)



Sources: UC Corporate Payroll System; Academic Personnel Office. Availabilities: NSF, NIH, U.S. Department of Education, NEH, USDA, NASA, Survey of Earned Doctorates. New appointments: Academic Personnel’s new appointments database.

Notes:

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At a time when the nation’s pool of doctoral degree recipients is showing increasing numbers and percentages of women, outreach and recruitment efforts at UC are not generating faculty hires that are fully reflective of changes in national availability pools. They are for underrepresented minorities, but not for all disciplines. As the University continues to face financial challenges, the slowing of faculty hiring could result in delays in diversifying the faculty. However, UC has the capacity within the system both to contribute to the national availability of eligible faculty and also to “home-grow” eligible faculty within the system. Increasing the number of candidates eligible for UC faculty ranks becomes more likely as UC continues to enroll more diverse undergraduate and graduate students.

Faculty Diversity at UC

In 2006, the President’s Taskforce on Faculty Diversity stated that “UC will remain competitive as a leading institution of higher education only if it is successful in addressing the

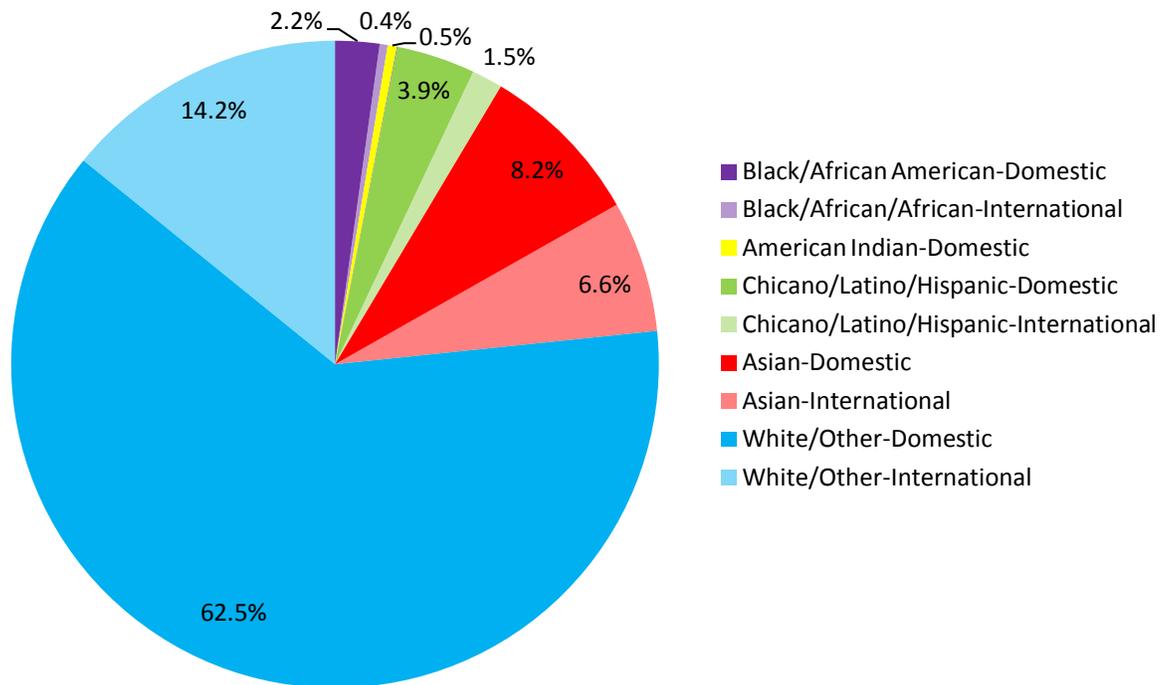
underrepresentation of minorities and women among its faculty and academic leaders.” The 2007 Faculty Work Team of the Regents’ Study Group on University Diversity found that “campuses can do more to promote faculty diversity through recruitment, hiring and retention practices...” and “...increased accountability at the campus, division, and departmental levels is a key component to increasing faculty diversity.” Progress has been uneven, and the University persists in its efforts to build a competitive and diverse faculty.

Change in Reporting of International Faculty Demographics. In the course of the last year, the University has realized that its use of visa status to identify international faculty resulted in numbers that experts considered far too low. The last faculty competitiveness report (January 2011), for example, used this definition and identified just 52 international faculty universitywide. Other definitions were explored and status as a U.S. citizen as designated in payroll records was selected. Currently by this measure, 78 percent of UC faculty are U.S. citizens (domestic) and 22 percent, non-U.S. citizens (international). These data conform to what experts expect. When the same method of assessing citizenship status is applied back through the last decade, the proportion of non-U.S. citizens among the faculty has remained stable, ranging from 19.8 to 22.7 percent. In other words, the percentage of international (or non-U.S. citizen) faculty has not changed dramatically, but the new method of identifying them has resulted in significant changes in the reported number of international faculty.

In conjunction with this change in data reporting, the University has developed a more nuanced way of reporting data on race and ethnicity for faculty. In the past the race and ethnicity of international faculty were not reported. With the use of citizenship as identified on payroll records to identify international faculty, the self-reported race and ethnicity of these faculty were simultaneously considered. Both U.S. citizen (domestic) and non-U.S. citizen (international) faculty are provided the same reporting options: American Indian or Alaska Native, Asian, Black/African American, Hispanic/Latino, and White (not of Hispanic origin). Both sets of data — payroll data on U.S. and non-U.S. citizen status and self-reported data on race, ethnicity, and gender — are now used to describe the diversity of faculty.

Current Demographics. As shown in Display 1, above, women comprise 30.5 percent of all ladder- and equivalent-rank faculty at UC of which 80 percent were domestic and 20 percent international. Display 4, below, shows the racial and ethnic diversity of ladder- and equivalent-rank faculty at UC in fall 2011. Over three-quarters (76.6 percent) of the faculty are international or domestic White/Other. Asian/Asian Americans (international and domestic) comprise nearly 15 percent of faculty. As mentioned previously, 8.6 percent of faculty at UC are American Indian, Black/African/African American, or Chicano/Latino/Hispanic (international and domestic). Domestic underrepresented minorities comprise 6.6 percent of all faculty, and non-U.S. citizens who self-identify as American Indian, Black/African/African American, or Chicano/Latino/Hispanic comprise two percent of the faculty.

DISPLAY 4: Ladder- and equivalent-rank faculty by race and ethnicity and citizenship, Universitywide, Fall 2011

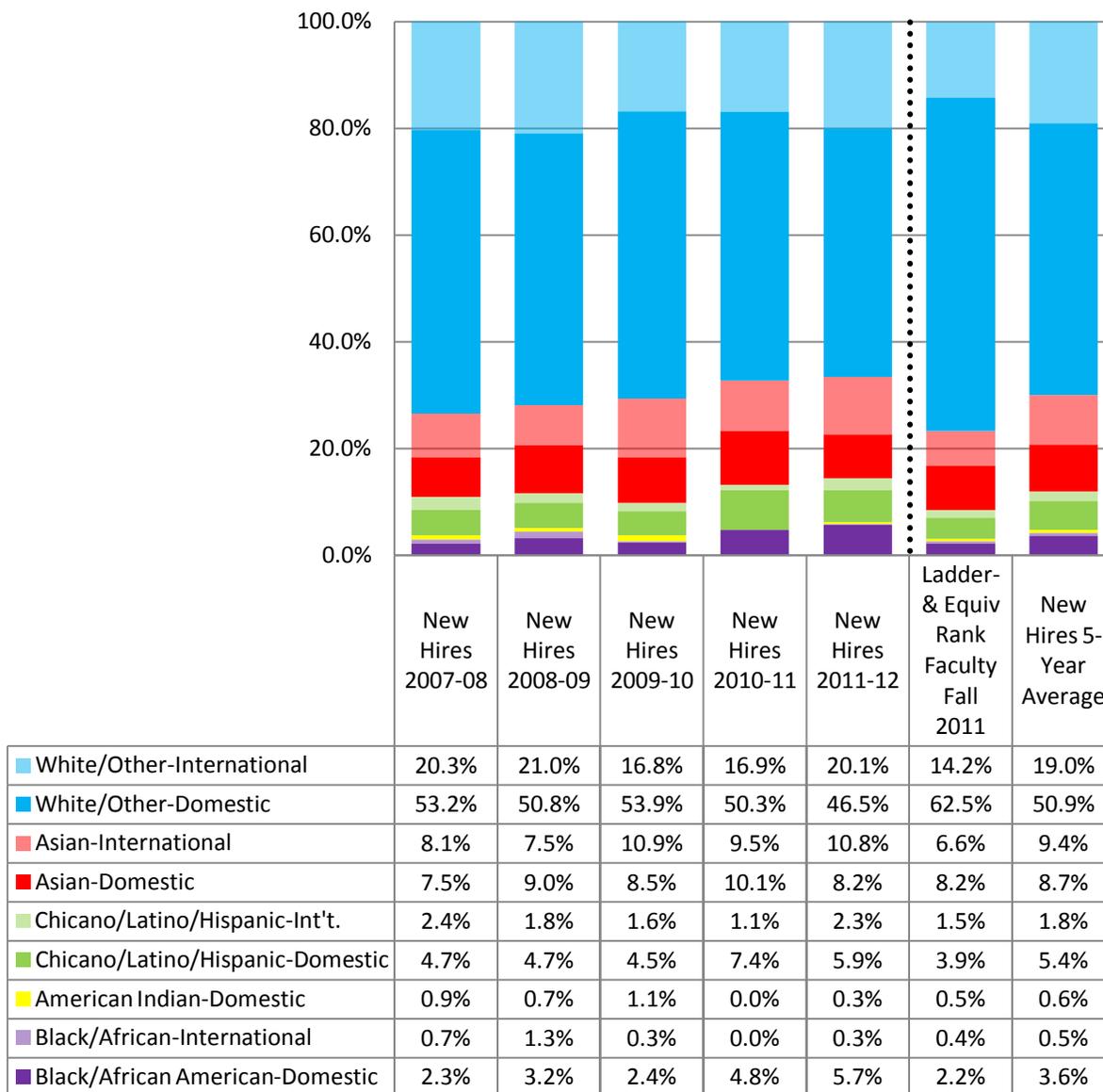


Source: UC Payroll Data (CPS)

Note: American Indian-International faculty represented less than 0.1 percent of faculty and are not displayed.

New Hires. As noted, racial and ethnic diversity at the University changes slowly over time as populations turn over. At the undergraduate level, students turn over every 4-5 years, providing an opportunity for the University to become more responsive to demographic shifts in the graduating high school population. At the other end, faculty careers can last 30-40 years, putting these population shifts on a longer trajectory. Along these lines, viewing the diversity of annual new faculty hires provides indication of more recent faculty diversity changes and potentially identifies longer-term trends. As shown in Display 5, new faculty hires since 2007-08 have been more diverse than the faculty as a whole.

DISPLAY 5: New ladder- and equivalent-rank faculty hires by race and ethnicity and citizenship, Universitywide, 2007-2012

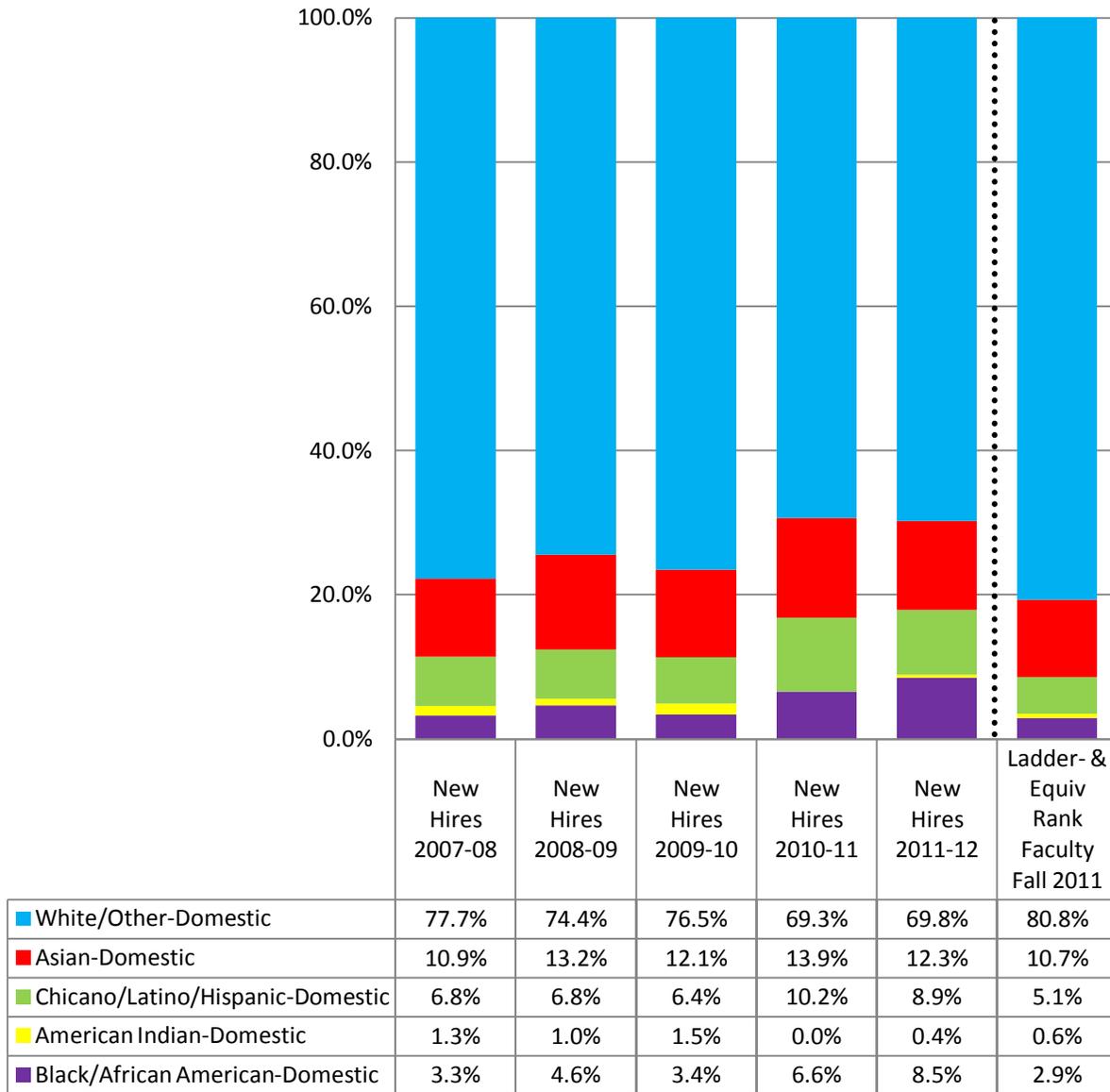


Source: UC Academic File and Payroll data.

Note: American Indian-International faculty represent less than 0.1 percent of faculty and are not displayed.

Display 6 shows the five-year trend for a subpopulation of Display 5 — new *domestic* ladder- and equivalent-rank faculty. Each cohort of new domestic faculty hires since 2007 includes a greater proportion of underrepresented racial and ethnic minority faculty than domestic faculty as a whole at UC. In fall 2011, underrepresented minorities represented 8.6 percent of all domestic ladder- and equivalent-rank faculty compared to 17.8 percent of new domestic hires in 2011-12.

DISPLAY 6: New ladder- and equivalent-rank domestic faculty hires by race and ethnicity, Universitywide, 2007-2012



Source: UC Academic File and Payroll data.

The percentage of women faculty has risen over recent years. In 2000 the percentage of all women faculty was 24.1 percent, 84.4 percent were domestic and 15.6 percent international. In 2011 it was 30.5 percent, 80 percent domestic and 20 percent international. As with underrepresented minorities, the percentage of women among new assistant professor hires is promising, with 39.7 percent of new domestic and international hires in the last five years being female (70 percent domestic and 30 percent international).

UC Efforts to Promote Faculty Diversity

Despite the national challenge universities face in recruiting a more diverse faculty, UC remains dedicated to achieving excellence through diversity in the classroom, research laboratory, and its entire workforce. UC has taken several actions to recruit and retain a more diverse faculty.

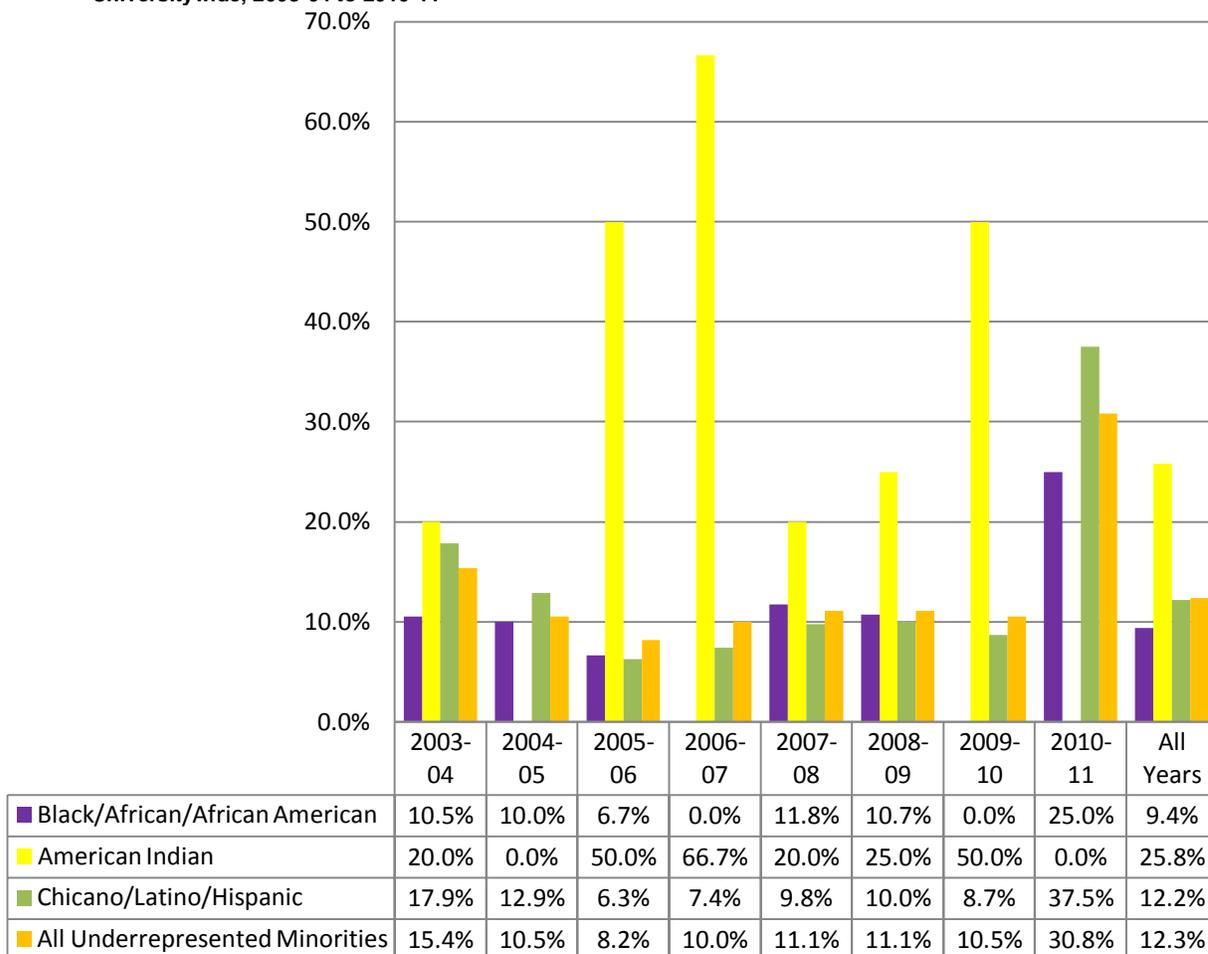
Consideration of Diversity Contributions in Appointments, Promotions, and Appraisals

To address the importance of faculty diversity, changes have been made to the Academic Personnel Manual (APM) policies on appointments, promotions, and appraisals (APM 210). In judging a candidate's teaching, faculty review committees are encouraged to consider the development of particularly effective strategies for the educational advancement of students in various underrepresented groups. The review can also draw attention to faculty research, outreach, or public service that contributes to the advancement of equitable access and diversity in education and society. More recent initiatives managed by UC are outlined in the remainder of the item.

President's Postdoctoral Fellows Program

Since 1984, the University of California President's Postdoctoral Fellowship Program (PPFP) has supported new scholars in all fields whose teaching, research, and service will contribute to diversity. More than 100 former PPFP fellows have joined the UC faculty since 1995 in a wide range of fields. Of the new PPFP faculty who were eligible for tenure, 49 out of 50 achieved tenure. These faculty continue active participation in PPFP and create a critical mass of faculty who, along with their mentors, are dedicated to diversity within the UC system. PPFP fellows are selected from a competitive national pool of new scholars in a process that involves over 100 UC faculty. Of fellows appointed from 2000 to 2012, 36 percent are in STEM (science, technology, engineering, and mathematics) fields, 33 percent are in the social sciences, and 31 percent are in the humanities. Over 90 percent continue in academic appointments after their fellowship, with 70 percent receiving tenure track faculty appointments at UC and elsewhere. Two-thirds of the fellows appointed since 2000 are women and two-thirds are underrepresented racial and ethnic minorities. Almost a quarter of the fellows are Black/African/African American, 35 percent are Chicano/Latino/Hispanic, 15 percent are Asian, and 6 percent are American Indian. PPFP fellows work under the direction of a UC faculty mentor for an award period of one year, renewable for a second year. PPFP fellows receive a salary of \$42,000 to \$44,000, health benefits, and \$4,000 for research and professional development. PPFP receives close to 500 applications each year for 10 to 15 new appointments. In 2003, UCOP initiated a faculty hiring incentive for UC campuses that hire UC President's and Chancellor's Postdoctoral Fellows. Since its inception, the rate of UC hiring of PPFP/CPF awardees increased from one or two fellows per year (for 20 years) to an average of ten hires per year. Of the new PPFP faculty, 87 percent are minorities; 58 percent are underrepresented minorities including 9 percent Native American; 73 percent are women. Display 7 indicates that 12 percent of all underrepresented minority faculty hires at UC since 2003 were PPFP fellows. In 2010-11, nearly one-third of all new underrepresented minority hires were PPFP fellows.

DISPLAY 7: Percentage of all new faculty underrepresented minority hires who were PFP fellows by race and ethnicity, Universitywide, 2003-04 to 2010-11*



Source: UCOP Academic Personnel

*Data indicates the percentage of each race/ethnicity category that are PFP fellows. For example, in 2003-04, 20.0% of all American Indian faculty hires were PFP fellows.

Collection of Recruitment and Hiring Data

The systemwide collection of data on faculty searches enables OP to recognize current practices that are most effective in meeting diversity outcomes as well as to identify areas that may require more effort. Beginning in 2011, OP's Academic Personnel office began collecting campus data on all ladder-rank faculty searches and the composition of hiring committees. Beginning in Fiscal Year 2014, all demographic data about candidate pools, finalists, and hires as well as demographic data about search committee members will be collected in a common web-based recruitment system, first developed at UC Irvine and now a collaboration among all campuses. Preliminary data collected during the last two years indicates that UC is capitalizing on the diversity of its applicant pool. The data demonstrate that finalists (interviewees) are more diverse than the applicant pool and that hires are more diverse than finalists. Such data will allow UC to identify which departments, schools, and colleges are succeeding in building a diverse faculty.

Diversity of Faculty in Science, Mathematics, Engineering, and Technology (STEM)

All ten campuses have paid special attention to efforts to recruit a more diverse faculty in STEM fields, disciplines in which there is the least diverse population of Ph.D.s in the national availability pool. The campuses have been proactive in building programs and practices to improve the diversity of the faculty in STEM. For example, UC campuses have participated in a three-year program, “Meeting the California Challenge,” supported in part by an award from the National Science Foundation (NSF). This program, based at UCOP, is providing roundtable seminars for faculty leaders and academic administrators to share information and best practices on such topics as underrepresented minority women in STEM, mentoring diverse faculty in STEM, and supporting Latina STEM faculty. See the project web site for additional information, <http://www.ucop.edu/ucadvance/index.html>.

In addition to this systemwide effort, individual campuses have awards from the NSF and the National Institute of Health (NIH) to focus resources on interventions that will support a more diverse STEM and health sciences faculty. These programs – at UC Berkeley (in partnership with UC Hastings College of Law), UD Davis, UC Irvine, UC Merced, UC Riverside, and UC San Diego – combine qualitative and quantitative research and program development, and are supported by the identification of metrics that will measure success.