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Office of the President

TO THE REGENTS OF THE UNIVERSITY OF CALIFORNIA:

DISCUSSION ITEM

For Meeting of January 23, 2020

FACULTY RECRUITMENT, RETENTION, AND DIVERSITY

EXECUTIVE SUMMARY

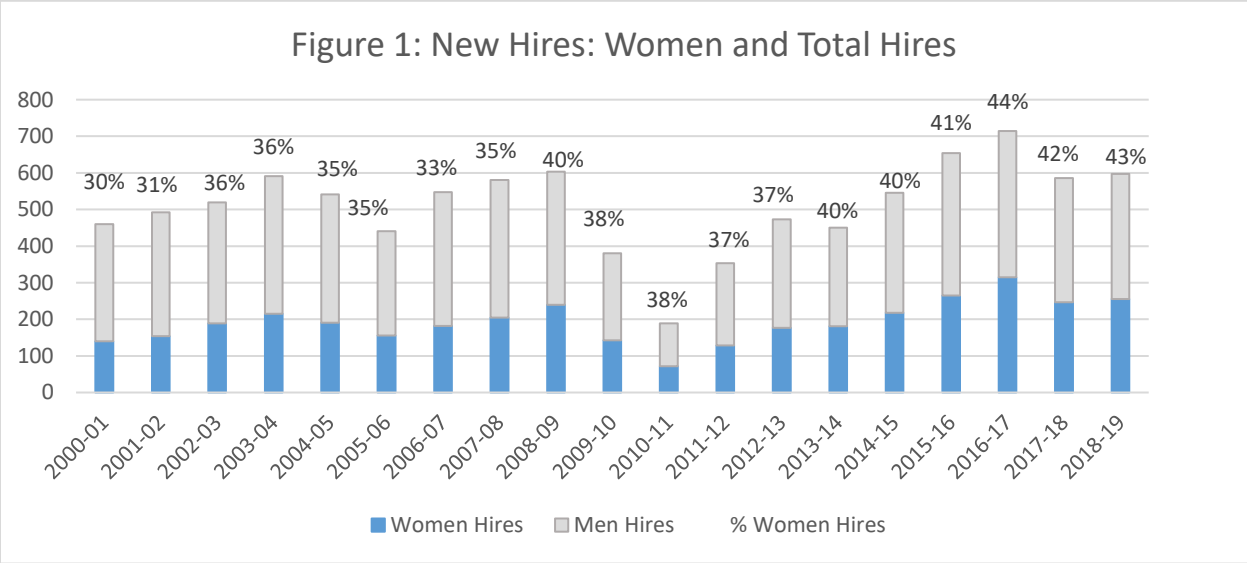
Looking back over the last two decades, the presence of women and underrepresented groups on the UC ladder-rank faculty has increased. The most promising hiring has been in the last five years. This item focuses on efforts to accelerate faculty recruitment and retention to support UC's missions in research, education, diversity, and outreach. The faculty recruitment process draws from a national and international pool of potential candidates, and through a variety of recent interventions in the standard protocols of the search, campuses are finding ways to recruit strong new scholars who bring expertise and commitments to maintain the excellence of the University. With funding from both the State of California and the President, campuses are putting in place new programs to tackle issues of recruitment and retention of faculty, paying attention to the role of academic climate in the success of a diverse and inclusive faculty. The availability of funding through the program has supported the engagement of hundreds of UC faculty and administrators and has accelerated campus efforts to be more forceful in defining and addressing issues of diversity, equity, and inclusion for faculty and their academic units.

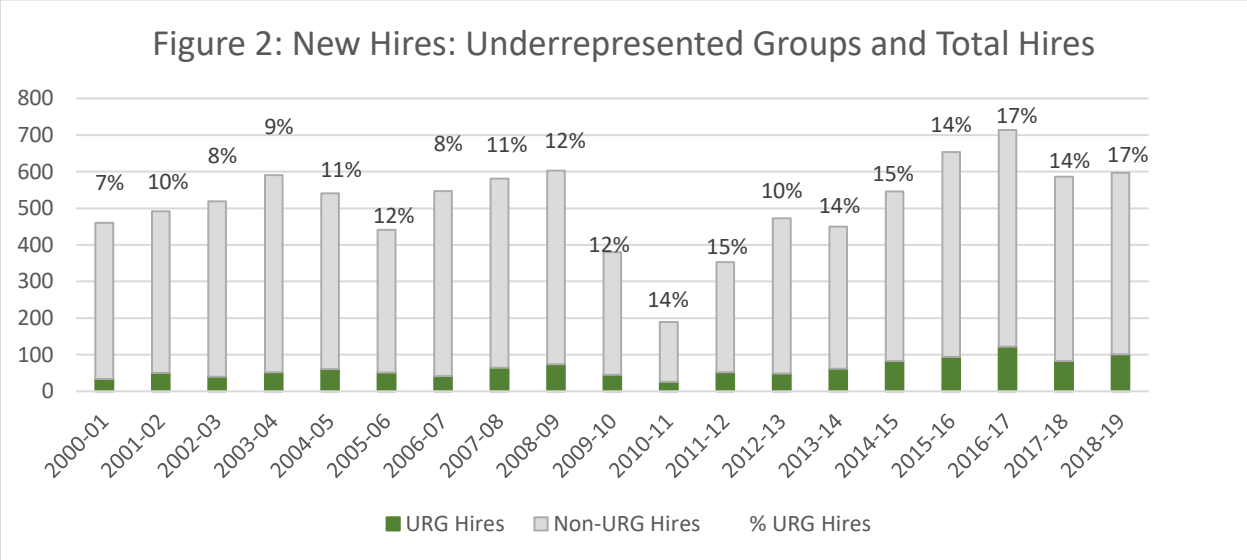
BACKGROUND

Over the last two decades, the representation of women and underrepresented groups among ladder-rank faculty at the University has increased gradually. The percentage of women who are ladder-rank faculty (LRF) has increased from 23.3 percent in 2000 to 34.1 percent in 2018, an increase of 11 percentage points. The percentage of LRF from underrepresented groups (African American, Hispanic/Latino[a], and American Indian) has increased more modestly, from seven percent in 2000 to 10.4 percent in 2018. This slow change in demographics is due, in part, to the longevity of faculty careers, often lasting more than 30 years at the University. It is also due to an inability to hire at rates consistent with the growth and diversity of the student body.

In these same two decades, the University has hired 4,942 new ladder-rank faculty, both early career and senior faculty. While this is a large number of new faculty, the hiring practices of the past contributed to lost chances to hire a more diverse faculty during this time. Fortunately, new cohorts of faculty hires are increasingly diverse by gender and race/ethnicity. In the last three years, for example, the percentage of women hired to be LRF has been 44 percent, 42 percent, and 43 percent. In the hiring of underrepresented groups (URG), the percentage of new URG

faculty has increased recently, with a high of 17 percent in both 2016-17 and 2018-2019. See Figures 1 and 2 for details of this hiring.





As will be detailed later in this report, the specific disciplines into which UC hires is a major factor in the diversity of the faculty hired. Hires in the social sciences and humanities over the last ten years have included 18.6 percent URG and 50.9 percent women. During the same ten years, hires in the Science, Technology, Engineering, and Mathematics (STEM) disciplines have included 8.8 percent URG and 29.3 percent women. Much of the recent effort to build a strong and diverse faculty through the Advancing Faculty Diversity (AFD) program, supported directly by the State over the last four years, has been focused in STEM departments and schools.

For a detailed analysis of faculty diversity data, see the most recent Accountability Sub-report on Diversity, Regents Item A2 from September 26, 2018: https://regents.universityofcalifornia.edu/regmeet/sept18/a2.pdf . This current report will focus

on the ladder-rank faculty recruitment and retention processes, with a focus on practices that do and do not correlate with an increase in faculty diversity.

UC Ladder-Rank Faculty Recruitment Process

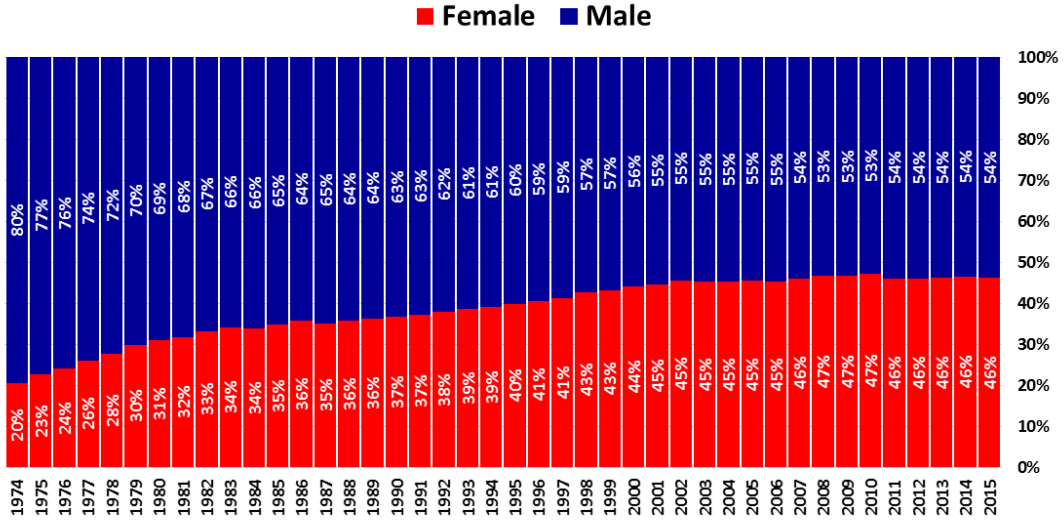
While UC has many faculty title series to help it meet a variety of needs in its missions of teaching, research, outreach, service, and clinical care, tracking of faculty recruitment and retention focuses first on ladder-rank faculty (LRF) because these faculty have the full range of such duties and these faculty make up the core leadership in the Academic Senate and the academic enterprise. Other faculty titles include Lecturer with Security of Employment, Professor in Residence, Professor of Clinical X, Unit 18 Lecturer, Health Sciences Clinical Professor, and Adjunct, Acting, and Visiting Professors.

Recruitment of new LRF is distinguished by its national/international character and its department-centered and faculty-led processes. The University competes with its peer universities across the country and around the world for innovative, pioneering researchers and teachers who can deliver up-to-date knowledge for students. It usually takes at least a full year to recruit such talent. While the calendar of recruitment varies from discipline to discipline, the processes are similar and the vast majority of faculty assume their positions on July 1.

Recruitment Pool for Faculty Recruitment

Recruitment in most disciplines outside of the health sciences requires that candidates have a Ph.D.. The awarding of Ph.D.s in the US, by gender and by race/ethnicity, is captured in Figures 3 and 4. Over the period from 1974 to 2015, women's share of Ph.D.s has risen from 20 percent to 46 percent. This data includes both citizens and non-citizens earning Ph.D.s in the US. Considering only degrees awarded to U.S. citizens and permanent residents, women are now earning more Ph.D.s than men, and have been for more than a decade.

Figure 3: Number of Doctorate Recipients in the U.S. (All Ph.D.s*), Gender and Calendar Year, 1974-2015

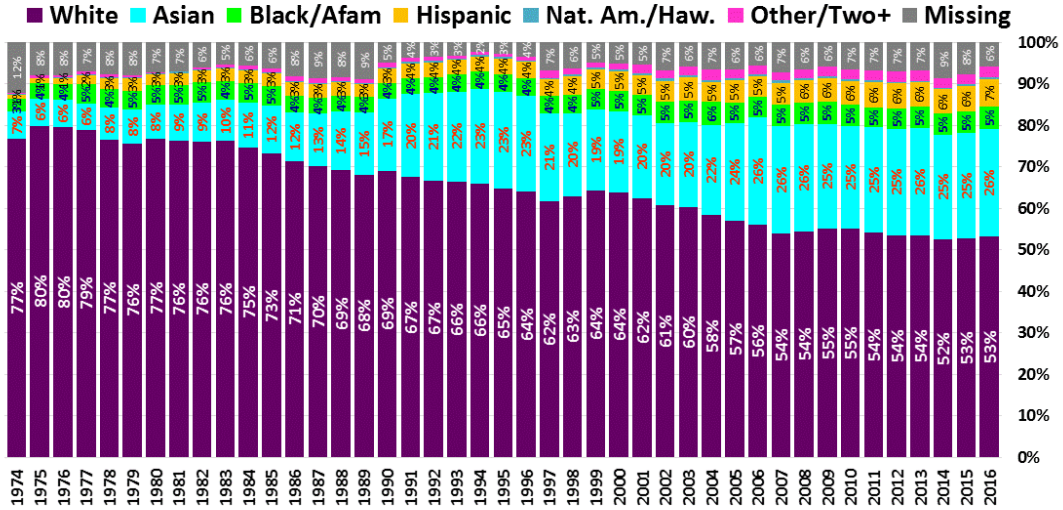


* All Ph.D.s includes U.S. citizens, permanent residents, temporary visa holders, and unknown citizenship.

Source: NSF et al, Survey of Earned Doctorates, 1920-2015, data as of 3/15/2019. Goulden, "Benchmarking Faculty Equity in the Academy," 2019.

The awarding of Ph.D.s by race and ethnicity over a similar timeframe, 1974 to 2016, shows a less pronounced increase in the percentage of Ph.D.s going to URG candidates, and also shows a broader range of candidates, including those identifying as Asian/Asian American. By 2016, Ph.D.s awarded to URG candidates was at 12 percent; an additional three percent identified two or more races/ethnicities.

Figure 4: Proportion of Doctorate Recipients in the U.S. (All Ph.D.s), by Race/Ethnicity and Fiscal Year, 1974-2016



Source: NSF et al, Survey of Earned Doctorates, 1974-2016, data as of 3/15/2019. Goulden, "Benchmarking Faculty Equity in the Academy," 2019.

It is important to recognize that these numbers in both Figures 3 and 4 include Ph.D.s awarded in all disciplines offering Ph.D.s. As noted earlier, the representation of women and URG varies notably by discipline.

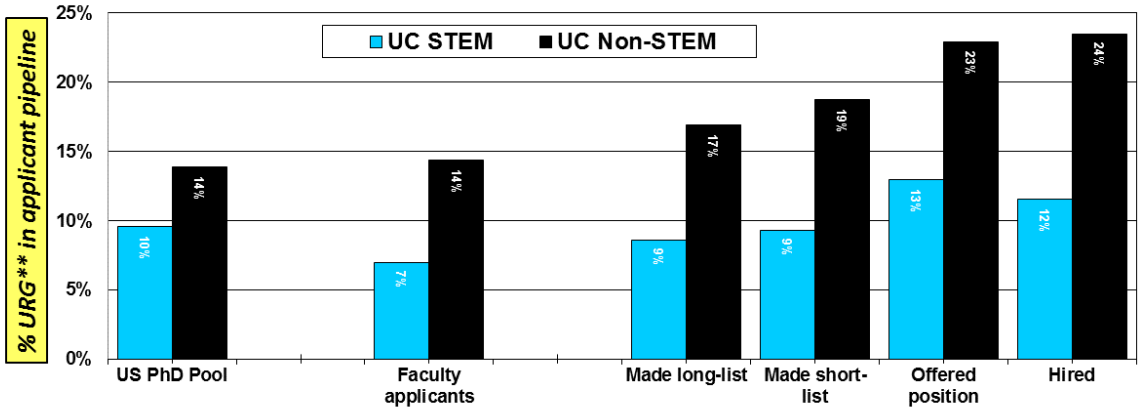
Stages of the Recruitment Process

As much as anything, the hiring of new faculty shapes the research and curricular focus of departments as well as their quality. Thus, there is fierce competition on UC campuses for the opportunity to hire new faculty, and the recruitment process begins with departments proposing a search plan which includes attention to the campus diversity mission. Through a variety of measures, the University assesses the progress of each recruitment, including the ways in which the University is meeting its obligations as a federal contractor to take certain steps to measure the representation of underrepresented groups in hiring and in the available pool data. To facilitate this review, all faculty hiring is conducted through UC Recruit, the web-based academic recruitment and application management tool that supports faculty and applicants through the entire recruitment process. As a feature of UC Recruit, the University is able to track demographic representation of the applicants at various stages of the process. It is important to recognize, however, that those faculty making evaluative decisions on individual candidates do not have access to self-reported information on gender or race/ethnicity.

Figures 5 and 6 below demonstrate one of the ways in which the University's recruitment processes can be assessed. Figure 5, for example, shows six distinct stages of the faculty recruitment process, starting on the far left with data on the potential pool of applicants and ending, on the far right, with data on the faculty hired. The data in this figure are focused on URG applicants and are based on completed LRF searches for the four years between 2013-14 and 2016-17. In this case, applications for STEM positions (see blue bars) and for non-STEM positions ([see black bars], humanities, social sciences, and professional disciplines) are compared and there are three key takeaways: 1) there are fewer URG applicants/potential applicants in STEM disciplines than in other disciplines; 2) URG in the applicant pool in STEM disciplines (second pair of bars from the left) are lower in percentage than expected given the availability among the Ph.D. pool (bars on the far left); and 3) in both STEM and non-STEM disciplines, the hiring process results in a percentage of URG hires at a rate higher than predicted, given the Ph.D. pool.

Figure 5: UC TOTAL Faculty Applicant Diversity Pipeline, STEM* Compared to Non-STEM, By Race/Ethnicity AY2013-14—2016-17

STEM: 657 total job searches;
Non-STEM: 826 total job searches.



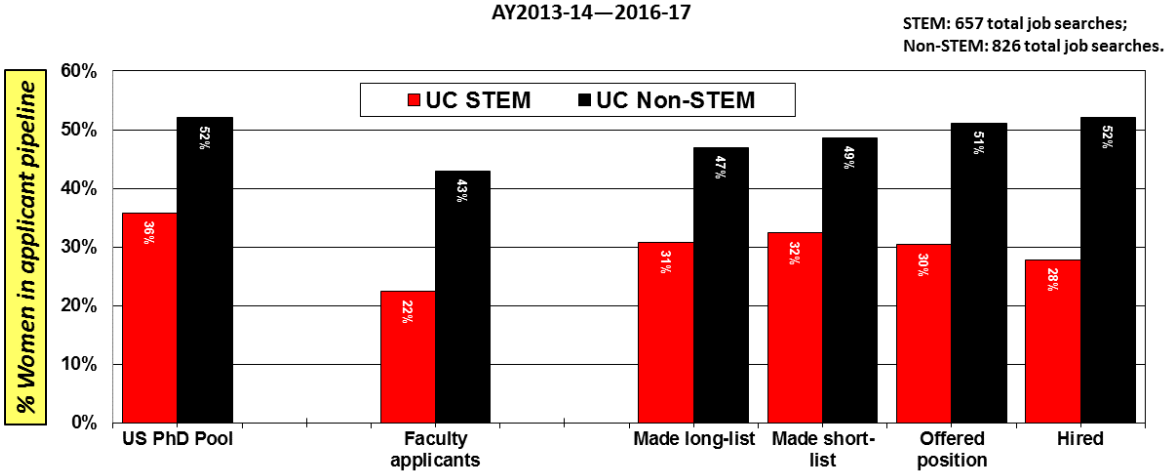
Note: Records Missing Gender/Race/Ethnicity Data were excluded from this analysis

*STEM=Science, Technology, Engineering, & Math. Only searches with applicants, finalists, and Ph.D. availabilities (NSF's SED data) are included in the above figure. UCSB not included due to lack of SED field codes.
**includes Black/African American, Hispanic, and Native American

Sources: Survey of Earned Doctorates (US, PR: 2007-14[TT], 1992-09[TEN.]; New US, PR, INT: 2011-15[TT], 1996-10[TEN.]); UC Recruit 2013-14—2016-17; Analysis from EEFR Research Team

The data that the University collects through UC Recruit allows UC to analyze the faculty search process with a focus on gender as well as on URG status. Figure 6 shows, for example, that in both STEM and non-STEM disciplines we do not recruit an applicant pool representative of the Ph.D. pool, when looking at gender representation; this is particularly notable in STEM disciplines, where applicants are 22 percent women while the Ph.D. pool is 36 percent women.

Figure 6: UC TOTAL Faculty Applicant Diversity Pipeline, STEM* Compared to Non-STEM, by Gender
AY2013-14—2016-17



Note: Records Missing Gender/Race/Ethnicity Data were excluded from this analysis

*STEM=Science, Technology, Engineering, & Math. Only searches with applicants, finalists, and Ph.D. availabilities (NSF's SED data) are included in the above figure. UCSB not included due to lack of SED field codes.

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With such analytical capacity, UC has been able to begin studying what interventions in the recruitment process might help in its efforts to recruit and hire the excellent and diverse faculty the University needs. Improvements to the hiring processes have been tested in four stages of the recruitment process.

- ***Before the evaluative process begins: Building diverse applicant pools.*** The planning for a faculty recruitment starts well before a position is advertised. UC campuses want to hire new ladder-rank faculty who will be accomplished researchers and educators; the campuses also recognize the importance of outreach to encourage talented candidates who would meet the particular needs of the diverse UC community. In a study of practices that correlate with building a diverse pool of applicants (Stacy, Goulden, Frasch, and Broughton, 2018), UC Berkeley researchers used UC data to identify "very promising search practices" that precede advertisement. These include position descriptions that have an emphasis on public scholarship or translational research or a disciplinary focus on issues of gender, race, or ethnicity. The same study also identified "tapping UC pipelines" like the President's Postdoctoral Fellowship Program as effective in recruiting applicants with demonstrated contributions to diversity, equity, and inclusion. This study is available on line at: https://ofew.berkeley.edu/sites/default/files/searching_for_a_diverse_faculty-_data-driven_recommendations.pdf

  Faculty recruitment projects funded by the State of California and the UC Office of the President in the Advancing Faculty Diversity (AFD) Program, begun in the 2016-17 year, have piloted a variety of potential best practices that help UC achieve its priority of developing a diverse faculty that best serves the people of California. In four years, there have been 16 pilot programs across the UC campuses, with awards to these programs made through a competitive proposal process managed by Academic Affairs at UCOP.

The results have been encouraging. In Year 3 of AFD, for example, the UC Riverside Department of Mathematics developed a national symposium on diversity in mathematics and invited diverse students and potential faculty from around the country to take part; the symposium was one of several practices that resulted in a diverse set of applicants and hires in the department. In Year 2 of AFD, UC Irvine focused on the UC pipeline and recruited candidates in STEM who had been PPFP Fellows, resulting in a stellar cohort of new faculty who all had demonstrated commitments to diversity. And in all pilots, faculty have paid close attention to position descriptions that clarify the department or school's commitment to diversity, equity, and inclusion.

- ***The evaluative process.*** Evaluation of candidates occurs at various decision points: which candidates make the "long list," which candidates make the "short list" and are brought to campus for extensive interviews, and which candidates are offered positions. Research in the area of faculty recruitment has shown that bias has been institutionalized into hiring practices in a variety of ways. According to researchers Abigail Stewart and Virginia Valian, "trained academic minds make errors when they are making judgments of people perhaps more than when they are thinking about research problems" (*An Inclusive Academy*, 28). Most UC campuses appoint Equity Advisors to ensure that faculty involved in the evaluative stages of recruitment are aware of ways to reduce the presence of bias; these Equity Advisors are faculty members who are trained to work with their faculty peers to conduct searches and evaluations that are equitable. Departments and schools that have competed to be a part of the AFD program have been putting in place additional evaluative practices designed to reduce bias and allow for selection of those candidates who can contribute not only to the research and educational mission of the University, but who can also contribute to advancing the values of equity and inclusion in the UC community.

  Two strategic innovations have been notable among such efforts. First, AFD recruitments in which the school encouraged scholars with cross-disciplinary training and interests to apply saw increased diversity of the pool, by gender and by race/ethnicity; such a practice in the Life Sciences at UC Berkeley during the 2018-19 year resulted in the hire of a cohort of diverse new faculty doing innovative cross-disciplinary research. Second, nearly all of the AFD pilots have enhanced their attention to the UC Academic Personnel Manual (APM) policy that makes contributions to diversity, equity and inclusion an expected part of faculty performance. The policy reads as follows:

  "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).

All UC campuses include contributions to diversity statements as a part of the materials candidates submit for consideration during the recruitment process. Candidates are instructed, for example, to provide a statement about their past, present, and future contributions to promoting equity, inclusion, and diversity in their professional careers. This may include information about a candidate's understanding of these topics, record of activities to date, and specific plans if hired as a UC faculty member. A candidate may have worked with members of communities or local organizations or with university constituents such as students, staff, or faculty to further equity and inclusion. The AFD awardees, in all four years of the program, have piloted ways to enhance these statements' role in the evaluative process. In some cases, hiring departments and schools have begun the evaluation process by scoring the "contributions to diversity statements" to ensure that candidates who advance to later stages of the search all have an acceptable understanding of diversity, equity, and inclusion to allow them to succeed as a faculty member at UC. In some cases, the finalists, during on-campus interviews, are asked to offer a presentation of their contributions to diversity, equity, and inclusion and how they would bring that commitment to UC.

Since AFD was initiated, the Faculty Senate's Academic Council has recommended to the campuses that such contributions be a part of all faculty reviews. The Council recommendation reads, in part, as follows, in speaking about the importance of statements on diversity, equity, and inclusion (DEI):

"DEI statements foster productive discussion on how faculty, both current and prospective, can shape and improve the overall learning and working environment in higher education. By encouraging both faculty and faculty applicants to discuss their awareness of and to think intentionally about how they can contribute to diversity, equity, and inclusion, DEI statements can inspire pedagogical and research innovation as well as deepen engagement with these values in all aspects of their work. The systemwide implementation of the use of these statements both affirms DEI as core values of UC and reinforces the expectation that all faculty are responsible for diversity, equity, and inclusion, thereby ensuring that this work is shared broadly and recognized appropriately." https://senate.universityofcalifornia.edu/_files/reports/rm-mb-divchairs-use-of-dei-statements.pdf

While there has been some resistance to the recruitment practices that put strategic emphasis on contributions to diversity, the AFD units who have pioneered such practices have been pleased with their hiring outcomes.

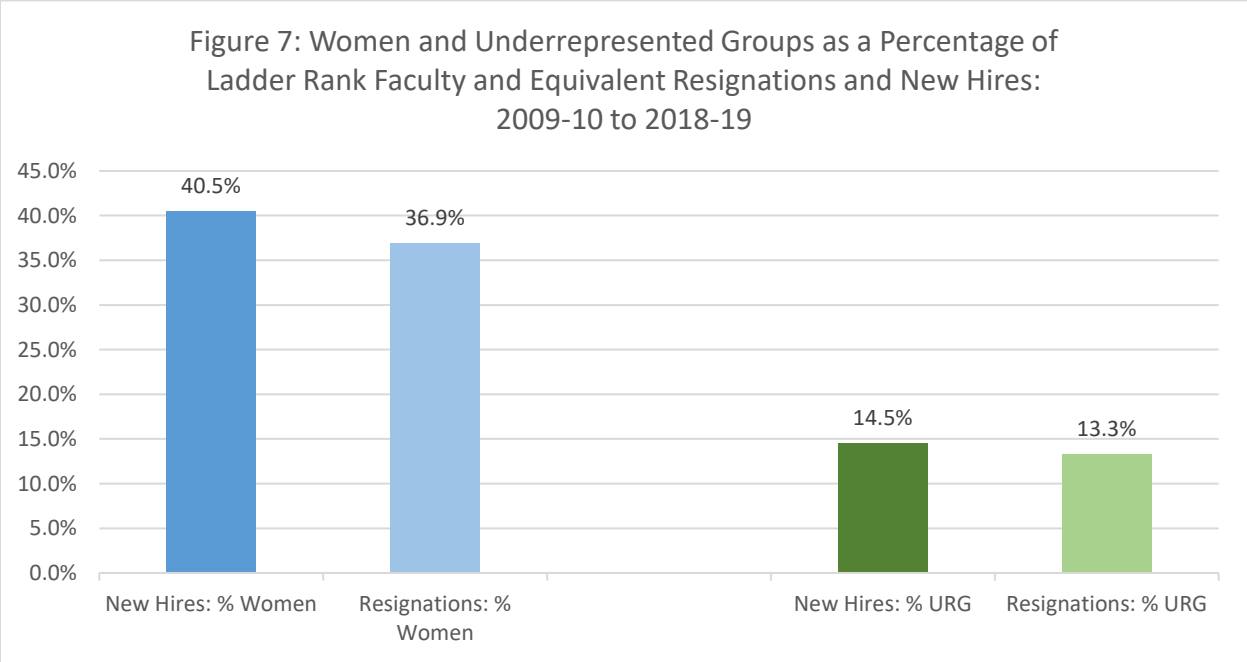
- ***Securing highest-ranking candidates.*** When an offer is made to a candidate, the department chair or school dean has significant work remaining to secure a candidate's agreement to commit to UC. New practices piloted through AFD appear to be helping UC secure that final commitment: such practices include building start-up packages that include funds reserved for supporting diversity, equity, and inclusion programs; hiring faculty in cohorts where there is shared expertise across disciplines; and establishing cohort-based mentoring programs, including mentoring programs focused on building pedagogical skills that work for a diverse student body. Successful AFD pilots have also secured top candidates by supporting the accommodation of dual career partners.

- ***Welcoming new faculty members.*** Because AFD was initially funded by the State with a one-year timeline and an expectation for immediate results, UC made the strategic decision to award the funds to support innovations in faculty recruitment. The need to incentivize a change in recruitment practices remains, and President Napolitano has dedicated continuing funds to this effort. Such ongoing funding has allowed the program to fund additional interventions over a two-year period, increasing the reach of the changes it has piloted and assessed.

Retention of Ladder-rank Faculty

For the University to continue to build a multi-generational, diverse faculty, it must retain existing diverse faculty and recognize that established academic cultures are still often not welcoming of minority groups. Recent climate studies on some UC campuses have documented the stubborn presence of hostile climates, often more pronounced for women and URG.

Analysis of faculty resignations from the University confirms that the University's efforts to build a diverse and excellent faculty must include attention to retention. When comparing the percentage of faculty resignations from the University to the percentage of faculty hires,, it appears that UC is unlikely to improve the presence of URG without directed efforts in retention as well as recruitment. Figure 7 shows that, while UC has hired 14.5 percent URG in the last ten years, 13.3% URG has resigned in the same timeframe. That percentage is higher than the overall representation of URG faculty (10.4%) in these ranks. During the same timeframe, women were 36.9 percent of resignations, compared to 40.5 percent of hires. This compares to women's overall representation on the faculty, at 34.1 percent.



Since 2016, UC has engaged the Collaborative on Academic Careers in Higher Education (COACHE) at the Harvard Graduate School of Education to design and administer a Faculty

Retention and Exit Survey. In the most recent findings, covering three years of departures and retentions from 2016-17 through 2018-19, results provide information about the factors in faculty members' decisions to stay at UC or to leave for a position elsewhere. Faculty of color (African American, Hispanic/Latino(a), American Indian, and Asian/Asian American) are overrepresented among those who departed and underrepresented among those who were actively retained.

The two top factors in the faculty decision-making about staying or going were the "quality of colleagues" and "salary." The next four top factors were "department or institutional reputation," "proximity to family," "potential for professional growth/intellectual stimulation," and "collegiality in the department." "Collegiality in the department" was cited much more frequently as a factor by those who left than by those who were retained. In a further breakdown, females who left cited as their primary factors to leave "potential for professional growth/intellectual stimulation," "salary," "collegiality in the department," and "quality of colleagues." Faculty of color cited "potential for work-life balance," "opportunity to collaborate with colleagues," "salary," and "collegiality in the department." Many of these top factors, especially those about department climate and collaboration, can be addressed by the University.

Two other findings of the COACHE study are relevant. Of those surveyed, both female faculty and faculty of color are more likely to be single, divorced, separated, or widowed than are male or white, non-Hispanic faculty. In addition, when those filling out the survey were asked how they would respond if a candidate for a position in their UC department asked about the department as a place to work, more males than females recommended their department as a place to work (21% of females and 12% of males did "*not* recommend [their] department as a place to work"); more white, non-Hispanic faculty than faculty of color would recommend the workplace (24% of faculty of color and 17% of white non-Hispanic faculty did "*not* recommend [their] department as a place to work").

Recognizing the need to address issues of improved climate and retention for faculty, President Napolitano made systemwide funds available to support programs designed to retain faculty and to improve academic climate in 2018-19. Through a competitive process, six awards were made to the campuses, each with up to $75,000 for retention and climate efforts. In the second year of this program, during the 2019-20 year and extending into 2020-21, nine awards were made in three categories: interventions to improve retention and climate; data leadership to model ways to measure efforts in retention and climate; and research on faculty retention and academic climate. A summary of all AFD pilots and programs for 2019-20 and 2020-21 is available on-line: https://www.ucop.edu/faculty-diversity/_files/reports/adv-fac-div-2019-21-prelim-leg-report.pdf

While efforts to retain underrepresented faculty and to improve academic climate is a long-term commitment, the activities supported by the AFD over two award cycles will provide an opportunity to test a variety of efforts that, if proven successful, can be adopted across the University. The program for 2019-21, with nine awards to the campuses, includes efforts such as the following.

- A joint UC Davis/UC Merced effort to enhance the retention of faculty committed to diversity and equity through a cross-campus faculty learning community.

- The development of a new diversity, equity, and inclusion dashboard at UCLA to help units committed to diversity measure their success with issues of climate and retention.
- A new Faculty Leaders Peer Mediation Program at UC Merced to deal with conflict resolution in academic units.
- Retention of minority faculty by nurturing supportive communities and intellectual homes based on common interests, affinities, and identities at UC Riverside. The program is tying such efforts to curricular changes and including the Inland Southern California community in planning and events.
- In three separate projects, UC Davis, UC Berkeley, and UC Santa Barbara are all providing programming, networks, and facilitated meetings and workshops to remove barriers for marginalized faculty to thrive.
- Researchers at UC Santa Barbara are addressing why some URG faculty are leaving, why some are staying, and what resources and strategies the campus can use to more efficiently address faculty diversity issues in a more holistic way that builds from existing strengths.
- Researchers at UC Santa Cruz are examining how URG faculty view transformative leadership—leadership designed to validate and bolster the critical contributions of URG faculty. They are exploring strategies for redesigning leadership opportunities for faculty in ways that promote their wellbeing and retention.

For the first time this year, UCOP Academic Affairs is convening the current AFD awardees for both the recruitment and the retention and improved climate projects so that the key participants can share their progress and challenges and learn from the efforts on other UC campuses. The first convening was held at UC Davis in November, 2019. The second convening will be on a Southern California campus in late spring 2020. In addition, Academic Affairs is convening campus Faculty Equity Advisors in May of 2020 (and those in similar roles on UC campuses) to review what works and does not work in advancing faculty diversity and building academic communities built on equity and inclusion. These meetings for the 2019-20 year build on other important meetings in recent years, including two that were hosted by the University's Executive Vice Chancellors/Provosts and that included their key campus partners in diversity efforts focused on the professoriate.

Looking Forward

The availability of funding through the AFD program has supported the engagement of hundreds of UC faculty and administrators and has accelerated campus efforts to be more forceful in defining and addressing issues of diversity, equity and inclusion for faculty and their academic units. These efforts will need to be sustained to drive the changes that are still needed.

Key to Acronyms

AFD	Advancing Faculty Diversity Program
APM	Academic Personnel Manual
DEI	Diversity, equity and inclusion
LRF	Ladder-Rank Faculty
PPFP	President's Postdoctoral Fellowship Program

STEM	Science, Technology, Engineering, and Mathematics
URG	Underrepresented Groups (African American, Hispanic/Latino[a], and American Indian)