Office of the President

TO THE MEMBERS OF THE ACADEMIC AND STUDENT AFFAIRS COMMITTEE:

<u>DISCUSSION ITEM</u>

For Meeting of May 18, 2022

STATUS REPORT ON THE ADVANCING FACULTY DIVERSITY PROGRAM

EXECUTIVE SUMMARY

The Advancing Faculty Diversity (AFD) program was initially established in fiscal year 2016–17 with $2 million one-time funds from the State of California, in direct response to the Legislature's interest in seeing increased diversity among faculty ranks at the University of California. With those funds, UC established a program of best practices in equal opportunity hiring to make competitive awards to campus pilots testing out new interventions aimed at increasing faculty diversity. Additional one-time funds were allocated to UC for three of the next four fiscal years for a total of $8.5 million. The University President also committed funds for these projects beginning in FY 2018–19 with the establishment of new awards aimed at improving academic climate and faculty retention and has allocated a total of $6.5 million in the first five years of the AFD program. From 2016–17 to 2020–21, campuses have received an estimated $12.6 million for 48 projects in Recruitment and Improved Climate and Retention. A total of 146 ladder-rank faculty have been hired through the AFD program, utilizing innovative practices in recruitment such as the use of candidate statements on diversity, equity, and inclusion in the first round of application review; utilizing evaluation rubrics that enable more equitable assessment of candidates' experience and expertise; and recruiting from the pool of current and former postdoctoral fellows in the President's Postdoctoral Fellowship Program (PPFP) and Chancellors' Fellowship Programs. The PPFP also received an additional $2 million annual commitment from the President in FY 2018–19 to support additional fellowships. For the Improved Climate and Retention projects, the more successful interventions in building a more inclusive and welcoming campus climate include: junior faculty mentoring programs; writing communities and manuscript workshops for underrepresented faculty; community-building and faculty support activities based on common research, teaching, and learning concentrations; and scholarship and climate presentations by faculty experts for underrepresented faculty.

BACKGROUND

History and Purpose of Advancing Faculty Diversity

Beginning in FY 2016–17, the University of California received one-time State funds in support of equal employment opportunities for faculty. This appropriation of funds was in response to the Legislature's interest in seeing increased gains in faculty diversity at each of the State's three

higher education segments. With this initial infusion of $2 million from the State, after consultation with the campus executive vice chancellors, the Academic Senate, and members of the Legislature, the University established the Advancing Faculty Diversity program.

Since the new one-time appropriation was intended for a program of best practices related to advancing faculty diversity, UC sought to use the funds in a manner that would have a lasting impact and value beyond efforts already in progress by providing reliable, useful information that could help allocate limited resources in the most effective way possible. To complement ongoing efforts to build a more diverse faculty at the campuses, UC developed the program to support development of innovative and focused campus projects designed to increase faculty diversity in selected pilot units (AFD Recruitment). This allowed UC to make targeted expenditures on pilot units that need to make progress in faculty diversity, had the commitment to improve faculty diversity, and had the capacity to develop practices that could be adopted more broadly with sufficient future funding. At the same time, UC funded efforts to gather reliable data and information that could be used to help guide any future allocations in support of increasing faculty diversity.

The AFD program was expanded in 2018–19 to include funding provided by the Office of the President (UCOP) to make awards to projects focused on faculty retention efforts, including programs targeted at improving department or school climate (AFD Improved Climate and Retention). The goal of the program was not to target individual retention efforts, but rather to pilot new and innovative programs and interventions, or proven best practices from prior efforts, not previously implemented in the units applying for funds.

Program Overview and Goals

UC has committed to increasing the diversity of its faculty, both in underrepresented minorities (URM)[1]:) and female faculty on the campuses. Since 2016–17, the Advancing Faculty Diversity program has been offering competitive awards to support recruitment of underrepresented groups and women at the University of California. In the first two years of the program, AFD was focused solely on supporting pilot projects aimed at increasing recruitment of ladder-rank faculty. In 2018–19, UCOP committed additional ongoing funds to support projects in selected campus units aimed at improving climate and retention, demonstrating that UC has a deep commitment not only to recruiting diverse faculty members but also to creating academic communities on the campuses that help facilitate an inclusive environment in which faculty are able to do their best work with a sense of belonging.

The overall goal of the AFD program is to identify best practices in both faculty recruitment and improving climate and faculty retention that could be scalable beyond the immediate unit or campus where these practices were initiated. An additional goal of the program is to create a systemwide community of practice in which campus Principal Investigators (PIs) are able to connect and engage with one another on their individual project work, create synergies in the work, and facilitate opportunities for learning and sharing ideas.

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[1] African American, Chicano(a)/Latino(a)/Hispanic, and Native American

Each spring, the systemwide Provost releases a request for proposals (RFP) for the Advancing Faculty Diversity Recruitment and Improved Climate and Retention program. In this competitive process, campuses are provided an opportunity to submit up to two proposals under each program type. All proposals must be endorsed by campus leadership and projects must name a sponsor. Up to 40 proposals are reviewed by a committee comprised of UCOP leaders in faculty diversity and Academic Senate representatives to determine the allocation of funds. Ideally, funds are allocated in early summer in order to provide projects ample time to launch their work.

Recruitment program. Advancing Faculty Diversity recruitment projects acknowledge the importance of a diverse faculty in educating UC's increasingly diverse student body. Each year, Recruitment proposals have built on prior funded pilots' successes in outlining their own project plans. They also demonstrate a deep understanding of and support for increasing the diversity of the faculty. Successful proposals have made a commitment to recruiting new ladder-rank faculty with an emphasis on identifying candidates who have the capacity to enhance contributions to diversity in their research, teaching, service, and outreach.

In addition, the funded projects have demonstrated a number of other qualities:

- their campus leadership/Deans/Chairs demonstrated a strong commitment to faculty diversity;
- they included practices from previously funded pilots that had proven successful in building a more diverse faculty; and,
- they planned sufficient hiring for the year, so their enhanced recruitment efforts were more likely to produce a diverse set of new faculty members. They also demonstrated use of innovative recruitment processes that can be replicated at other campuses.

For the first three years of the AFD program, recruitment pilot projects had one year to expend their funds. Beginning in 2019–20, the AFD Recruitment awards shifted to become two-year awards and was extended to include recruitment of all Senate faculty. One of the biggest lessons learned from the prior funding cycles is that the pilots experienced challenges utilizing grant funds in a single year. The additional year gives the new projects more flexibility to match the funds to their campus faculty recruitment and hiring timelines. Also, that same year, the AFD program added a new requirement that campuses receiving awards would agree to use the Search Committee Chair Survey, which is available in UC Recruit, a web-based academic recruitment and application management tool for all ladder-rank recruitments.

In 2020–21, the AFD program encouraged campus proposals to consider how the COVID-19 pandemic and its related exposure of inequities might be addressed.

Improved Climate and Retention. In the third year of the AFD program (2018–19), then President Napolitano provided additional funds to offer awards to improve faculty retention or support a more inclusive climate. The Improved Climate and Retention program went through a significant redesign process in its second year to ensure that the program structure was aligned with campus expectations and based on relevant research and national practice. This resulted in an Improved Climate and Retention program that supported 1) equity-oriented interventions, 2)

data leadership/capacity, and 3) research. Projects that allowed the University to make progress in improving campus climate and retention outcomes for faculty members from historically underrepresented groups were especially encouraged, as were joint proposals from more than one campus. As with the Recruitment program, during the pandemic, the Improved Climate and Retention program review prioritized projects specifically aimed at responding to COVID-19 issues that have affected faculty and those projects addressing issues of racial justice through proposed interventions.

Building a Community of Practice. Beginning in the 2019–20 funding cycle, the AFD program began hosting two gatherings of the funded project teams designed to build a community of practice for faculty Recruitment and Improved Climate and Retention work on the campuses. In applying for AFD funding, if selected, project leaders and team members make a commitment to attending each of these meetings that take place in fall and spring of the academic year. While in-person convenings had been the goal, given the COVID-19 pandemic, AFD was only able to hold one convening in person. The first AFD convening was held over two days, on October 8 and 9, 2019 at UC Davis. One day was dedicated to Recruitment projects, and the other to Improved Climate and Retention projects, with a third joint convening of all projects taking place at the end of the first day. In the joint convening, all projects came together to discuss topics of interest to the PIs, listen to presentations on key areas of research, and have conversations with UC leaders.

Since the spring of 2020, AFD project leaders have instead been brought together in an entirely virtual environment via videoconference. The AFD convenings are separated into two separate virtual sessions, one for Recruitment projects and the other for Improved Climate and Retention projects, each of which include other UC leaders. In the interest of time and not overburdening project PIs with too many hours online via videoconference, these sessions have been more streamlined, with three-hour sessions for each of the three meeting components.

Virtual meeting programs typically include panels of previously-funded projects as well as a panel of new projects (for the fall convening). Participants also have an opportunity to share their experiences, successes, and challenges in managing their projects, particularly during the pandemic and under conditions of heightened attention to racial justice issues. Each of these virtual convenings have been well-attended, with opportunities for individual participants to engage with the speakers in Q&A discussion, as well as with other project colleagues in smaller breakout rooms. The AFD convenings, while not held in person, have been well received, with AFD project PIs and other systemwide campus leaders continuing to be deeply engaged in sharing best practices across the system, as well as in comparing ways to handle the challenges brought by the pandemic. These convenings typically have 50 to 60 PIs and campus leaders in attendance. Additionally, these convenings have been a safe space for projects to share some of the additional challenges associated with the pandemic, social justice, and with changing the culture within the institution.

Faculty Diversity at UC

Tables 1 and 2 below offer incumbent ladder-rank faculty data disaggregated by race and ethnicity and citizenship status (Table 1) and by gender (Table 2). In these tables, recall faculty—retired faculty recalled to active duty—have been excluded from the counts. Domestic URM faculty, meaning those who identify as Black/African American, Chicano(a)/Latino(a)/Hispanic, and American Indian/Alaskan Native, Native Hawaiian and two or more races, made up 9.9 percent of total ladder-rank faculty and international URM faculty made up 3.4 percent of the total. In all, URM faculty were 13.4 percent of the total in fall 2021. These totals include faculty who identified as Native Hawaiian and two or more races, one of which was in a URM category. A total of 19.4 percent of the faculty are Asian American or Asian International and 67.1 percent are white or did not self-identify. With so many UC faculty being international, this identifier is tracked to ensure full understanding of the diversity of the faculty.

Table 1
October 2021 UC Ladder Rank Faculty and Equivalent
Professorial, Acting, LSOE, Agronomist and Astronomer Series,
Excluding Recalls

Race/Ethnicity/Citizenship		Headcount	% of Total
Black/African American-Domestic		329	3.0%
Black/African-International		70	0.6%
American Indian/Native American		52	0.5%
Chicano(a)/Latino(a)/Hispanic-Domestic		611	5.6%
Latino(a)/Hispanic-International		299	2.8%
Other URM (Native Hawaiian and 2 or more)		90	0.8%
URM Total		1,451	13.4%
Asian/Pacific Islander/Native Hawai'ian Dom		1,043	9.6%
Asian/Pacific Islander/Native Hawai'ian Intl		1,062	9.8%
White/Unknown - Domestic		5,505	50.8%
White/Unknown Intl		1,698	15.7%
Domestic Two or More Races – non-URM		67	0.6%
Total		9,375	86.6%
Grand Total		10,826	100.0%
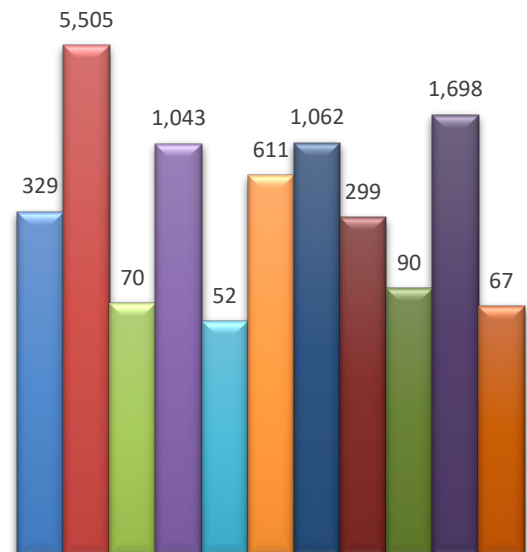
According to Table 2 below, women made up 33.9 percent of the ladder-rank faculty in fall 2021; in addition, 11.2 percent of all ladder-rank faculty declined to state their gender identification. While this figure could mean that faculty are simply choosing not to state their

gender identity, it could also mean that the population of faculty identifying as non-binary is growing. However, specific conclusions should not be based on this information alone.

Table 2
October 2021 UC Ladder Rank Faculty and Equivalent
Professorial, Acting, LSOE, Agronomist and Astronomer Series, Excluding Recalls
Headcounts by Gender

Gender	Headcount	% of Total	% Excluding Other/Decline to State
Women	3,672	33.9%	38.2%
Men	5,943	54.9%	61.8%
Other/Decline to State	1,211	11.2%	
Grand Total	10,826	100.0%	

Program Funding and Expenditures

In the first five years of the Advancing Faculty Diversity program, the State has allocated a total of $8.5 million in one-time funds to support the AFD Recruitment program, with an additional investment of $6.5 million from UC beginning in FY 2018–19. Total dollars invested by the State and UC in the Advancing Faculty Diversity program from 2016–17 through 2020–21 is $15 million. Funds have been used to support awards for Recruitment and for Improved Climate and Retention projects at UC campuses, in addition to program administration. Table 3 below presents a year-by-year accounting of AFD funding sources.

Table 3
Total Advancing Faculty Diversity Funds, by Fund Source
2016-17 through 2020-21

Fiscal Year	Total State Funds (in millions)	Total UC Funds (in millions)	Total Funds (in millions)
2016-17	$2.0	-	$2.0
2017-18	$2.0	-	$2.0
2018-19	$2.0	$.5	$2.5
2019-20	$2.5	$3.0	$5.5
2020-21	-	$3.0	$3.0
Grand Total	**$8.5**	**$6.5**	**$15.0**

Chart 1 below provides a breakdown of total funds awarded over the first five years of the Advancing Faculty Diversity program. Each campus has received funding from the Advancing Faculty Diversity program in the form of Recruitment or Improved Climate and Retention awards. Over the first five years, UC Davis and UC Riverside have received the most AFD funding with 17 percent and 15 percent of the overall total, respectively. The full breakdown of Recruitment and Improved Climate and Retention awards by campus may be found later in this item.

Chart 1
Advancing Faculty Diversity Awards
Total Dollars by Campus
2016-17 to 2020-21

UC Santa Cruz, $775,057
UC Berkeley, $1,210,000
UC Santa Barbara, $988,725
UC San Francisco, $675,000
UC San Diego, $1,572,500
UC Davis, $2,121,335
UC Irvine, $1,731,000
UC Riverside, $1,825,000
UC Los Angeles, $560,000
UC Merced, $1,117,713

10%, 6%, 8%, 5%, 12%, 15%, 9%, 4%, 14%, 17%
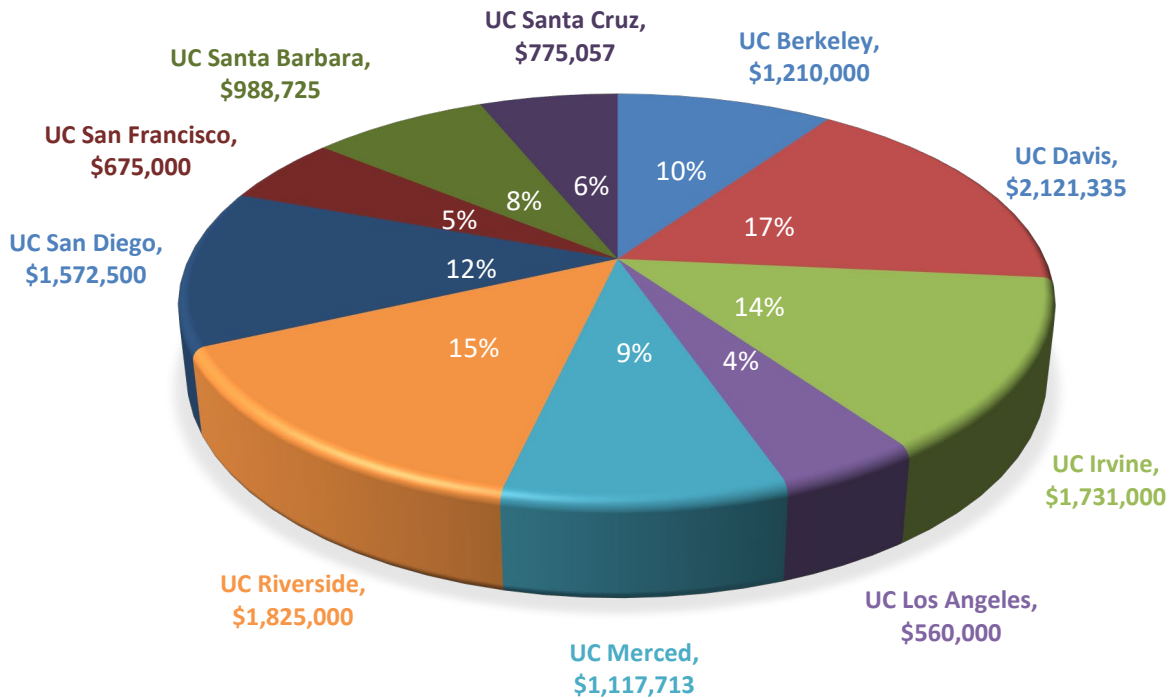
The snapshot in Chart 2 below provides an outline of dollars allocated by expenditure category, for all Recruitment projects funded in year 5 of the AFD program. For Recruitment awards overall, expenditures for start-up costs make up the bulk of total funding, or 67 percent in 2020–21.

These start-up funds are offered to incoming faculty members to assist them in establishing their research labs, hiring graduate students, and paying for professional development, among other things. In these cases, the funding goes directly to support the work of diverse new faculty. For AFD projects, these funds have been a key tool utilized as incentives to attract highly qualified diverse applicants. Among remaining project costs, those associated with managing the project in the form of personnel have typically been the second highest use of funding for Recruitment projects. Management of AFD awards is highly labor intensive, with project PIs spending significant time attending to the details of the project work; most of the faculty involved in these recruitment projects get no funding for the time they commit.

By the end of the 2020–21 fiscal year, project PIs reported that over 80 percent of AFD Recruitment funds were unspent; this demonstrates the struggles associated with faculty hiring during a worldwide pandemic. While funded proposals did anticipate that the pandemic would affect their efforts, without knowing precisely how long the continued shelter-in-place orders would last, funded projects had to shift their recruitment efforts to a fully online platform for the

bulk of the year. However, some of the funding has been committed to incoming faculty with start dates in a future academic year. Going into year six, the COVID-19 pandemic has continued to affect the ability of campus recruitment projects to move forward with regularly planned activities, such as recruitment visits, in-person interviews, and finalizing offers. The pandemic also continues to affect in-person activities created to serve as community builders for newly recruited faculty, in addition to professional development programming for new faculty. Much of this activity has successfully shifted to being fully online, which means fewer expenses for funded projects.

Chart 2
Year 5 AFD Recruitment Awards, 2020-21
Percent (%) of Total Dollars Awarded

- Outreach and Advertising
- Campus visits and interviewing
- Start-Up Costs
- Personnel Costs
- Other - includes workshops, seminars, orientation sessions, debriefings
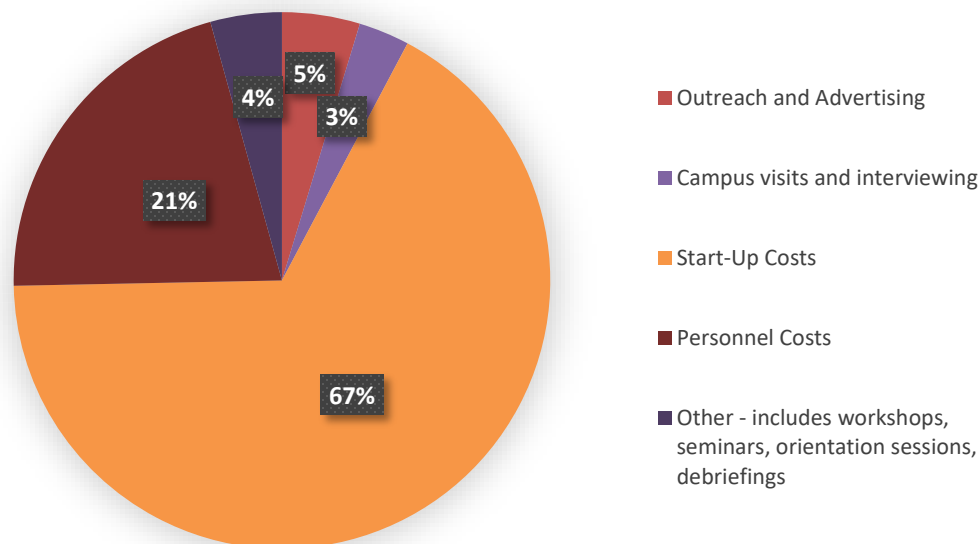
Chart 3 below displays the categories of expenditures for all Improved Climate and Retention awards outlined in original project proposals in 2020–21. For the Improved Climate and Retention projects, 58 percent of total funds were originally designated for personnel costs. Details vary by campus project, but for most funded projects personnel costs account for the highest line item in the budget. These personnel costs point to the significant investment needed to improve climate and retention, including funds to buyout faculty time and staff personnel time in order to focus efforts on the specific interventions necessary at the campus and local level.

Chart 3
Year 5 AFD Recruitment Awards, 2020-21
Percent (%) of Total Dollars Awarded
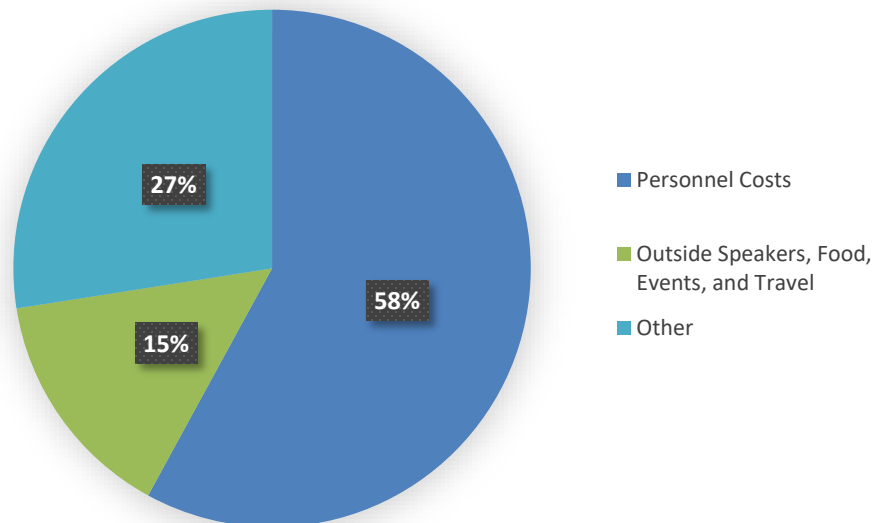
In 2020–21, the inability to hold events in person significantly affected project expenditures and accounted for some project budgets reporting far less expenditures than originally anticipated by the end of the academic year. Several projects have requested and had modifications to their budgets approved in keeping with AFD goals. For some projects, this allowed for additional funds to go to personnel costs associated with administering the awards. In one case, funds were shifted to support small COVID relief grants for faculty. Staffing for projects was a significant issue for several awards in 2020–21, some not having anticipated the amount of work it takes to run the project; for others, staffing shortages in administrative units had significant impact on project work, particularly with administrative functions like budget tracking and reporting. In the future these funding trends will likely change, as campus operations stabilize with the return to in-person operations and the decline of the pandemic.

Recruitment

Table 4 below shows the total number of AFD Recruitment awards by campus over the last five years. Since 2016–17, in the first five years, the AFD Recruitment program has supported a total of 20 pilot projects at the department, school, college, and campus-wide levels, projects that support the hiring of a cohort of new faculty and that put in place a collection of interventions designed to build more inclusive and diverse candidate pools and to ensure that review of candidates is done equitably. While project PIs have been encouraged to adopt successful practices from prior years' efforts (and they have done so to great success), they also recognize that they need to redesign their own department or school recruitment efforts in ways that disrupt past practices.

Table 4
Total Recruitment Awards by Campus – Years 1-5

	2016-17	2017-18	2018-19	2019-20	2020-21	Campus Total
UC Berkeley		1	1			2
UC Davis	1		1	1		3
UC Irvine		1		2		3
UCLA					1	1
UC Merced			1		1	2
UC Riverside	1		1	1		3
UC San Diego	1				1	2
UCSF		1				1
UC Santa Barbara		1				1
UC Santa Cruz				1	1	2
TOTAL AWARDS	3	4	4	5	4	20

In the 20 recruitment pilot programs in years one to five, an incredible array of interventions has been implemented and analyzed. Among the more successful strategies have been the following:

- Increasing recruitment efforts by making visits to Minority-Serving Institutions (MSIs), by networking at national conferences, through individual outreach to promising scholars, and by creating on-campus speaker series featuring potential candidates.
- Developing new training modules for faculty involved in searches, both face-to-face and virtual
- Featuring the Academic Personnel Manual's focus on "contributions to diversity" statements in recruitment and evaluation
- Adopting practices like evaluation rubrics that enable more equitable assessment of candidates' experience and expertise
- Requiring that candidates demonstrate experience with teaching a diverse student body
- Recruiting from the pool of current and former postdoctoral fellows in the President's Postdoctoral Fellowship Program and Chancellors' Fellowship Programs
- Making the finalist interviews more welcoming and supportive
- Providing start-up funding for newly hired faculty to build UC efforts in equity and inclusion for their students, labs, and studios
- Recruiting for senior scholars with track records in mentoring diverse students and using endowed chairs
- Strengthening the role of faculty equity advisors during the recruitment process
- Diversifying the membership of search committees
- Featuring the department's efforts in equity, inclusion, and diversity in job advertisements

While the interventions have proven overwhelmingly successful in changing department and school practice and culture, each pilot has not had the same success in building a recruitment protocol that leads to increased faculty diversity. Less successful pilots did not have fully engaged leaders, experienced a change in leadership, or met faculty resistance that had not been fully anticipated. Some simply attempted to put in place too many changes at once, without sufficient support, so that resistance to change took substantial time and energy to manage.

A key feature of all recruitment pilots has been use of what the Academic Personnel Manual (APM) policy calls "contributions to diversity;" most campuses are more precise in referring to these as "contributions to diversity, equity, and inclusion" or C2DEI. The APM policy is aligned with Regents Policy 4400: Policy on University of California Diversity Statement, which ends with this sentence: "The University particularly acknowledges the acute need to remove barriers to the recruitment, retention, and advancement of talented students, faculty, and staff from historically excluded populations who are currently underrepresented." The APM statement on C2DEI brings this principle into the section of the manual that sets expectations for faculty performance and excellence. Here is the key policy statement:

> 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)

Since the APM policy was first adopted in 2005, it has become increasingly important in the faculty recruitment process. While all campuses now use candidates' C2DEI statements in the course of evaluating potential faculty, AFD Recruitment pilot projects have drawn from the policy in innovative ways to bring expectations about engagement with diversity, equity, and inclusion (DEI) to the center of selecting new faculty.

- In the first year of the program, two of the three pilots—the Jacobs School of Engineering at UC San Diego and the Bourns College of Engineering at UC Riverside— enhanced the use of C2DEI as a key intervention. At UC Riverside, the College position description for a new cohort of faculty made C2DEI a requirement for the position and C2DEI statements were reviewed in the first stage of review, a departure from past practice. At UC San Diego, the School put in place various novel recruitment efforts, and worked with select hiring departments to develop rubrics by which to evaluate all candidate qualifications, including prior C2DEI. Both units had diverse hiring outcomes, significantly above the availability of women and underrepresented groups in the discipline. One of the deans noted that there were "several intangible gains, including

significant faculty buy-in within engineering and these specific mechanisms and goals, also had the unexpected effect of creating a great deal of buy-in and 'buzz' around the subject of faculty diversity."

- In the second year, UC Berkeley's College of Engineering sought to cultivate a culture throughout the college in which all members of the community viewed themselves as active participants in equity and inclusion and the search interventions focused on candidate C2DEI. The resulting hires included 26.7 percent URM and one-third women, both percentages higher than candidate availability. Key to this pilot was that the Dean worked to integrate DEI into all College work, noting, "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."

- By the third year of the program, the pilot programs continued to refine and extend the ways in which candidate C2DEI were woven into many stages of the process. In the Department of Mathematics at UC Riverside, recruitment efforts included hosting and recruiting from national symposia of mathematicians by highlighting the diverse student body at UC Riverside and also by reviewing C2DEI statements early in the search. UC's mathematics faculty are one of the least diverse compared to other disciplines at UC, but through this pilot the department significantly increased its hiring of women and faculty in underrepresented groups. At UC Davis, the campus-wide pilot included eight schools and colleges that agreed to a portfolio of notable changes to their hiring practices—a search committee with an "outside" co-chair to increase accountability, broad recruitment emphasizing the campus commitment to DEI, review of C2DEI at the initial stage, use of confidential faculty advisors, and enhanced mentoring post-hire. A second UC Davis grant in year four allowed the campus to extend the interventions of year three even more broadly across campus. A third pilot, this one at UC Berkeley, was likewise ambitious in its portfolio of major interventions in the search process as well as a successful focus on building a new cross-disciplinary, multi-school community in the life sciences. This pilot was focused on hiring a cohort of early career faculty research scientists who also demonstrated strong potential to enhance diversity, equity, and inclusion. The first round review of over 800 applicants was based on their C2DEI statements, which were redacted to reduce bias in the review process. The candidate pool exceeded the availability of the national Ph.D./postdoctorate pool and the new faculty hired included 40 percent URM and 47 percent females.

- In years four and five of the Recruitment program, the use of redacted materials was also in place at UC Irvine, UC Santa Cruz, and UC Davis. UC Irvine and UCLA also designed a new set of interventions. UC Irvine developed the Chancellors Inclusive Excellence Fellows, a program in which departments could nominate newly hired faculty for a fellowship that would fund their research and/or teaching in DEI; UCLA focused on recruiting Mentoring Professors, senior faculty who brought experience in mentoring underrepresented groups in the sciences (students, postdoctoral researchers, and early career professional scientists). The recruitment projects have also increasingly focused on curriculum and pedagogy in these more recent years. UC San Diego conducted a multidisciplinary cluster hire of over ten new faculty whose research is focused on racial/ethnic disparities in health, medicine, and the environment; these faculty will be

part of efforts to diversify curriculum in Science, Technology, Engineering & Mathematics (STEM) departments and contribute to course offerings in African American Studies as well. In year five, UC Santa Cruz and UC Merced partnered on the first multi-campus recruitment project, developing innovative materials to strengthen faculty recruitment, building on research and practice at UC and nationally.

A total of 146 new ladder-rank and equivalent hires have been made during academic years 2017–18 through 2020–21 as a result of the Advancing Faculty Diversity program. Table 5 below provides a comparison of the AFD hires versus all non-AFD recruitments by race/ethnicity. Overall, 33.6 percent of all AFD hires were from underrepresented groups, compared to 18.7 percent of the non-AFD hires made between 2017–18 and 2020–21. If one were to exclude the hiring from one pilot in the first three years that was not as successful as many others in hiring diverse faculty, the hiring rate from underrepresented groups would jump to 38.9 percent. The total number of URM hires made at the University from non-AFD recruitments during this time was 470 which could mean that some campus units have adopted innovative hiring practices tested in the AFD pilots as a means to increase the diversity of their faculty. The breakdown by gender (Table 6) shows that AFD projects have been more successful at recruiting women to the faculty ranks. The overall percentage of AFD hires that were women from 2017–18 through 2020–21 was 49.3 percent compared to 45.7 percent for non-AFD hires during that same time.

Chart 4: Ladder-Rank and Equivalent AFD & Non-AFD Hires; New Hires, 2017-18 through 2020-21

■ % of Total AFD Headcount   ■ % of Total Non-AFD Headcount

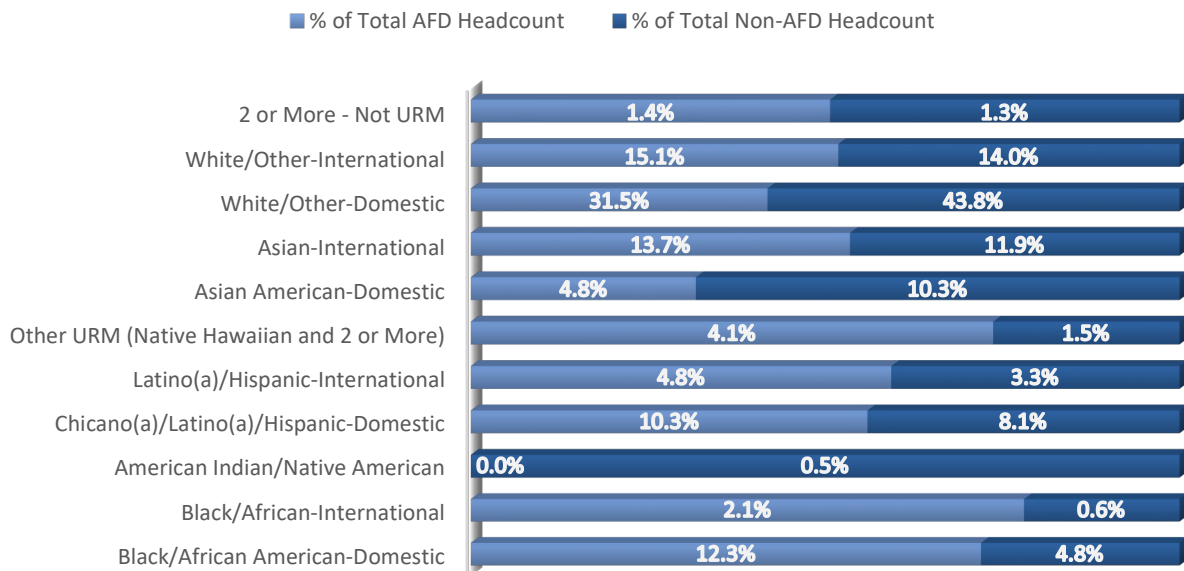| Category	% of Total AFD Headcount	% of Total Non-AFD Headcount
2 or More - Not URM	1.4%	1.3%
White/Other-International	15.1%	14.0%
White/Other-Domestic	31.5%	43.8%
Asian-International	13.7%	11.9%
Asian American-Domestic	4.8%	10.3%
Other URM (Native Hawaiian and 2 or More)	4.1%	1.5%
Latino(a)/Hispanic-International	4.8%	3.3%
Chicano(a)/Latino(a)/Hispanic-Domestic	10.3%	8.1%
American Indian/Native American	0.0%	0.5%
Black/African-International	2.1%	0.6%
Black/African American-Domestic	12.3%	4.8%

Table 5
Ladder-Rank and Equivalent AFD and Non-AFD Hires
New Hires by Race/Ethnicity, 2017-18 through 2020-21

Race/Ethnicity Detail	AFD Headcount	% of Total	Non-AFD Headcount	% of Total
Black/African American-Domestic	18	12.3%	108	4.8%
Black/African-International	3	2.1%	13	0.6%
American Indian/Native American	0	0.0%	11	0.5%
Chicano(a)/Latino(a)/Hispanic-Domestic	15	10.3%	182	8.1%
Latino(a)/Hispanic-International	7	4.8%	74	3.3%
Other URM (Native Hawaiian and 2 or More)	6	4.1%	33	1.5%
URM Total	49	33.6%	421	18.7%
Asian American-Domestic	7	4.8%	232	10.3%
Asian-International	20	13.7%	268	11.9%
White/Other-Domestic	48	32.9%	985	43.8%
White/Other-International	22	15.1%	315	14.0%
2 or More - Not URM	2	1.4%	30	1.3%
Not URM Total	97	66.4%	1,830	81.3%
Grand Total	146	100.0%	2,251	100.0%

Table 6
Ladder-Rank and Equivalent AFD and Non-AFD Hires
New Hires by Gender, 2017-18 through 2020-21

Gender	AFD Headcount	% of Total	Non-AFD Headcount	% of Total
Women	72	49.3%	1029	45.7%
Men	73	50.0%	1200	53.3%
Other Gender/Decline to State	1	0.7%	22	1.0%
Total	146	100.0%	2,251	100.0%

Improved Climate and Retention

In 2018–19, UC launched the Improved Climate and Retention grant program to support campus efforts to improve academic workplace climate and faculty retention outcomes. In the first five years of the AFD program, 20 Improved Climate and Retention projects have been funded with all ten campuses receiving at least one award. The funded projects have included a range of interventions and activities such as:

- Junior faculty mentoring programs
- Community-building and faculty support activities to retain URM faculty and other faculty by building communities based on common research, teaching, and learning concentrations
- Writing communities and manuscript workshops and development sessions for faculty
- Faculty-led facilitated mutual affinity-group mentoring open to targeted demographic groups and their allies
- Examinations of invisible service and service load among faculty, with special attention to faculty of color
- Building on existing efforts in a campus division to add new topics and activities geared to DEI practices, as well as engaging with local community groups and organizations to help connect with faculty
- new faculty diversity data dashboards
- piloting of an online training module aimed at improving how contributions to diversity, equity, and inclusion are used in the merit and promotion process
- faculty learning communities across more than one campus
- research and support for pathways to faculty leadership positions
- Scholarship and climate presentations and one-on-one advising by faculty experts with a focus on issues facing underrepresented faculty

The 2019–20 awards included a UCLA data capacity project to develop "EDI Scorecards" that include customizable comparator baselines (such as graduate student population) so that raw statistics can be interpreted according to the appropriate context, including equity and inclusion metrics that can be measured separately, to generate an aggregated composite score. The project is working with specific departments on campus to provide these data scorecards to campus leaders and to faculty in order to do two things: 1) hold deans and departments accountable for their performance, and 2) elevate the voice of faculty who may feel unheard by equipping them with useful facts and information. This is one of several projects that have shown strong potential to be adapted for use by other UC campuses.

Aside from the numerous intervention and data capacity projects, AFD has also funded research projects into issues affecting minoritized communities. A 2019–20 UC Santa Cruz research project examined how faculty of color experience University leadership. Project PIs examined how university structures aligned or conflicted with the leadership perspectives and efforts of faculty of color. Faculty of color noted that leadership structures that prioritize whiteness (e.g., representation, characteristics), value productivity, and utilize authoritarian approaches while faculty of color promoted leadership practices that prioritize equity, value grassroots efforts, and utilize collaborative approaches. The team also examined the barriers faced by faculty of color in university leadership and the everyday resistance practices they engage in response to such barriers. Project results were presented widely on the Santa Cruz campus, including to the Academic Senate, and to national audiences through event and conference presentations, as well as journal submissions. Project PIs have continued to present their work to diverse audiences and are working to translate the findings to inform changes to campus practices. Notably, the

research paper was also recommended as required reading for UC Santa Cruz Academic Senate members and faculty, a testament to the success and significance of this work.

Both of the projects described above provide examples of how these funded AFD projects can be shared on a broader scale in order to inform other campus practices for replication or broader scalability. In addition to identifying best practices that could be scalable beyond an immediate unit or campus, the Advancing Faculty Diversity program has also been designed to encourage joint projects of more than one campus. While the option had been in place for two award cycles, it was not until 2021–22, Year 6, that significant joint projects were put forth by campuses. Half of the total Improved Climate and Retention awards went to joint projects in 2021–22. The program is working to build a community of practice and these projects are an indication that these efforts have worked. Below is a list of total Improved Climate and Retention awards by campus since its inception in the 2018–19 academic year.

Table 7: Total Improved Climate and Retention Awards by Campus, Years 3 to 5

	2018-19	2019-20	2020-21	Campus Total
UC Berkeley	1	1		2
UC Davis		2	1	3
UC Irvine	1		1	2
UCLA		1		1
UC Merced		1		1
UC Riverside	1	1		2
UC San Diego	1		1	2
UCSF			1	1
UC Santa Barbara	1	2	1	4
UC Santa Cruz	1	1		2
TOTAL AWARDS	6	9	5	20

The AFD Improved Climate and Retention program has funded a number of interventions since its establishment, and as the program is designed, adoption of interventions in the local context is strongly encouraged for new proposals. Half of the total Improved Climate and Retention awards went to joint projects in 2021–22. The program is working to build a community of practice and these projects are an indication that these efforts have worked. The following joint Improved Climate and Retention projects were funded in 2021–22.

Table 8: 2021-22 Joint AFD Improved Climate and Retention Projects

UC Berkeley UC Davis UCSF	AFD Climate and Retention Pilot Intervention Program: DEI Blueprint
UC Irvine UCLA	Multi-Pronged Initiatives to Address URM Faculty Retention and Climate

UC Santa Cruz UC Riverside UC Davis	Mining Text for Bias in Student Evaluations of Teaching
UC Santa Cruz UC Merced	Solutions to Disruptive Speech in the Learning Environment

Project abstracts are located in Attachment 1.

Among the most recently funded joint projects from 2021–22 is yet another example of a project that is potentially scalable across the UC system. That project, the DEIBlueprint, includes development of an online climate survey Question Bank with validated survey items that departments can choose from to create customizable climate surveys appropriate to their own unique context. It also includes development of a Climate Toolkit to support responsive activities that will be tied to specific issues and cover a broad range of activities, with the goal of making departments more inclusive for all, increasing faculty retention and success.

Program Accountability

Since Advancing Faculty Diversity's first year, the Office of the President has convened a systemwide Advisory Group to help guide the program and to monitor funded projects. The AFD Program Advisory Group currently includes representatives appointed by the Executive Vice Chancellor/Provost on each campus as well as representatives from the systemwide Academic Senate. The Advisory Group has advised on data collection and analysis as well as on appropriate metrics to measure the success of the projects. For the Recruitment projects, core metrics have focused on hiring outcomes in the pilot compared to results in prior years as well as to results from comparable units on another UC campus that had not received AFD support. When the Improved Climate and Retention programs were initiated in year three (2018–19) each program developed program-specific evaluative measures to determine the success of their innovations. The AFD Advisory Group also provides feedback into the annual RFP development process.

Other accountability efforts include AFD staff at the Office of the President employing a series of activities to monitor the work of the campus projects, including the following:

- Projects submit progress reports regularly during the year, including at the two AFD convenings.
- Projects submit budget reports two times during the year and submit requests for budget adjustments and accompanying new budgets for any re-budgeting of award funds.
- Project leaders from each of the individual projects meet with UC Office of the President AFD program leaders via videoconference three times during the course of the year for project check-ins.

Beginning with 2019–20 awards, the AFD Recruitment awards include a requirement that campuses receiving awards agree to use the Search Committee Chair Survey, available in UC Recruit and in use by several campuses, for all ladder-rank recruitments. The data generated from the survey will be used to help inform UC campuses of whether their search committee practices lead to more diverse faculty candidate pools and hires.

Similarly, each campus receiving Improved Climate and Retention awards must agree to participate in an annual retention and climate survey, through the current annual survey administered by the Collaborative on Academic Careers in Higher Education (COACHE) at the Harvard Graduate School of Education or collecting similar campus data that can be shared with the UC Office of the President, for the tracking of issues systemwide.

Since 2016, UC has engaged the COACHE at the Harvard Graduate School of Education to design and administer a Faculty Retention and Exit Survey. Most recent findings cover two years of departures and retentions from 2019–20 through 2020–21 at seven UC campuses, and the results provide information about the factors in faculty members' decisions to stay at UC or to leave for a position elsewhere.

The three top factors in the faculty decision-making about staying or going were the "quality of colleagues," "salary," and "department or institutional reputation." UC faculty who departed cited "quality of colleagues" most frequently (as a reason to leave) as a factor in their decision-making process, and salary as the second most common factor. On the other hand, those who were retained cited salary most frequently and quality of colleagues second. In a further breakdown, females who left cited as their primary factors to leave "potential for professional growth/intellectual stimulation," "salary," "proximity to family," and "quality of colleagues." Faculty of color cited "proximity to family," "opportunity to collaborate with colleagues," "salary," and "department or institutional reputation."

There were two other relevant findings of the COACHE study. Across all groups surveyed, the most compelling factor in decisions to remain at the institution or to accept the outside offer was "Employment opportunity for spouse/partner." This is especially true at UC, where 88 percent of the respondents are married/partnered. 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. Where women (85 percent) and faculty of color (81 percent) are married/partnered at a lower percentage than men (92 percent) and white faculty (91 percent). However, a greater percentage of women (56 percent) and faculty of color (52 percent) have spouses/partners that are also faculty at a higher education institution than men (36 percent) and white faculty (38 percent).

Of the 146 ladder-ranked and equivalent faculty hires completed through AFD, four (2.7 percent) have separated from the UC campus that originally hired them. Of those, one has separated from the UC system and the three others have moved to another UC campus. Overall, 97.3 percent of those hires made as a result of the Advancing Faculty Diversity program are active at their respective hiring UC campus. UC's engagement in efforts such as the Faculty Retention and Exit Survey can certainly help inform future practices on the campuses to ensure that the University

not only recruit and hire diverse members to the UC faculty, but that they are also retained over the long term.

COVID-19 and Attention to Racial Justice Issues

The Advancing Faculty Diversity program experienced significant issues due to the COVID-19 pandemic. In the early months of 2020, when the pandemic grew in size and California had reported its first case in late January, select counties implemented stay at home orders in March; these orders were later extended throughout the state. UC campuses suspended in-person classes, initially for a period of weeks, then through the remainder of the 2019–20 academic year. The transition to online learning was challenging. COVID-19 had heavily impacted current Advancing Faculty Diversity projects—first year projects funded in 2019–20—and a number of PIs had to request approval for significant adjustments to planned interventions and timelines as a result. A handful of projects are still in process due to the pandemic.

AFD project work was also deeply affected by the nation's attention to racial justice. On May 25, 2020, George Floyd was murdered by police and his death, captured on video, sparked widespread outrage at the continuing murder of Black Americans by the police, and led to ongoing large, nationwide protests and worldwide marches against police brutality and systemic racism.

The AFD program continued its work within this context, with the UC Office of the President making awards to new projects in late July 2020 and all 2019-20 projects continuing their work. It is important to note, however, that the period since March 2020 has been traumatic. Campus climate and faculty and staff morale have been profoundly impacted and projects designed to improve campus climate and faculty retention have had to adapt and change.

URM faculty have reported a marked increase in the number of students reaching out to them for support since the beginning of the COVID-19 pandemic and the murders of George Floyd, Breonna Taylor, and Ahmaud Arbery, among many others. This support for URM students is part of why increasing faculty diversity and supporting efforts to improve academic climate on campuses is so critical to UC's educational mission, but it is too often part of URM faculty's "invisible" service load, and came at a time when the demands of remote teaching, family, and social change were and continue to be, especially challenging. The AFD projects advocate for recognizing this service, for valuing alternative models of leadership, and for supporting interdisciplinary research on marginalized communities and alternative forms of knowledge production.

In reporting to the UC Office of the President, one of the AFD project leaders noted that:

> The pandemic and spotlight on police brutality and institutionalized racism have greatly affected campus climate. While our goals of promoting faculty success, satisfaction, and belonging remain the same, we must take into consideration the current events and their disparate impact on our underrepresented faculty in order to accomplish them. Consequently, our events will not only be changing in format (from in-person to online),

but also in focus, we are rethinking our event topics as we plan our fall programming and will seek to address the relevant issues that are most impacting faculty in this new reality.

They further noted that, "COVID-19 has created an ever-growing list of new challenges including increased isolation, additional competing demands, and lack of access to resources necessary for productivity. Given this added stress on faculty, we would not be surprised to see markers of success, satisfaction, and belonging moving in a negative direction."

In spite of this, AFD project leaders continued to hear how important the projects are during this time of crisis. Project leaders from another campus reported that, "we initially questioned this project's place during a devastating pandemic, only to find it more relevant than ever, as those inequalities lurking just below the surface rose into sharp relief. Four themes[2] were so prevalent in the news that team leads could barely keep on top of the number of news articles, high-level dialogues, and research that have emerged."

Looking to the Future

As the Advancing Faculty Diversity program moves into its seventh year, the Office of the President is considering the future trajectory of the program, particularly in the context of the University's multi-year plan to increase the number of degrees conferred and to close graduation gaps (UC 2030 goals). Transforming the University's professoriate is a central element of the plan and the AFD program can make strong contributions to achieving those goals. Critical to achieving the UC 2030 goals is a culturally competent and diverse faculty that can leverage 21st technology to improve learning outcomes and attract and retain students from underrepresented groups. The UC Office of the President plans to conduct a six-year program evaluation in the next year in order to help inform future decisions regarding the University's investment into these critical efforts.

Also, the Office of the President is considering how the AFD program can support UC's newest efforts with SEA Change (STEMM Equity Achievement). SEA Change is an American Association for the Advancement of Science (AAAS) membership-based program that guides and supports the transformation of science, technology, engineering, mathematics and medicine (STEMM) fields in colleges and universities so that the community-building, work, products and practitioners exemplify excellence, equity, diversity and inclusion. In January 2022, the Office of the President awarded funds to each UC campus to scale up faculty professional development, improve faculty cultural competency for teaching and learning, and to support UC's participation in SEA Change. Prior to this investment, three campuses—Davis, Irvine, and Santa Cruz—had already been participating as SEA Change members.

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[2] (1) Challenges faced by women and minority faculty in advancing from Associate to Full Professor, including epistemological inclusion of efforts in diversity, equity, and inclusion in the University's intellectual work, (2) "invisible labor" service work performed by racially minoritized faculty, (3) developing a critical consciousness among majority faculty to create and support healthy, productive academic climates, and (4) addressing issues related to classroom climate, including hate speech and racial harassment.

Finally, over the years AFD Recruitment projects have leveraged the President's Postdoctoral Fellowship Program and its companion Chancellors' Fellowship Program (CFP) in their recruitment efforts, resulting in a number of PPFP hires through the Advancing Faculty Diversity 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 at UC. In 2018–19 PPFP also received an additional $2 million annually to expand the number of fellowships supported as part of the University President's commitment to faculty diversity. In the future, AFD will continue working to maximize the number of PPFP and CFP fellows that get hired through the Advancing Faculty Diversity efforts. Other efforts for UC to "grow our own" faculty are also important, supporting the pipeline to the professoriate, particularly given the University's commitment to expand its faculty by an additional 1,100 by 2030 as part of the UC 2030 multi-year framework.

KEY TO ACRONYMS

AAAS	American Association for the Advancement of Science
AFD	Advancing Faculty Diversity
APM	Academic Personnel Manual
C2DEI	contributions to diversity, equity, and inclusion
CFP	Chancellors' Fellowship Program
COACHE	Collaborative on Academic Careers in Higher Education
DEI	diversity, equity, and inclusion
MSI	Minority-Serving Institution
PI	Principal Investigator
PPFP	President's Postdoctoral Fellowship Program
RFP	Request for Proposals
SEA Change	STEMM Equity Achievement Change
STEM	science, technology, engineering, mathematics
STEMM	science, technology, engineering, mathematics and medicine
URM	underrepresented minority

ATTACHMENTS

Attachment 1. Advancing Faculty Diversity (AFD) Project Abstracts 2016–17 through 2021–22
Attachment 2. Advancing Faculty Diversity Awards by Year and Type