Office of the President

TO MEMBERS OF THE ACADEMIC AND STUDENT AFFAIRS COMMITTEE:

<u>DISCUSSION ITEM</u>

For Meeting of November 16, 2022

ACCOUNTABILITY SUB-REPORT ON DIVERSITY

EXECUTIVE SUMMARY

The *Annual Accountability Sub-Report on Diversity* is presented in accordance with the Schedule of Reports to the Regents. It was prepared as part of the ongoing effort to ensure greater accountability across the University of California system. These annual reports draw heavily from information contained in the Diversity chapter of the *UC Annual Accountability Report*.

The 2022 report focuses on the progress UC is making to diversify pathways at every stage of the academic progression, from undergraduate student to graduate student to ladder-rank faculty member, with a focus on pathways to the professoriate.

Key findings:
- Steady progress is being made. Even so, UC's enrolled first year students do not yet reflect the diversity of California's high school graduates. The infusion of $22.5 million in new ongoing State funds for UC outreach will allow the University to expand efforts toward increasing eligibility and preparation among prospective students with greater social and regional inclusivity.
- While UC draws doctoral students across the nation and the world, UC doctoral students do not yet reflect the diversity of UC undergraduates. Recent initiatives including "Grow Our Own" have the potential to further increase doctoral student diversity.
- UC hires women, African American, and Hispanic/Latino(a) faculty at a rate that generally meets or exceeds the national availability of doctorate degree holders, with some variation among disciplines.
- Programs, initiatives, and interventions aimed at increasing the pathways of diverse faculty candidates are yielding positive results, yet they could grow in scale with more resources.

BACKGROUND

This item responds to the September 2007 recommendation by the then-Committee on Educational Policy that the UC President report annually on the status of population diversity at the University. Because a core mission of the University of California is to serve the interests of

the State of California, UC must seek to achieve diversity and equitable outcomes among its various student bodies and employee groups.

The University's diversity goals are established in *Regents Policy 4440*: Policy on University of California Diversity Statement, which states, 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. The State of California has a compelling interest in making sure that people from all backgrounds perceive that access to the University is possible for talented students, staff, and faculty from all groups…
>
> Therefore, the University of California renews its commitment to the full realization of its historic promise to recognize and nurture merit, talent, and achievement by supporting diversity and equal opportunity in its education, services, and administration, as well as research and creative activity. 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."

Although State Proposition 209 constrains the ways in which the University can achieve representational diversity in its student body and workforce, system- and campus-level strategies and innovations are being piloted or have been implemented. Figure 1 is a snapshot of the racial and ethnic diversity of UC students, ladder-rank faculty, lecturers and clinical/adjunct faculty from 2012 to 2021.

Figure 1: Racial/ethnic distribution of students, ladder-rank faculty, and adjunct/clinical faculty/lecturers
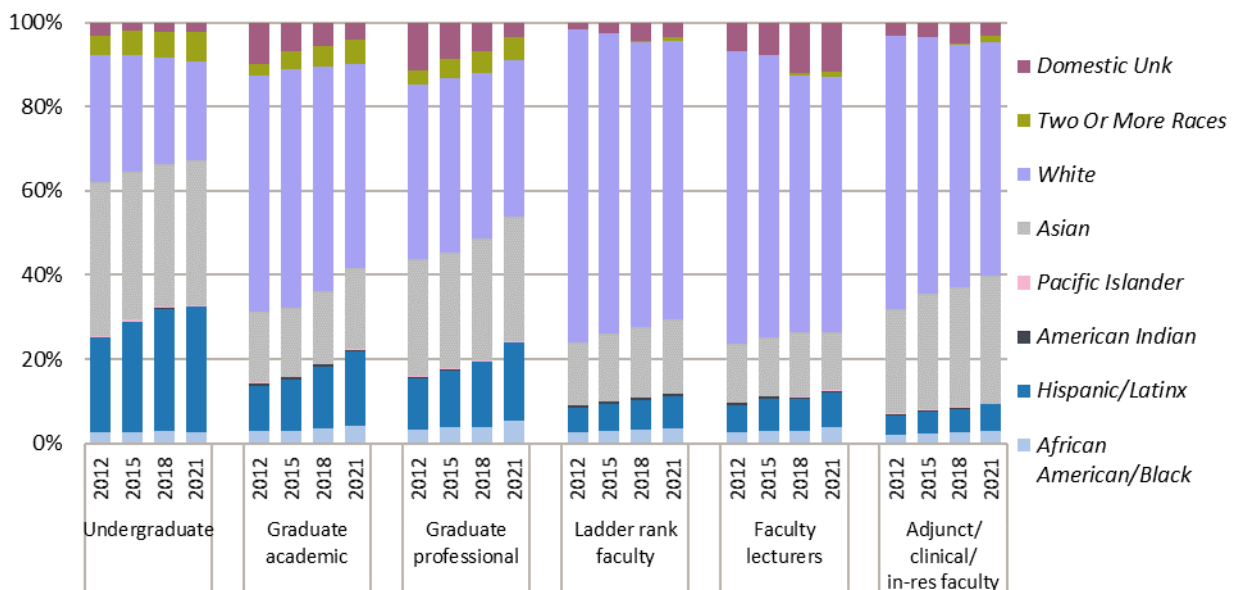
Source: UC Information Center Data Warehouse. Undergraduates include approximately 300 post-baccalaureate teaching credential students. Only includes U.S. citizens and permanent residents.

PATHWAYS TO THE PROFESSORIATE

The *Annual Accountability Sub-Report on Diversity* presented to the Regents in September 2021 described diversity and inclusion outcomes across all UC populations (students, faculty, and staff) and across multiple measures (demographics, surveys, and persistence and graduation rates).

This 2022 report offers an in-depth examination of pathways to the professoriate and new strategies undertaken by UC to "grow its own." The University of California's multi-year framework, UC 2030, focuses on expanding the pathways to and within the University. For example, increasing the diversity of academic doctoral students will expand the pool of potential faculty hires, supporting efforts to diversify the professoriate.

This report draws on data contained in detailed chapters on Academic Workforce (Chapter 5) and on Diversity (Chapter 7) in the 2022 *UC Annual Accountability Report*. Summary points on academic pathways are highlighted below.

Undergraduate Pathways: UC freshman enrollees do not reflect the diversity of California's high school graduates

Figure 2: Racial/ethnic distribution of the UC undergraduate pathways

Universitywide Fall 2020 new freshman cohort from California public high schools
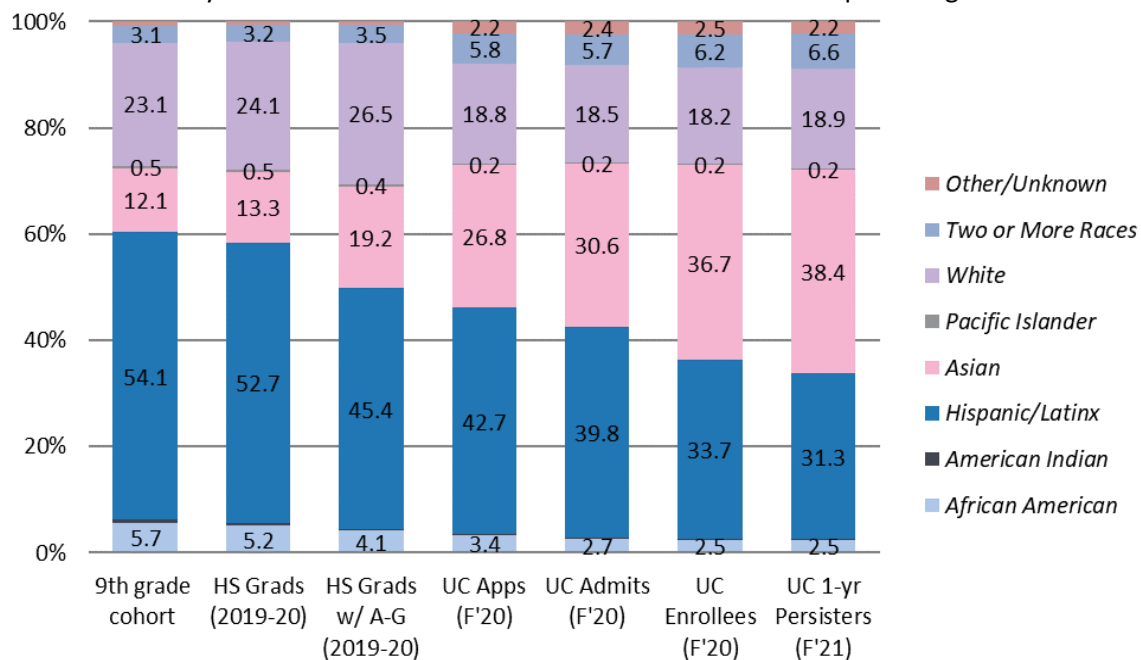
Source: California Department of Education, UC Data Warehouse
UC Accountability Report 2022, Chapter 7

About six in ten California public high school ninth grade students are from historically underrepresented ethnic groups (American Indian, African American, and Hispanic/Latino[a]).

However, fewer than four in ten of the 12th grade students who enrolled in UC and persisted beyond their first year were from underrepresented ethnic groups. At almost every point of the eligibility and enrollment process, fewer students from underrepresented ethnic groups are included. The University offers extensive programs to expand pathways, including the Student Academic Preparation and Educational Partnerships (SAPEP) portfolio of programs, which received a $22.5 million increase in 2022 in ongoing funds from the State. These new funds will ensure that UC not only maintains existing efforts but can create new efforts in more of the state's high-need schools and community colleges and will sustain access to student preparation and higher education by the State's diverse student population. The new ongoing funding will support the following efforts:

- Expand the reach of programs in the SAPEP portfolio to underserved regions and counties such as the Inland Empire, northern California, and the Central Valley.
- Increase A–G completion rates and UC applications from Local Control Funding Formula "Plus" (LCFF+) schools.[1]
- Expand access to A–G online courses in LCFF+ schools through UC Scout, along with the number of courses offered, ensuring that more students throughout California can meet requirements for a UC or California State University (CSU) education.
- Increase transfer rates from community colleges that historically send fewer students to UC.
- Expand support and programming for graduate students from low-income, first-generation, and underrepresented backgrounds.
- Implement advising and support from near-peers, e.g., UC Destination College Advising Corps.
- Expand existing and newly established Student-Initiated Programs (SIP), contributing to employment and career development for UC students interested in pursuing careers in public education.

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[1] LCFF+ high schools are high schools in which more than 75 percent of the school's total enrollment (unduplicated) is composed of pupils who are identified as either English learners, eligible for free or reduced-price meals, or foster youth.

Graduate Pathways: UC draws doctoral students nationally and internationally

Figure 3: Racial/ethnic distribution of US BA/BS degree recipients from US and UC institutions compared to UC doctoral applicants, admits, and enrollees, Universitywide, 2019–20
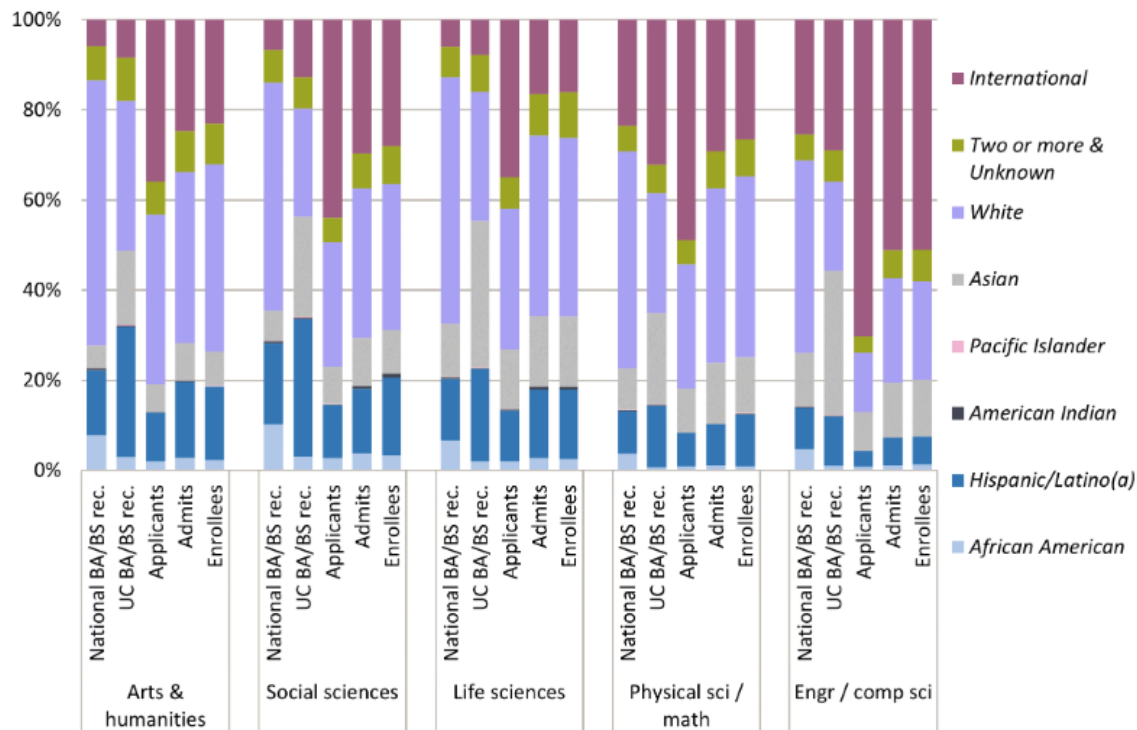
Sources: Integrated Postsecondary Educational Data System; UC Information Center Data Warehouse;
UC 2022 Accountability Report, Chapter 7

Figure 3 shows that UC's graduate programs draw students across the nation and world. International students make up 33 percent of all doctoral students (with significant variation by discipline) and underrepresented domestic students make up 16 percent of all doctoral students. Figure 3 also shows that UC's doctoral student population does not yet reflect the racial/ethnic distribution of UC undergraduate degree recipients.

Efforts to diversify UC's undergraduate students can, and should, also help to diversify its graduate academic population. Moreover, because recent Ph.D. recipients comprise the talent pool for new faculty, a critical means for increasing the diversity of the faculty is to increase the diversity of doctoral degree recipients. Programs aimed at increasing the diversity of doctoral students at UC are described later in this briefing.

Pathways to the Professoriate: UC's hiring of women, African American, and Hispanic/Latino(a) faculty generally meets or exceeds the national availability of doctorates, with variation among disciplines

Among ladder-rank faculty, the proportion of women, African American, and Hispanic/Latino(a) faculty continues to grow. In the past decade, the share of ladder-rank faculty comprising African American people increased from 2.6 percent to 3.5 percent across all UC campuses, and the share comprising Hispanic/Latino(a) people increased from 5.5 percent to 8 percent.

Moreover, newer faculty cohorts are more diverse than past cohorts, with new hires meeting or exceeding the availability pool as shown below. The percentage of women among UC's new hires between 2016–17 and 2020–21 was on par with the national availability pool. Similarly, the percentages of African American and Hispanic/Latino(a) new assistant professors were above the corresponding national availability pool. Some disciplines at UC have diversified more than others relative to the discipline's availability pools.

Figure 4: African American new assistant professors compared with national availability by discipline group
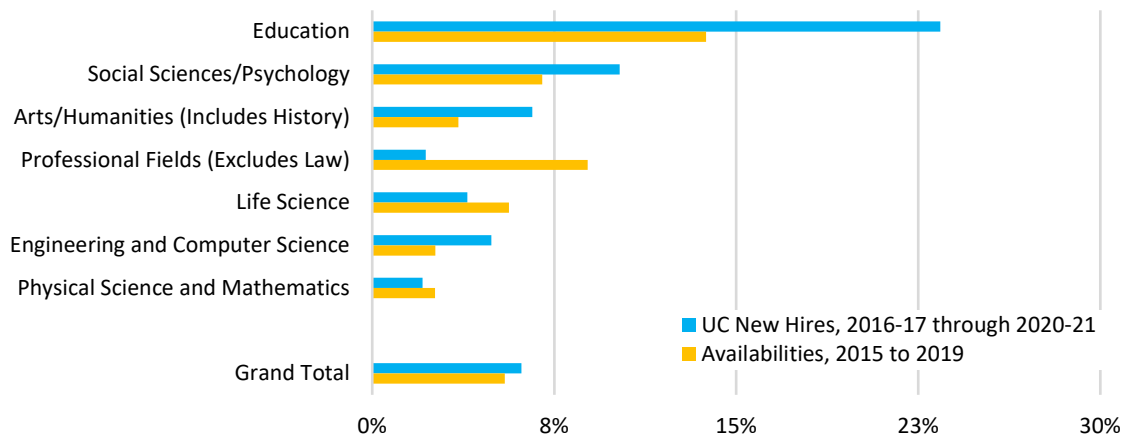

Figure 5: Hispanic/Latino(a) new assistant professors compared with national availability by discipline group
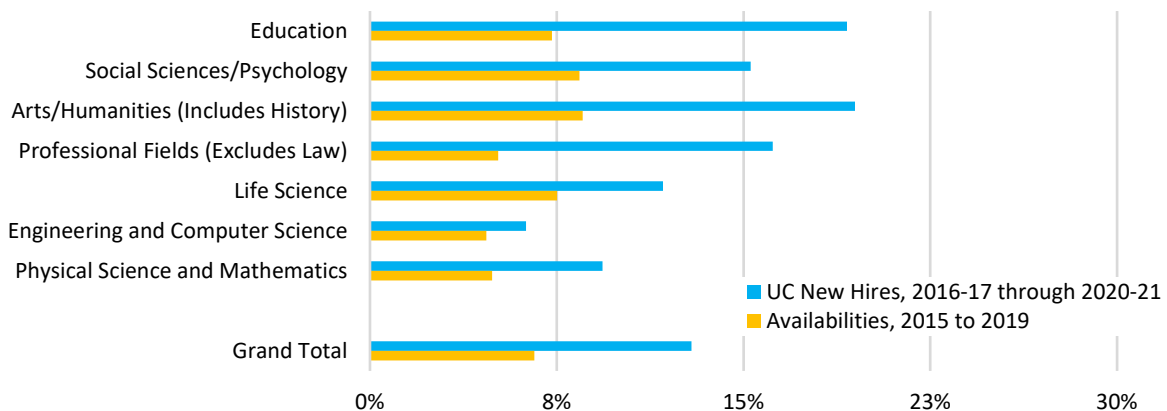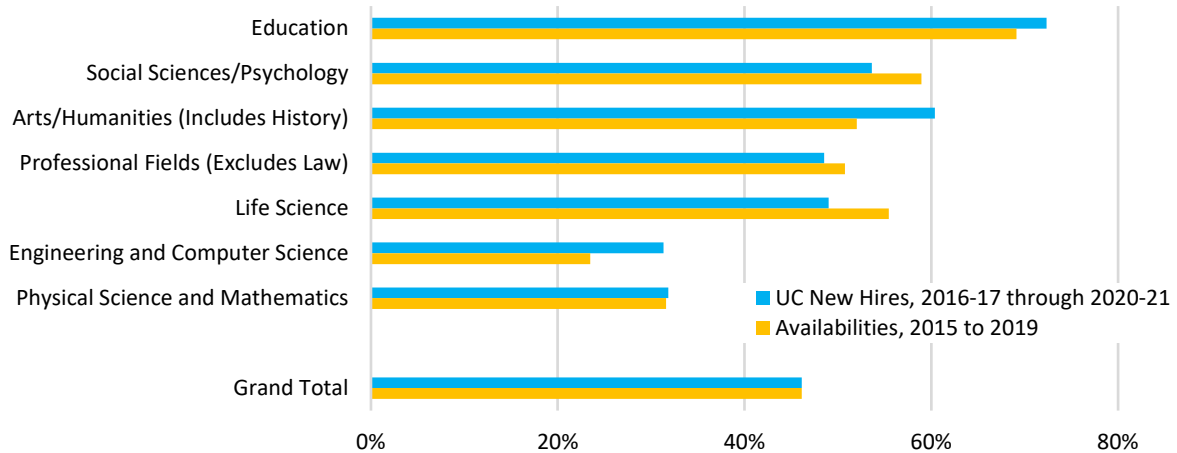
Figure 6: Women new assistant professors compared with national availability by discipline group


Source: UC Academic Personnel and Program Administration and Survey of Earned Doctorates
UC Accountability Report for 2022, Chapter 5

## Growing Our Own: Graduate Enrollment and Diversifying Ph.D. Pathways Initiative

To support and enhance the path to becoming a professor, the Growing Our Own initiative aims to increase the number and proportion of UC graduates who go on to earn an academic doctoral degree and also to increase the number of UC academic doctoral graduates who come from institutions with greater diversity, including CSU, other Hispanic-Serving Institutions (HSIs), Historically Black Colleges and Universities (HBCUs), and Tribal Colleges and Universities (TCUs).

As Figure 7 shows, while about 16 percent of all entering doctoral students are from underrepresented racial/ethnic groups, 29 percent of those entering from UC, CSU, HBCUs, HSIs, or TCUs are from an underrepresented racial/ethnic group. Enrolling a higher proportion of students from these institutions could accelerate the diversity of the overall doctoral population, which will more rapidly translate into more diverse Ph.D. graduates in the professorial pool. With the Growing our Own initiative, UC aims to build sustainable pathways for students from first-generation, low-income, and underrepresented racial/ethnic groups to the professoriate, in California and beyond.

Figure 7: Academic doctoral entering student enrollment by undergraduate institution and race/ethnicity, Universitywide
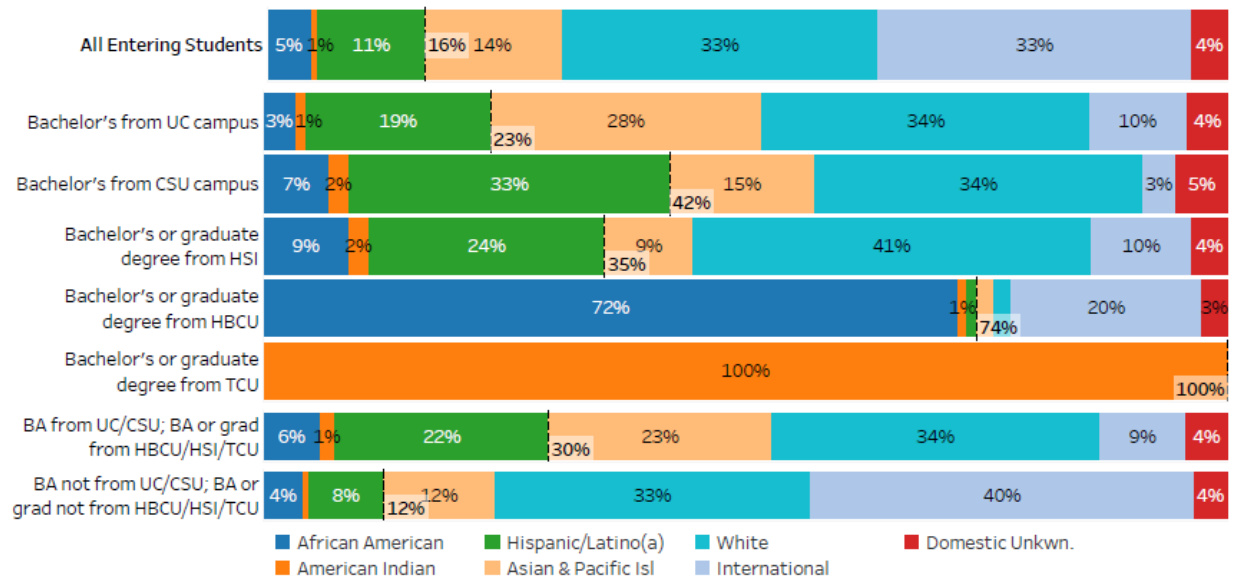
Current percent of all academic doctoral students from UC/CSU/HBCU/HIS/TCU and Growing Our Own goal
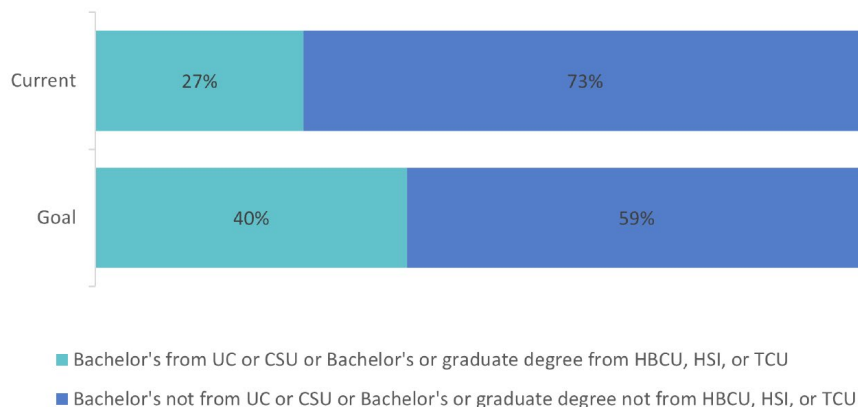
Source: UC Corporate Student System. HSIs exclude UC HSI and CSU HSI campuses; 2022 UC Accountability Report, Chapter 4.

The initiative, comprising multiple smaller programs, is providing an infrastructure to better elevate, connect, and advance a range of access and inclusion efforts. Funding as a singular cohesive initiative could further advance the work and assist career pathways to academia. Below are a few examples of such programs.

University of California Historically Black Colleges and Universities (UC-HBCU) Initiative.
The UC-HBCU Initiative was established to increase the number of African American people completing Ph.D.s at UC and to strengthen UC graduate programs by investing in relationships between UC faculty and HBCUs. The program has raised UC's profile within the HBCU community and has facilitated faculty research collaborations in addition to enrolling, retaining,

and graduating students. Since summer 2012, UC has hosted 765 UC-HBCU summer interns across the ten campuses. As of fall 2022, UC has 90 Ph.D. fellows enrolled across all ten UC campuses as a direct result of the Initiative: 73 percent in science, technology, engineering, and mathematics (STEM) fields and 27 percent in Social Sciences/Humanities.

Nineteen doctoral and 16 master's degree students have graduated. Of the 19 Ph.D. graduates, seven (37 percent) have secured tenure-track positions in the professoriate, four within California (including UC, CSU, and private institutions), one at an out-of-state public institution, and two at HBCUs. Four Ph.D. graduates have received the UC President's Postdoctoral Fellowship (PPFP). With additional resources, this successful program could support a greater number of faculty grants and fellows, thus facilitating increased outcomes.

University of California Hispanic Serving Institutions Doctoral Diversity Initiative (UC-HSI DDI). Launched in fall 2019, the UC-HSI DDI aims to improve faculty diversity by supporting the ascent to ladder-rank positions by underrepresented students from California Hispanic-Serving Institutions (HSIs).

The UC-HSI DDI includes two components: 1) competitive grant awards to UC faculty/faculty administrators to support short- and long-term programs/projects that promote academic career advancement for underrepresented students, and 2) funding to directly support graduate student preparation for the professoriate. Funding includes resources to support a limited number of Ph.D. students (two per campus), named UC President's Pre-Professoriate Fellows (UC PPPF), who are California HSI alumni and have advanced to candidacy at UC.

In two cycles, the UC-HSI DDI grants program has supported ten projects—five small grants (up to $50,000) and five large grants (up to $350,000). The lead investigators represent projects from seven different UC campuses: Davis, Riverside, and Santa Cruz, each with two grants; and Irvine, Los Angeles, Merced, and San Diego, each with one grant. The ten funded grants cover a broad range of disciplines, including five in STEM, three social sciences, and two interdisciplinary; together, these projects partner with more than 40 institutions and support nearly 450 students. The program has received significant interest, generating 59 grant applications and more than $13 million in funding requests in only two cycles. The initiative has also supported 35 UC President's Pre-Professoriate Fellows since the program's inception, three of whom have been awarded the prestigious UC President's Postdoctoral Fellowship. The initiative is effective though limited in scope by a lack of resources. Greater resources would enable the program to award a larger number of faculty grants and fund more diverse pre-professoriate fellows.

Moreover, the UC-HSI Initiative is piloting a research apprenticeship program (UC-HSI RAP) to support UC doctoral students with their dissertation research that focuses on student success within HSIs. The cohort of six graduate students is currently receiving funding for their research, mentorship support, writing workshops, professional development, and engagement with UC scholars and administrative leaders.

Faculty Diversity Initiatives

In recent years, UC has built upon the success of the longstanding President's Postdoctoral Fellowship Program by cultivating innovation and leveraging new resources. Examples of such initiatives are described below.

President's Postdoctoral Fellowship Program. For over 30 years, the President's Postdoctoral Fellowship Program (PPFP) has promoted equity in faculty hiring across academic disciplines at UC. Fellows selected by the program can be of any race, ethnicity, or gender but must demonstrate work that contributes to diversity and equal opportunity at UC. Since its inception, the program has continued to recruit highly qualified candidates across disciplines and from around the world.

The Program was established in 1984 to encourage outstanding women and minority Ph.D. recipients to pursue academic careers at UC. It has been an instrumental partner in diversifying our faculty, driving innovation in education, and teaching UC's diverse student body. The program offers postdoctoral research fellowships, professional development, and departmental hiring incentives to outstanding scholars in all fields whose work contributes to diversity and equal opportunity at UC.

In the past five years the program has supported 166 President's fellows, and UC campuses have supported 133 Chancellor's fellows. During this same period, 134 fellows obtained tenure-track positions within UC. This year, the program will support 80 new and continuing fellows.

PPFP/Mellon Foundation UC-HSI Initiative for the Humanities. In July 2021, PPFP received a $15 million grant from the Andrew W. Mellon Foundation. This grant was meant to expand the number of PPFP fellowships at UC. Its further purpose was to create a program for hiring faculty whose research and teaching emphasize diversity and equity in the humanities and related social sciences. This program will be implemented at the University's six federally recognized Hispanic-Serving Institutions (HSIs). These are UC Davis, UC Irvine, UC Merced, UC Riverside, UC Santa Barbara (the first UC campus to achieve HSI status), and UC Santa Cruz.

The PPFP/Mellon Foundation UC-HSI Initiative for the Humanities helps facilitate UC's comprehensive promise of funding for postdoctoral fellows and early career faculty startup funding, mentorship, and career training in their fields. The program will also ensure UC-HSI campuses have the resources to effectively recruit fellows in the supported disciplines. With the grant, the initiative will expand this important work over the next five years by increasing the number of two-year fellowships by ten per year, as well as supporting eight new faculty positions annually at UC-HSI campuses. In 2022–23, eleven fellows will be supported (included in the overall PPFP headcount) and eight newly hired assistant professors will receive augmented hiring packages under this initiative.

Advancing Faculty Diversity. With the support of funds from the State of California, in direct response to the State Legislature's interest in seeing increased diversity among faculty ranks, UC

established the Advancing Faculty Diversity (AFD) program to make competitive awards to campuses piloting new interventions for increasing faculty diversity.

A total of 146 ladder-rank faculty have been hired through the AFD program, utilizing innovative practices in recruitment such as considering candidate statements on diversity, equity, and inclusion in the first round of application review; using evaluation rubrics that enable more equitable assessment of candidates' experience and expertise; and recruiting from the pool of current and former postdoctoral fellows in PPFP and Chancellors' Fellowship Programs. In addition, UC has funded improved climate and retention projects, which are interventions to build a more inclusive and welcoming campus climate. UCOP provided a comprehensive report on Advancing Faculty Diversity at the May 2022 meeting.

STEM Equity Advancement (SEA) Change. In May 2022, UC became the first university system in the country to join the STEM Equity Advancement (SEA) Change initiative that seeks to improve diversity, equity, and inclusion in science, technology, engineering, mathematics, and medicine (STEMM) fields. SEA Change was established in 2017 by the American Association for the Advancement of Science.

As part of SEA Change, UC campuses collect in-depth data regarding campus diversity, equity, and inclusion efforts and identify barriers for underrepresented students, faculty, and staff. Campuses will use this data to develop five-year plans for advancing equity. Campuses will also support professional development for STEMM faculty to develop and communicate plans and strategies to eliminate historical, institutional, or structural barriers to access. This will include the use of instructional technology and principles of inclusive course design to improve student outcomes.

CONCLUSION

The University of California has a prime opportunity to increase its faculty diversity by being proactive in the development of internal pathways from undergraduate students to graduate students to postdocs to faculty. Capturing this pool of talented and diverse UC graduates is in the best interest of UC's faculty diversity efforts. Programs and initiatives currently in place are producing positive outcomes. To see significant change year over year, they will require more time and resources.

KEY TO ACRONYMS

AFD	Advancing Faculty Diversity
CSU	California State University
HBCU	Historically Black Colleges and Universities
HSI	Hispanic-Serving Institutions
PPFP	President's Postdoctoral Fellowship Program
PPPF	President's Pre-Professoriate Fellows
SAPEP	Student Academic Preparation and Educational Partnership
SEA Change	STEM Equity Advancement Change
STEMM	Science, Technology, Engineering, Mathematics and Medicine
TCU	Tribal Colleges and Universities
UC-HBCU	University of California Historically Black Colleges and Universities Initiative
UC-HSI DDI	University of California Hispanic-Serving Institutions Doctoral Diversity Initiative
UC-HSI RAP	University of California Hispanic-Serving Initiative Research Apprenticeship Program