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November 22, 2017

Director Michael Cohen
Department of Finance
915 L Street
Sacramento, California 95814


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

Dear Director Cohen and Senator Mitchell:

Pursuant to Item 6440-001-0001 of the 2016 Budget Act, Provision 4.2 (d)(1) (SB 826, Chapter 23, Statutes of 2016), enclosed is the University of California's final report to the Legislature and the Department of Finance on the *2016-17 Use of One-time Funds to Support Best Practices in Equal Employment Opportunity in Faculty Employment*.

If you have any questions regarding this report, Associate Vice President David Alcocer would be pleased to speak with you. He can be reached by telephone at (510) 987-9113, or by email at David.Alcocer@ucop.edu.

Yours very truly,


Janet Napolitano
President

Enclosure

cc: Senate Budget and Fiscal Review
The Honorable Anthony J. Portantino, Chair
Senate Budget and Fiscal Review Subcommittee #1
(Attn: Ms. Anita Lee)
(Attn: Ms. Cheryl Black)

Director Michael Cohen and the Honorable Holly J. Mitchell
November 22, 2017
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The Honorable Kevin McCarty, Chair
Assembly Budget Subcommittee #2
(Attn: Mr. Mark Martin)
(Attn: Mrs. Katie Sperla)
Ms. Peggy Collins, Joint Legislative Budget Committee
Mr. Danny Alvarez, Secretary of the Senate
Ms. Tina McGee, Legislative Analyst's Office
Ms. Amy Leach, Office of the Chief Clerk of the Assembly
Mr. Jim Lasky, Legislative Counsel Bureau
Mr. E. Dotson Wilson, Chief Clerk of the Assembly
Mr. Jeff Bell, Department of Finance
Mr. Christian Osmena, Department of Finance
Mr. Jack Zwald, Department of Finance
Ms. Tina McGee, Legislative Analyst's Office
Mr. Mac Taylor, Legislative Analyst's Office
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Manager Bruce Kennedy

**Final Report on the 2016-17
Use of One-time Funds to
Support Best Practices in Equal
Employment Opportunity in
Faculty Employment**

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

November 2017

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

The University of California (UC) provides the following report in response to item 6440-001-0001 of the 2016 Budget Act, Provision 4.2 (d)(SB 826, Chapter 23, Statutes of 2016), which states:

“(1) \$2,000,000 is included on a one-time basis for a program for best practices in equal employment opportunity. (2) No later than December 1, 2016, the Regents of the University of California shall submit to the Director of Finance and the Legislature, in conformity with Section 9795 of the Government Code, a report that includes the number of ladder-rank faculty, disaggregated by race, ethnicity, and gender, and a description of the specific uses of these funds to support equal employment opportunity in faculty employment, including any systemwide training, monitoring and compliance.”

This report is a follow-up to the report submitted by President Napolitano on November 15, 2016.

I. Executive Summary

This is a report on the \$2,000,000 provided to UC to support equal opportunity in faculty employment, including systemwide training, monitoring and compliance. With the one-time funds, UC supported new faculty diversity efforts on “pilot” programs at three campuses that supplemented but did not supplant already existing programs. Taking a scientific, evidence-based approach, UC used the new funds to identify best practices in recruitment of a diverse faculty by concentrating funds on a few targeted interventions. This report was requested by the Assembly Budget Subcommittee #2 on Education Finance.

Instead of distributing funds across all campuses and diluting the impact of the supplemental funding, UC decided to focus on three units where a significant influx of resources could have immediate impact through an intensified approach to hiring diverse faculty. In order to gauge the success of the interventions in the pilot units, comparator units that had not received any supplemental funding were designated and monitored alongside the pilot units throughout the year. In addition, the 2016-17 hiring results in each pilot unit were compared with the hiring results from the prior two years in the pilot unit.

After a competition among the campuses, UC selected three schools/colleges to be pilot units in fiscal year 2016-17; the College of Agricultural and Environmental Sciences at UC Davis, the Bourns College of Engineering at UC Riverside, and the Jacobs School of Engineering at UC San Diego. All three schools/colleges proposed innovative interventions to advance faculty diversity and presented evidence of 1) a need to make progress in faculty diversity; 2) commitment to improve faculty diversity; and 3) capacity to develop practices that can be adopted more

broadly with sufficient future funding. The pilot units utilized the supplemental funds for the following programs:

UC Davis

Advancing Faculty Diversity in Agricultural and Environmental Sciences - \$600,000. With a focus in the College of Agricultural and Environmental Sciences, which planned to undertake significant hiring during 2016-17, the program leveraged ongoing campus efforts to improve recruitment, mentoring, and community engagement for non-majority faculty. Targeted efforts included advertising in new venues/splash ads, a two-offers-from-one-search program, second visits for recruits, startup support, Capital Resource Network referrals, partner opportunity investments, and launching a President's/Chancellor's Postdoctoral Fellows seminar series.

UC Riverside

Advancing Engineering Faculty Diversity at the University of California, Riverside - \$600,000. With a focus in the Bourns College of Engineering (BCOE) and related cluster hiring, the program targeted potential engineering faculty slightly earlier in their careers – senior PhD students or very recent graduates – by offering new faculty members funding for a postdoctoral research fellowship and additional early-career professional development through the new Provost's Diversity in Engineering Fellows (PDEF) Program. The program included an enhanced recruitment process involving all searches within the engineering college, required diversity statements, splash ads, and a centralized review committee. All awarded funds would be committed to three new hires through the PDEF program. BCOE would also have additional hires through positions supported with college funds and positions funded through the UCR "cluster hiring" initiative.

UC San Diego

Engineering Diversity: Broadening Applicant Pools, Evaluating Objectively, and Attracting Diverse Faculty to the Jacobs School of Engineering - \$512,000. Through the leadership of the Jacobs School of Engineering Dean and plans for substantial hiring in 2016-17, this program consisted of four elements: targeted outreach to minority applicants, use of written evaluation tools (rubrics), job support mechanisms for spouses or partners, and the building of a faculty diversity cohort. The additional support was thought to be particularly important in handling the challenges of meeting new faculty members' family needs such as child or eldercare responsibilities or partner employment. The program also drew on recent enhancements to family accommodations, recent evidence-based review of recruitment efforts, a database of Latino(a) engineers around the country, and campus-wide efforts to build an inclusive climate.

Overall, the outcome of the interventions is very encouraging. It is clear that the infusion of funds into the pilot units made a difference in faculty diversity relative to their past performance and to the comparator units. The interventions supported by this funding resulted in a substantial increase in the percentage of underrepresented minority (URM) finalists in all three pilot units, and two of the pilot units had a substantial increase in the percentage of both URM and female faculty as finalists and of those hired. All three units saw significant change in practice and conversation, as well as an increase in the number of new faculty who have made

valuable contributions to diversity, which will improve the campus climate for women and URM and promote equal opportunity for all members of the academic community.

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

- **enhanced outreach** through personal contacts, use of databases, and targeted ads;
- associated use of **PPFP/CFP recruitments**;
- **targeting potential faculty slightly earlier** in their careers through support for post-doctoral work;
- **strong leadership** from the Dean, including an active role in decision-making;
- **rubrics** to guide decision-making by faculty members;
- use of **“contributions to diversity statements”** in candidate evaluation; and
- **partner opportunity** investments.

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

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

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

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

The University of California is committed to excellence and equity in every facet of its mission. Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic

personnel process, and they should be evaluated and credited in the same way as other faculty achievements. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students and faculty members, particularly from underrepresented and underserved populations, should be given due recognition in the teaching or service categories of the academic personnel process.

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

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

Ongoing efforts to diversify the faculty are in place at all campuses and at UCOP; these efforts continued in parallel with the one-time funding of \$2 million from the state. For example, the President's Postdoctoral Fellowship Program (PPFP) offers postdoctoral research fellowships, faculty mentoring, and eligibility for a faculty hiring incentive to outstanding scholars in all fields whose research, teaching, and service will contribute to diversity and equal opportunity. Although the PPFP is a small program, recent data suggest that PPFP and its companion Chancellors' Fellowship Programs (CFP) have accounted for 11.5% of new URM faculty hired into the UC system in the last ten years: 57 of the 494 URM new hires from 2004-05 through 2014-15 were PPFP fellows and 175 PPFP fellows have accepted UC tenure-track positions since 2004.¹ In the last two years alone, there have been 43 hires of fellows into UC faculty positions.

All ten campuses commit funding and personnel to support best practices in recruiting and retaining a diverse faculty including monitoring recruitment efforts; implicit bias and climate enhancement training; and use of a common on-line recruitment system (UC Recruit) that establishes systemwide minimum recruitment requirements and facilitates data collection about the diversity of candidate pools and finalist lists. Each campus has also built its own set of recruitment and retention practices to fit campus culture and needs. Such practices include use of equity advisors in departments and/or schools; requiring "contributions to diversity" statements from job candidates; designating endowed chairs to support diverse faculty; building robust mentoring programs; increasing outreach to build diverse candidate pools; establishing campus advisory councils; using exit survey data to better understand why faculty leave and the cost to the campus with respect to faculty diversity; using benchmarking data to track and report progress on faculty diversity; advertising open faculty positions in a way that highlights support of diverse communities; and establishing campus-wide and department-level strategic action plans.

¹ New hire data provided by UCOP Academic Personnel and Programs and PPFP tracking information.

More in-depth information can be found on UCOP's website dedicated to faculty diversity (<http://ucop.edu/faculty-diversity/index.html>); the website includes a description of some of the systemwide and campus diversity efforts currently underway.

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

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

After consultation with offices in Sacramento, UC launched its plan to select campus units to act as pilot sites during the course of the 2016-17 faculty recruitment cycle.² This has allowed UC to make targeted expenditures on pilot units that 1) need to make progress in faculty diversity; 2) have demonstrated a commitment to improve faculty diversity; and 3) have the capacity to develop practices that can be adopted more broadly with sufficient future funding. The additional one-time funding focused on just three campus schools/colleges has allowed UC to supplement ongoing systemwide efforts with targeted, concentrated funding to specific interventions, to identify whether they are best practices for increasing faculty diversity and that may be transferable outside of pilot units. During the current, second, year of the program, UC will award funds to campus units in a similar fashion to year one, asking that they consider adopting successful interventions from the 2016-17 year.

Selection of Pilot Units

In August 2016, the UC Provost invited each campus to propose an intensified approach to hiring a more diverse faculty within a selected unit. Review criteria were established and communicated to campuses prior to submission of the proposals. The Provost also asked for particular attention to strategies that would help UC make progress in the hiring of African-American, Latino(a)/Chicano(a)/Hispanic, and Native American faculty members.

Campus proposals were innovative and illustrative of how much the campuses are already engaged in this issue. The best proposals came from units that had demonstrated some prior success in their diversity efforts and that displayed a deep understanding of and support for

² On November 15, 2016, UC submitted to the Director of Finance and the Legislature, in conformity with Section 9795 of the Government Code, a report that included the number of ladder-rank faculty, disaggregated by race, ethnicity, and gender, and provided a description of the specific uses of these funds to support equal employment opportunity in faculty employment, including any systemwide training, monitoring and compliance. Also, on March 29, 2017, Vice Provost Susan Carlson, UCOP Academic Personnel and Programs, reported on the progress of the pilot units to the Assembly Budget Subcommittee on Education in Sacramento.

increasing faculty diversity. They also specified how a sizable investment at the time could facilitate more diverse hiring during the 2016-17 academic year.

Based on input from a review committee of faculty and academic administrators, the President's Office selected three campus units to receive the bulk of the funding as pilot colleges/schools: the College of Agricultural and Environmental Sciences at UC Davis, the Bourns College of Engineering at UC Riverside, and the Jacobs School of Engineering at UC San Diego. The three pilot programs shared the following qualities:

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

Development of Evaluative Procedures and Input from Campus Leadership

Systemwide Program Advisory Group

The Office of the President convened a systemwide Program Advisory Group to help guide and monitor the three pilot programs during 2016-17. The advisory group met monthly and included representatives appointed by the Chancellor and Executive Vice Chancellor/Provost on each campus as well as Academic Senate representatives. The advisory group was instrumental in informing the collection and analysis of data and metrics. The group also advised on the development of reports on the pilot programs and shared in the work of designing the best ways to ensure the pilot programs could advance future efforts to diversify UC faculty.

Selection of Comparator Units

Each of the three pilot units were assigned at least one comparator unit, so that the efforts and hiring in the funded units could be compared to the efforts and hiring in comparator units that did not receive supplemental funding. Of the \$2 million allocation, \$288,000 was distributed across four comparator units and to the UC Recruit data team located at UC Irvine to support data collection and reporting efforts. The UC Recruit team provided data support for the program and helped identify which recruitment practices correlated with more diverse hiring.

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

Table 1. Comparator Units

Pilot school/college	Comparator school/college	Rationale
UC Davis College of Agricultural and Environmental Sciences (CA&ES)	Comparator Unit A	CA&ES and Comparator Unit A have similar sets of research and educational programs and faculty base. The two colleges are also similar in their distance from urban areas where many URM professionals choose to live.
UC Riverside Bourns College of Engineering	Comparator Unit B and Comparator Unit C	Comparator Units B and C are the most appropriate comparators by scale, especially in terms of faculty number and expenditures.
UC San Diego Jacobs School of Engineering	Comparator Unit D	The Jacobs School of Engineering at UC San Diego has a similar ranking with Comparator Unit D. These schools are also similar in their location and public mission.

There was substantial effort required by the comparator units to provide information on their hiring and climate issues and the program funds supported appropriate part-time staff time. In partnership with the UC Recruit team, the Office of the President put together a profile of the four comparator units, including data on hiring. Comparator units provided thought partnership and data verification on the profile of their unit. In addition, comparator units provided an inventory of the practices currently in place to support faculty diversity both in their school/college and on campus. Beginning in February 2017, a representative from each comparator unit participated in monthly calls with the systemwide advisory group.

Data Collection

Each pilot unit’s 2016-17 recruitment and hiring data were compared with two sets of data. 1) The current year’s hiring results in each pilot unit were compared with the hiring results from the prior two years in the pilot unit. 2) The 2016-17 hiring results in each pilot unit were compared to the 2016-17 hiring results in the comparator unit. (Note that hiring in these pilot and comparator units is commonly assessed by academic year.) Collected data were used to determine whether the interventions supported by the additional state funds had an impact on the diversity of faculty recruited in the pilot units in 2016-17.

To assess whether the infusion of funds into the pilot units makes a difference in faculty diversity relative to the comparator units (who received no additional funding for their recruitment efforts) and relative to the pilot units’ prior years’ efforts, the pilot units, comparator units, and the UC Recruit team collected the following data for two recruitment

cycles, from July 2014 through June 2016: 1) recruitment efforts; 2) practices in advancing faculty diversity; and 3) pilot-specific data.

1. **Recruitment efforts.** Using information accessible in UC Recruit³, the NORC Survey of Earned Doctorates⁴, and the Corporate Personnel System, the UC Office of the President, in partnership with the UC Recruit team and campus units, gathered and validated the race/ethnicity and gender demographic data from the prior two years - July 1, 2014 through June 30, 2016 - and the current year, July 1, 2016-June 30, 2017, for the following stages of recruitment:
 - a. Demographics of availability pools (the population of recent PhDs in specific academic disciplines from institutions across the U.S.)⁵
 - b. Demographics of applicant pools
 - c. Demographics of finalists⁶
 - d. Demographics of hires⁷
2. **Practices in Advancing Faculty Diversity.** Each pilot and comparator unit submitted information on diversity practices in place in their school/college, as well as on their campus (see section IV below).
3. **Data collection specific to individual pilot units.** Each of the three pilot units also proposed data collection to allow for analysis of the effectiveness of their specific interventions during the pilot year compared to their data from prior years. The 2014-16 past performance data was then compared to data from 2016-17.

Support from Campus Executive Vice Chancellors & Provosts

On April 4, 2017, the Executive Vice Chancellors/Provosts and other leaders from all ten UC campuses, and the Office of the President, met for a daylong convening to discuss the diversity of faculty and academic leadership at UC, with specific attention to faculty recruitment and to strengthening the leadership pipeline. At the retreat, the pilot units presented posters with

³ Many academic recruitments begin before the academic year in which the candidate is hired. However, in order to maintain consistency across all pilot and comparator units, a bright line rule was established that only jobs that were posted in UC Recruit after the beginning of the 2014-15 academic year and had a successful hire at the end of the 2015-16 academic year were counted. The same rule was applied to the 2016-17 academic year data. As a result, the URM and female new faculty hires in 2014-17, were not counted if the job was originally posted before 2014-15.

⁴ The survey gathers data from all research doctorate graduates on their educational history, sources of support, and post-graduation plans. The completed survey responses become part of the Doctorate Records File (DRF), a virtually complete data bank on doctorate recipients from 1920 to the present and the major source of doctoral data at the national level. The profiles of doctorate recipients that emerge from these data serve policymakers at the federal, state, local, and university levels.

⁵ Consistent with federal reporting obligations, the availabilities dataset used includes only U.S. citizens and permanent residents.

⁶ Finalists are those who were brought to campus for full in-person interviews.

⁷ Hired includes those who were proposed candidates, candidates with an offer, candidates who accepted an offer, and candidates who were hired as of July 31, 2017. Any candidates who were hired after July 1, 2017 were not captured and therefore the final numbers may vary slightly.

details on their recruitment interventions and engaged in discussions with the academic leaders from the ten campuses and the President's Office on progress to date.

IV. Practices in Place to Advance Faculty Diversity

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

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

- senior-level **campus advisory councils** that advise the Chancellor with particular attention to institutional access and representation, campus climate and intergroup relations, and institutional transformation;
- senior-level **diversity leaders** that advance institutional priorities for diversity, equity, and inclusion as essential ingredients of academic excellence in higher education;
- **administrative review** of search plans, applicant pools, recruitment shortlists, and search reports, and comparison of the applicant and proposed interview pools to the availability pool and the department's affirmative action goals;
- **faculty recruitment search plans** that support broad, equitable and inclusive searches and search practices;
- **FTE allocations** that prioritize diversity where priority is explicitly given for requests that emphasize contributions to diversity;
- **President's Postdoctoral Fellowships and Chancellor's Postdoctoral Fellowships** that offer faculty mentoring and eligibility for a hiring incentive to outstanding scholars in all fields whose research, teaching, and service contribute to diversity and equal opportunity at UC;
- inclusion of **candidate diversity statements** in the review criteria for appointment, promotion, and appraisal;
- use of an **automated academic recruitment system** (UC Recruit) that can aid campus equal opportunity efforts and annual affirmative action reporting requirements;
- **equal opportunity/discrimination prevention offices** that closely monitor every academic search, and that provide guidance and advice to academic search committees;
- **implicit/unconscious bias training and climate enhancement** to mitigate the impact on recruitment and retention of attitudes or stereotypes that affect understanding, actions, and decisions in an unconscious manner;
- **search process improvements and committee trainings** on how implicit and institutional biases influence recruitment pools and candidate evaluation;

- **recruitment ads placed in diverse publications** that highlight UC’s commitment to diversity and the role of peer review in tenure and promotion;
- **benchmarking data** with tracking and progress reporting on faculty diversity, both campus-wide and within individual departments, divisions, colleges, and professional schools;
- **salary equity reviews** to ensure that salaries are internally consistent;
- **trend data** for every school/college and department on campus that show demographics of national degree recipients in the selected department/school/college, including PhD recipients, of recent hires, and of department demographic composition by rank.

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

V. Pilot A Program: Advancing Faculty Diversity in the Agricultural and Environmental Sciences - UC Davis

Profile of Pilot Unit A and Comparator Unit A

As of Fall 2016, there are a total of 275 Ladder Rank Faculty and Equivalent (“faculty”⁸) in the UC Davis College of Agricultural and Environmental Sciences (CA&ES). Underrepresented minorities are 8.4% and women are 33.8% of total faculty in CA&ES. In Comparator Unit A, there are a total of 248 faculty (4.4% URM and 27.4% female).⁹ The national availability¹⁰ of recent doctoral recipients in agriculture and biology is 12.7% URM and 50.1% women.

The demographics of the undergraduate student body in the pilot and comparator units are far more diverse than the faculty, while the diversity of the graduate student body is more similar to that of the faculty. There are a total of 8,353 students in the pilot unit (7,343 undergraduate

⁸ Current faculty composition is defined as Ladder Rank Faculty and Lecturer with Security of Employment positions in the Corporate Personnel System (CPS) October 2016 snapshot file.

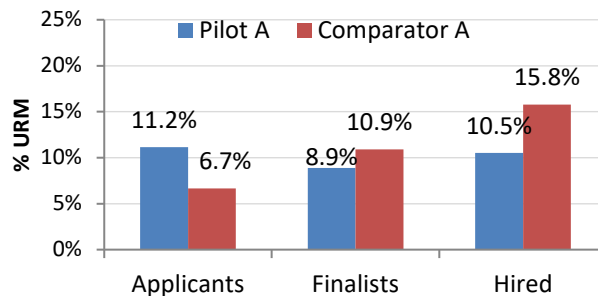
⁹ Because of the disparate nature of the departments in the agricultural and biological sciences, there is no direct match for comparison purposes. The departments that comprise the college in Comparator Unit A differ from the departments that comprise the college in the pilot unit in that the natural sciences such as biochemistry, biology, chemistry, physics, astronomy, and statistics are included in Comparator Unit A, but not the pilot unit. Meanwhile, disciplines such as animal science, nutrition, and food science are included in the pilot unit but not Comparator Unit A. In addition, although math is a department in Comparator Unit A, it has been excluded from this analysis because a different database is used to track math recruitments.

¹⁰ 2010-2014 National Survey of Earned Doctorates availability data file.

students and 1,010 graduate students), with 24.0% undergraduate URM and 7.8% graduate URM, as well as 69.7% undergraduate women and 58.1% graduate women. There are a total of 6,296 students in Comparator Unit A (5,699 undergraduate and 597 graduate students), with 39.0% undergraduate URM and 13.2% graduate URM, as well as 53.2% undergraduate women and 36.3% graduate women.

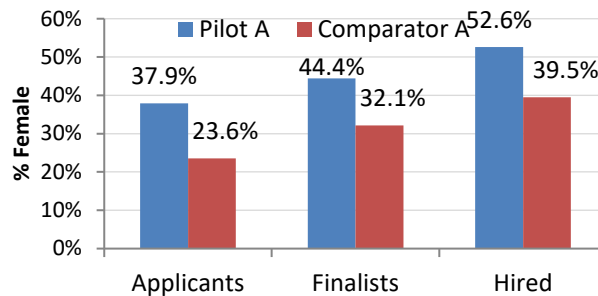
The 2014-16 recruitment data show that both the pilot and comparator units are making progress in diversifying their faculty as new faculty are hired. As reflected in Chart 1 below, in academic years 2014-16, 11.2% of qualified applicants in the pilot unit were URM. Out of the qualified applicants, 8.9% of the finalists were URM, and ultimately 10.5% of those hired were URM. In comparison, a smaller percentage of URM at Comparator Unit A were qualified applicants (6.7%). The percentage of URM, however, increased at each step of the recruitment cycle, with 10.9% URM among the finalists and 15.8% URM among those hired.

**Chart 1: Pilot A and Comparator A
Percentage (%) of Underrepresented Minority Ladder Rank Faculty and Equivalent by Hiring Stage, Academic Years 2014-15 and 2015-16**



As reflected in Chart 2 below, women were 37.9% of the qualified applicants, 44.4% of the finalists, and 52.6% of those hired in the pilot unit. In comparison, women were 23.6% of the qualified applicants, 32.1% of the finalists, and 39.5% of those hired in the comparator unit.

**Chart 2: Pilot A and Comparator A
Percentage (%) of Female Ladder Rank Faculty and Equivalent by Hiring Stage, Academic Years 2014-15 and 2015-16**



The data show that although the diversity of the overall faculty in the pilot unit is greater than in the comparator unit, the comparator unit has been hiring a greater percentage of new URM faculty than the pilot unit. The pilot unit has, however, continued to outpace the comparator unit in the hiring of new female faculty.

In addition to the many faculty diversity practices in place within the pilot and comparator unit, as outlined above, the pilot unit has the following additional practices in place: diversity performance metrics for deans (this is an emerging practice for Comparator Unit A), faculty support awards for recruitment and retention to support faculty engaged in research on diversity issues, federal funding to support faculty diversity including National Science Foundation (NSF) ADVANCE grants, financial support to faculty engaged in diversity work, and a diversity database with a repository of information for diverse faculty candidates that can enhance proactive outreach efforts to talented faculty candidates. As of 2016-17, both the pilot and comparator unit are requiring statements on contributions to diversity for all completed applications.

Overview of Pilot A Program

ADVANCING Faculty Diversity in Agricultural and Environmental Sciences at UC Davis was proposed jointly by the Acting Provost and Executive Vice Chancellor and Dean of the College of Agricultural and Environmental Sciences. The overall goal of ADVANCING Faculty Diversity in Agricultural and Environmental Sciences was to build upon college-based commitments and substantial campus-wide investments and programs associated with UC Davis's ADVANCE NSF award. UC Davis is in the fifth year of a major effort to enhance faculty diversity and campus climate, catalyzed by a 2012-17 National Science Foundation-ADVANCE-Institutional Transformation Grant. A unique element of the campus-wide effort to build a diverse and engaged community of STEM faculty is CAMPOS, the Center for Advancing Multicultural Perspectives on Science. From 2014-2019, the UC Davis Provost is providing a significant hiring incentive (\$85,000 per year for 5 years for each hire) to incentivize recruiting at least 30 new faculty members who are approved as CAMPOS Faculty Scholars. Faculty Scholar nominees are top candidates from either targeted or open recruitments in STEM disciplines, and are evaluated by the CAMPOS Faculty Committee based on their commitment to diversifying academia and to engaging with under-served communities. Leveraging the one-time state funding in 2016-17, CA&ES built a stronger partnership between CAMPOS and CA&ES, based on their shared mission to apply excellent scholarship, mentorship and outreach towards enhancing the public good and addressing pressing societal and environmental needs.

The short-term goal of the state-funded program was increasing faculty diversity in 2016-17 hires, and funds were used for the following: 1) advertising in new venues/splash ads; 2) two offers from one search program (authorizing multiple recruitments from single searches on the basis of improving/increasing diversity/inclusion); 3) second visits for recruits; 4) startup support; 5) Capital Resource Network referrals; 6) partner opportunity investments, and 7) a Presidential/Chancellor's Postdoctoral Fellows seminar series. The mid-term goal was to change

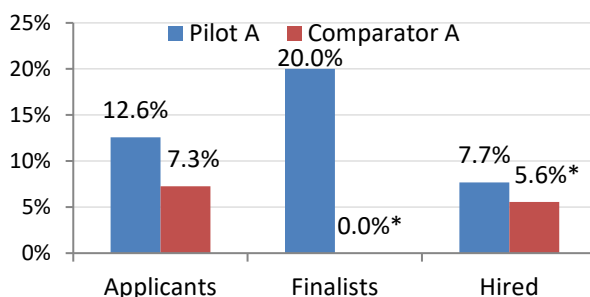
the faculty conversation about diversity and excellence. The mid-to-longer-term goals are faculty demographics that better mirror California.

Results for Pilot A

As reflected in Chart 3 below, CA&ES had approximately the same percentage of URM applicants in 2014-16 as in 2016-17. However, it had approximately double the percentage of URM applicants as finalists. CA&ES extended offers to two female and one URM finalist who declined the offers. Because these candidates declined these offers, the overall percentage of URM hires slightly decreased in 2016-17 compared to the 2014-16 period. If they had accepted the offers the URM applicants would have been the only URM in those departments, indicating that progress was made in recruiting a more diverse faculty even though these recruitments did not ultimately result in hires.

Both the pilot and comparator units hired a lower percentage of new URM and female faculty in 2016-17 than they did in 2014-16. The pilot and comparator units ended up hiring the same number of URM faculty in 2016-17, although the comparator unit had a higher percentage because of the lower number of applicants. Notably, the pilot unit had a high percentage of URM finalists at 20% while the comparator unit had no URM finalists. The comparator unit, however, hired URM faculty through a waiver of recruitment.

**Chart 3: Pilot A and Comparator A
Percentage (%) of Underrepresented Minority Ladder Rank Faculty and Equivalent by Hiring Stage, Academic Year 2016-17**



* There were no URM Finalists in Comparator Unit A but a URM candidate was hired through a waiver of recruitment.

Additionally, as reflected in Chart 4 below, during the 2016-17 recruitment period, the percentage of new female faculty decreased in both the pilot and comparator units, and the same number of female faculty declined offers in both the pilot and comparator units.

One of the greatest challenges for the pilot unit was that a great majority of the faculty searches were already underway when the program began, meaning allocations to departments had occurred, search plans had been approved, and advertisements run, by the time CA&ES was awarded the additional funds. Another challenge for agricultural schools in general is the breadth in fields. Both the pilot and comparator unit have multiple disciplines

across the agricultural and environmental sciences so it is more difficult to have an impact in the entire college in comparison to the engineering schools discussed below. important to note that CA&S spent significant college funding on these hiring practices, beyond that provided by the state).

Within the limits of the law as established by Proposition 209, race/ethnicity and gender were not taken into consideration and instead the important contributions to diversity made by the candidates were carefully considered. CA&ES used the two hires from one search method to increase faculty diversity along multiple important dimensions, as tied to the needs of specific departments given their existing faculty and student demographics. These dimensions include: underrepresented minority, other racial/ethnic minorities, gender, country-of-origin, sexual orientation, cultural affinity, and a teaching/mentoring focus on underrepresented groups.

The Dean, who is the chief academic and administrative leader for CA&ES, has stated that the longer term impact of the Advancing Faculty Diversity Program will be the elevation of the “conversation around diversity and inclusion to a new level, increased understanding among our faculty search committees about the need and resulting gains from the college, UCD, and the students. Our search committees will be more comfortable and more knowledgeable on how to reach out to encourage outstanding diverse applicants to consider UCD in their career plans.”

Future Plans

The pilot unit has hired a cohort of new faculty who are committed to making contributions to diversity, including diversification of the student body. CA&ES will continue discussions and workshops and intends to feature one department chair in particular who has been highly effective in discussing diversity. CA&ES intends to continue with the seminar series for UC PFPs and CPFs, which may result in the recruitment and hire of the invited fellows. They will also create a mentoring group for the new faculty who were hired through the two offers from one search pilot program. Finally, they will consider implementing the lessons learned from, and the interventions attempted by, the other pilot units as part of this program.

VI. Pilot B Program: Bourns College of Engineering Provost’s Diversity in Engineering Fellows Program – UC Riverside

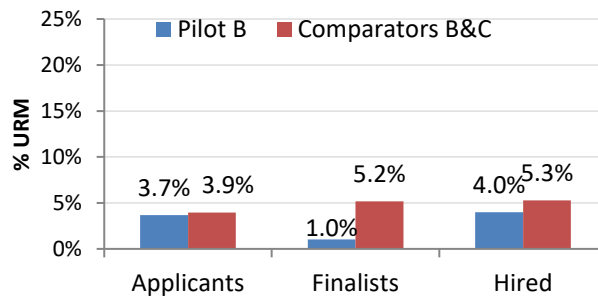
Profile of Pilot Unit B and Comparator Units B and C

Two comparator units (Comparator Units B and C, the data from which are combined for purposes of this analysis) were selected for the UC Riverside Bourns College of Engineering (BCOE) based on their size and composition. There are a total of 110 faculty in the pilot unit and 202 faculty in the combined comparator units. Underrepresented minorities make up 3.6% of total faculty positions in the pilot unit and 7.4% in the comparators. Women make up 10.9% of total faculty positions in the pilot unit and 19.8% in the comparators. The national availability in Engineering is 10.7% URM and 23.9% women.

Similar to the schools of agricultural and environmental studies, the demographics of the undergraduate student body in the engineering pilot and comparator units are far more diverse than the faculty, while the diversity of the graduate student body is more similar to that of the faculty. There are a total of 3,374 students in the pilot unit (2,590 undergraduate and 784 graduate students), with 31.1% undergraduate URM and 9.8% graduate URM, as well as 21.0% undergraduate women and 26.8% graduate women. The pilot unit has the most diverse student body of any engineering school or college in the UC system, but the faculty does not reflect this richness. In comparison, there are a total of 6,793 students in the comparators (4,928 undergraduate and 1,865 graduate students), with 23.2% undergraduate URM and 3.8% graduate URM, as well as 22.1% undergraduate women and 28.2% graduate women.

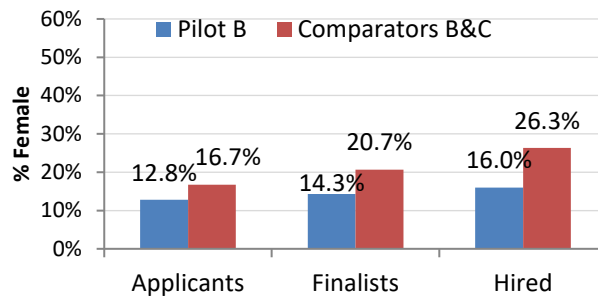
As reflected in Chart 5 below, the percentage of URM faculty hired during 2014-16 was low in both the pilot and comparator units, essentially half of the national availability in Engineering. URM were 4.0% of faculty new hires in the pilot unit from 2014-16 (3.7% of the qualified applicants and 1.0% of the finalists were URM). By comparison, in the comparators, URM were 3.9% of qualified applicants, 5.2% of finalists, and 5.3% of those hired.

**Chart 5: Pilot B and Comparators B & C
Percentage (%) of Under-Represented Minority Ladder Rank Faculty and Equivalent by Hiring Stage, Academic Years 2014-15 and 2015-16**



From 2014-16, women were 12.8% of the qualified applicants, 14.3% of the finalists, and 16.0% of those hired in the pilot unit. In comparison, women were 16.7% of the qualified applicants, 20.7% of the finalists, and 26.3% of those hired in the comparators. The comparators hired new female faculty in 2014-16 at approximately the same percentage as the national availability, while the pilot unit fell significantly short of the national availability.

**Chart 6: Pilot B and Comparators B & C
Percentage (%) of Female Ladder Rank Faculty and Equivalent by Hiring Stage, Academic
Years 2014-15 and 2015-16**



With respect to the additional faculty diversity practices in place within the pilot and comparator units, there are a number of practices that are implemented at only one or two of the locations. In addition, it is important to point out that the two comparator units, considered one unit for purposes of this analysis, do not have all of the same practices in place.

Some departments in the pilot unit have senior faculty serve as sponsors and executive advisors for junior and mid-career faculty and the Provost/Dean/Chairs serve as sponsors of URM/women in campus/UC/external leadership programs. It is an emerging practice at the pilot unit to base deans' performance ratings in part on review of faculty hires within each school or department. The pilot unit also has a strategic action plan for diversity and inclusion and provides funds to supplement the recruitment packages offered to faculty working on diversity issues (research) or having experience with diversity. The comparator unit has equity advisors and diversity liaisons who serve on search committees and teach committee members about implicit bias as well as best practices in running searches, while the pilot campus does not.

Overview of Pilot B Program

The former Provost and Executive Vice Chancellor and Interim Dean of the Marlan and Rosemary Bourns College of Engineering (BCOE) at UC Riverside requested support for a program to hire recent PhDs and award them postdoctoral support as part of a commitment to hire them into tenure track positions. The BCOE believed that they could offer faculty a uniquely inclusive campus community along with world-class research opportunities, and predicted that they would win their share of the most prized faculty if they could offer an innovative and attractive recruitment package. The BCOE requested that all pilot program funds be committed during the 2016-17 academic year toward three new hires as part of the Provost's Diversity in Engineering Fellows (PDEF) program, which is designed to support emerging scholars as they transition into the professoriate.

As a backdrop, UC Riverside is in the midst of an effort to add 300 faculty members to the campus, including over 200 Ladder Rank Faculty; this represents a nearly 40 percent growth in the total faculty number. From the very beginning, campus leadership has stressed that this faculty expansion presents a rare opportunity to reshape the faculty, and the campus has implemented a variety of practices to encourage diversity, including the following:

- cluster hiring, which available evidence suggests may promote greater diversity in hiring and provide a supportive environment to increase retention of successful candidates;
- the addition of two statements to all recruitment advertisements to a) emphasize that a commitment to diversity is an important aspect of the campus mission, and b) emphasize that peer review is an important aspect of advancement in the professoriate at the University of California;
- listing an ability to work with a diverse student body as a qualification in every job search;
- requiring a diversity statement from each applicant;
- new training to support diversity in hiring;
- the establishment of a policy by the Provost's Office providing a faculty line and funding for all costs (beyond those paid by the systemwide program) for any hire of a PFPF fellow (current or past); and
- promoting the use of formal rubrics to evaluate applicants.

BCOE's PDEF program aimed to increase faculty diversity and model career success for UC Riverside's already diverse undergraduate population by bridging the gap between graduate school and a tenure-track position. The BCOE invited applications for up to three joint Postdoctoral Fellowship-Tenure-track Faculty positions that will begin in the 2017-18 academic year. Successful candidates would receive funding for up to a year of postdoctoral training at any institution prior to beginning their duties as a faculty member at UC Riverside. In addition, PDEF would support professional development and research, covering travel to conferences and offering resources that would enable the candidate to use research facilities at UC Riverside or elsewhere. Candidates would also receive training resources including guidance in teaching skills, research ethics, grant writing, and time management.

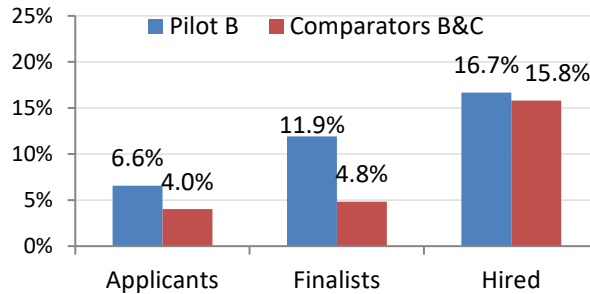
Results for Pilot B

As reflected in Chart 7 below, the pilot unit experienced a significant increase in the percentage of URM applicants, finalists, and hires in 2016-17 compared to 2014-16. The percentage of URM applicants nearly doubled and the percentage of URM finalists increased ten-fold. The pilot unit also hired approximately 13% more URM faculty than in the previous two years. While the pilot unit had hired URM faculty at a lower percentage than the national availability in Engineering during the previous two years, it exceeded the national availability by 6.0% following the infusion of the additional state funds into the PDEF program in 2016-17.

The comparator unit also increased the percentage of URM new hires from 2014-16 to 2016-17, hiring 15.8% URM faculty. Notably, in the previous two years, the pilot unit had a lower

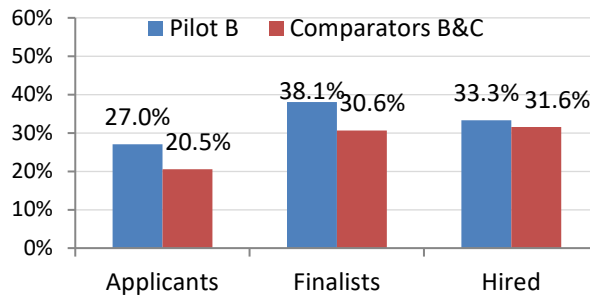
percentage of URMs and women than the comparator unit in terms of applicants, finalists, and hires. In 2016-17, the pilot unit had a higher percentage of URM and women in comparison to the comparator unit in all categories.

**Chart 7: Pilot B and Comparators B & C
Percentage (%) of Underrepresented Minority Ladder Rank Faculty and Equivalent by Hiring Stage, Academic Year 2016-17**



As reflected in Chart 8 below, the pilot unit also doubled its representation of women in each category from 12.8% of all applicants to 27.0%; 14.3% of all finalists to 38.1%; and 16.0% of those hired to 33.3%.

**Chart 8: Pilot B and Comparators B & C
Percentage (%) of Female Ladder Rank Faculty and Equivalent by Hiring Stage, Academic Year 2016-17**



The pilot unit chose to allocate all of its program funds to the three fellowships in the PDEF program. In Fall 2016, the BCOE began an innovative advertising campaign. It combined announcements of their open assistant professor positions with that of the Provost’s Diversity in Engineering Fellows in a single, high-quality print ad in the *Chronicle of Higher Education*. The ads encouraged early-career scholars to apply for not only a number of open Assistant Professor departmental and cluster positions across BCOE, but also to consider “opting in” to consideration for the PDEF program. Candidates were also encouraged to apply directly to the PDEF program. In this way, BCOE was able to advertise the PDEF program to a much wider pool

of candidates within their own current searches, thus maximizing their existing departmental networks. The posting for the PDEF emphasized that “UCR is a world-class research university with an exceptionally diverse undergraduate student body. Its mission explicitly states the goal of providing routes to educational success for underrepresented and first-generation college students. A commitment to this mission, such as engagement with diverse populations of students, role modeling and mentoring is a preferred qualification.”

For the PDEF program, the search committee constructed a simple rubric that measured two characteristics: research and diversity. All diversity statements were read from the beginning of the candidate evaluation process (rather than as a tie-breaker, or after the shortlist had already been made), and the committee maintained a high bar for demonstrated commitment to diversity. While UCR required the consideration of diversity statements for all faculty hiring during the 2015-16 school year, the application of the information from those statements was uneven across searches. But in the PDEF program, focus on the diversity statement in the longlist stage produced a group of extremely high-quality researchers with equally impressive credentials supporting diversity.

By mid-June, BCOE had completed candidate campus visits and final departmental evaluations for five PDEF candidates. Offers were presented to the college’s top three candidates. All three candidates accepted the positions, which will further diversify BCOE’s faculty profile by three female members, including two African American scholars. In comparison to other faculty recruitment efforts, the PDEF program yielded the college’s most diverse recruitment pool, resulting in candidates who not only focused on diversity but who were diverse themselves. In addition, by achieving a 100 percent acceptance rate, BCOE did not have to spend additional resources to develop offers and negotiate with other candidates. The campus’ emphasis on diversity combined with a competitive offer proved to be a successful strategy to both recruit and sign highly sought-after junior faculty members.

Notably, by concentrating all of the state funds into three recruitments through the PDEF program, BCOE was in the unique position of comparing the PDEF program results against the results of the entire college. This allowed them to compare the PDEF searches to searches without consistent use of diversity statements, without diversity-focused advertising campaigns, without associate fellowship programs, and without diversity-specific criteria. The results showed that the demographics of the pool of applicants who met basic qualifications, aggregated across all of BCOE’s 2015-16 searches, very closely mirrored BCOE’s current faculty composition. However, the PDEF applicant pool contained significantly more women and underrepresented minorities, showing the success of advertising methods and appeal of the hiring incentives for diverse faculty candidates. The demographics of finalists, aggregated across all of BCOE’s 2015-16 searches, still mirror BCOE’s current faculty composition. However, the PDEF finalists, and those hired, were significantly more diverse than in previous years in the pilot unit as a whole: for the PDEF program, 100 percent of the finalists were female and 50 percent were URM.

The BCOE Interim Dean found that “these changes to the search process deepened the hiring pool and refined the committee’s ability to evaluate candidates, resulting in a diverse shortlist of highly sought-after candidates. The college’s commitment to diversity combined with a competitive hiring package led to all three of BCOE’s top-choice candidates accepting positions within our college, despite their receiving competitive offers from other top universities.” The three candidates officially begin their faculty appointment on campus in Fall 2018, following the completion of their postdoctoral scholar appointments as part of the PDEF program.

Future Plans

Based on the successful results of the modified hiring process, the BCOE is adjusting its hiring procedures for future searches. To ensure that contributions to diversity are fairly weighed, a candidate’s diversity statement will be a factor from the start of the hiring process. In addition, advertisements will be in full color and strategically placed to highlight BCOE’s uniquely inclusive climate and to attract diverse applicants. At the campus level, search committee members will be required to participate in a training on effective search practices.

VII. Pilot C Program: Engineering Diversity: Broadening Applicant Pools, Evaluating Objectively, and Attracting Diverse Faculty to the Jacobs School of Engineering – UC San Diego

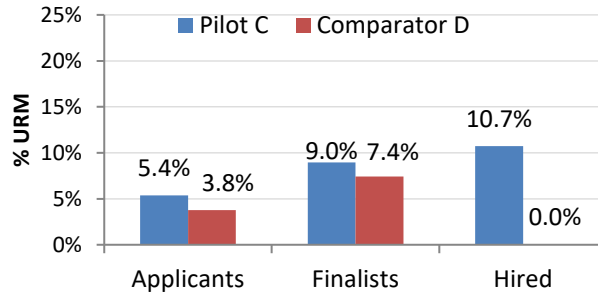
Profile of Pilot Unit C and Comparator Unit D

There are a total of 214 faculty in the pilot unit, of which 8.4% are URM and 13.1% are women. There are 172 faculty in Comparator Unit D, of which 2.3% are URM and 14.0% are women. The national availability in Engineering for URM is 10.7% and 23.9% women.

The student demographics of Pilot Unit C and Comparator Unit D are not as diverse as the student body at UCR’s BCOE (Pilot Unit B) or at Comparator Units B and C, although the student diversity is greater than the faculty diversity in both these units. In Pilot Unit C, there are a total of 8,032 students (5,761 undergraduate and 2,271 graduate students), with 13.2% undergraduate URM and 4.9% graduate URM, as well as 23.1% undergraduate women and 23.5% graduate women. In Comparator Unit D, there are a total of 5,657 students (3,480 undergraduate and 2,177 graduate students), with 9.1% undergraduate URM and 5.5% graduate URM, as well as 23.6% undergraduate women and 23.0% graduate women.

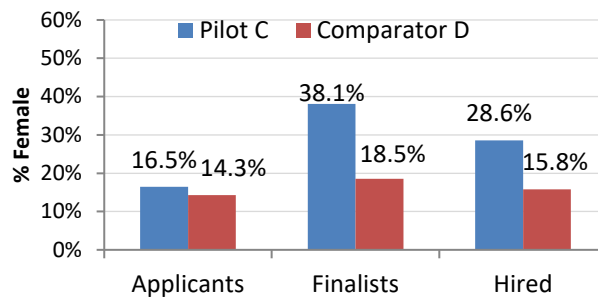
As reflected in Chart 9 below, 10.7% of faculty new hires in the pilot unit were URM (5.4% of the qualified applicants and 9.0% of the finalists) in 2014-16. The pilot unit had, as described below, made a concerted effort to diversify their faculty in recent years, matching the national availability in Engineering for URM in the 2014-16 period. In comparison, URM were 3.8% of qualified applicants, 7.4% of finalists, and 0.0% of those hired in the comparator unit.

**Chart 9: Pilot C and Comparator D
Percentage (%) of Underrepresented Minority Ladder Rank Faculty and Equivalent by Hiring Stage, Academic Years 2014-15 and 2015-16**



As shown in Chart 10, women were 16.5% of the qualified applicants, 38.1% of the finalists, and 28.6% of those hired in the pilot unit. Although the pilot unit had historically lagged behind the national availability of women in Engineering, it exceeded the national availability by nearly six percent in 2014-16. In comparison, women were 14.3% of qualified applicants, 18.5% of finalists, and 15.8% of hires in the comparator unit.

**Chart 10: Pilot C and Comparator D
Percentage (%) of Female Ladder Rank Faculty and Equivalent by Hiring Stage, Academic Years 2014-15 and 2015-16**



While the pilot unit and Comparator Unit D had many similar faculty diversity practices in place, Comparator Unit D has in place a strategic action plan for diversity and inclusion. The pilot unit will begin participating in a campus-wide diversity strategic action plan in the near term.

Overview of Pilot C Program

The Jacobs School of Engineering at UC San Diego is ranked #17 nationally by U.S. News and World Report. The Jacobs School has historically had low faculty representation of women and underrepresented minorities. Under the new leadership of the Dean, Vice Chancellor for Equity, Diversity, and Inclusion, and the Jacobs School Faculty Equity Adviser, the pilot unit has undertaken significant changes.

The pilot unit has made the following efforts in recent years: Excellence in Diversity searches; search committee training; pilot use (2015-2016 hiring season) of rubrics for faculty searches; comprehensive faculty climate survey (2015) within the pilot unit; representation of the pilot unit Dean’s Office at the ENGender Workshop (2016), at the NSF ADVANCE/GSE Workshop (2016), and at the Women’s Workshop in Communications and Signal Processing (2014), among others; quarterly lunch with the Dean for all women faculty; hospitality suite and faculty attendance at NSBE national convention; and the pilot unit contribution towards campus elite-level sponsorship of the SACNAS national convention, in 2014 and 2015.

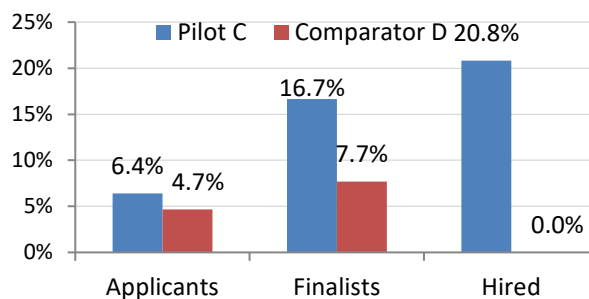
In seeking the additional state funds, the pilot unit proposed new and expanded efforts for diversifying the faculty to include the following four elements: 1) broadening the pool of applicants and interviewees; 2) use of written evaluation tools (“rubrics”); 3) job support mechanisms for spouses or partners; and 4) building a faculty diversity cohort.

Results for Pilot C

In 2016-17, the pilot unit nearly doubled the percentage of URM faculty hired from 10.7% in 2014-16 to 20.8%. Impressively, the pilot unit also significantly exceeded the national availability in Engineering for URM.

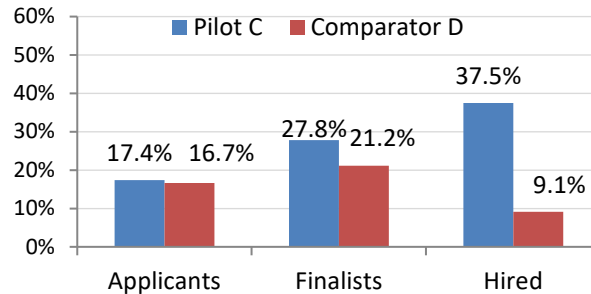
As reflected in Chart 11, while the pilot unit had a significant increase in the percentage of URM finalists and hires in 2016-17, the comparator unit had essentially the same results as it did in 2014-16.

**Chart 11: Pilot C and Comparator D
Percentage (%) of Underrepresented Minority Ladder Rank Faculty and Equivalent by Hiring Stage, Academic Year 2016-17**



In 2016-17, the pilot unit had a nearly 10% increase in female faculty hired, hiring 37.5% female faculty, 13.6% more than the national availability. Meanwhile, the comparator unit had an increase in the percentage of female applicants and finalists, but a decrease in the percentage of women among those hired.

**Chart 12: Pilot C and Comparator D
Percentage (%) of Female Ladder Rank Faculty and Equivalent by Hiring Stage, Academic Year
2016-17**



In achieving its results, the pilot unit broadened the applicant pool by targeted recruitments at diversity conferences and the unit contacted faculty in its comprehensive database of U.S. Latino(a) engineering faculty, both by phone and email. Several trips were made in the fall semester to diversity conferences; however, it is unknown at this time whether or not attendees at these events decided to apply to the Jacobs School. Nine faculty members listed in the database of Latino(a) Engineering PhDs were contacted by phone, and approximately 50 others were contacted by e-mail. Three of those contacted by phone applied, and one of them was interviewed and hired.

When evaluating candidate files, two of six departments in the pilot unit made significant use of written evaluation rubrics, and one additional department partially used them. Although rubrics have not been studied in academic hiring contexts, the pilot unit believed, based on other contexts, that rubrics can reduce discussion of subjective factors, help people remember their own scores and opinions when many candidates are seen over months, and reduce the “first speaker effect” in faculty meetings. The rubrics were designed to focus candidate evaluation on relevant topic areas, thereby promoting less biased candidate discussions and hiring decisions.

The pilot unit found it more difficult than anticipated to persuade departments to use the rubrics. The primary problem with getting search committees to use the first round rubrics was that it added to their workload. When a search committee member reads a file, it is distinctly easier, for example, to rule someone out from being interviewed because they are below the bar on one criterion, or rule them in because they excel in one criterion, rather than assigning ratings to that candidate in seven different criteria.

The pilot unit analyzed rubric scores and surveyed faculty in order to verify that the tools were useful and being used in an appropriate way. While an analysis of one rubric data set suggested that women had higher CV qualifications but were less likely to receive a phone interview, the rubric analysis proved to be more difficult and less reliable than anticipated, because a) each search committee had valid reasons for modifying the rubrics for their department or for their search, so the rubric data could not be aggregated across the committees and could not be

analyzed together, and b) some search committees noted that many difficult-to-quantify CV elements (such as research vision) were as important as easily-quantifiable CV elements (such as number of journal papers) but these former elements were less amenable to analysis. A survey of faculty (32 respondents) who used rubrics found that a large majority found them useful. Non-search-committee members found them useful for conveying their opinions to the search committee, for focusing on objective criteria, and for organizing and remembering their own opinions when many candidates are interviewed. Search committee members additionally found them useful for showing a range of opinions, validating committee views, and allowing search committee members to know what issues would need to be addressed in upcoming faculty meetings.

The pilot unit found the support money for spouses/partners to be particularly valuable during this hiring season. As is typical, there were multiple offers made to candidates who turned out to have faculty spouses or partners. In one of these cases, the spouse ended up getting an offer from the same department as the original candidate, and the department was at that point significantly over-extended in providing start-up funds. As a result, the \$200K in support for spouses/partners facilitated clinching this strong dual recruitment.

The pilot unit aimed to improve yield on offers by creating a faculty diversity cohort, which would involve inviting candidates who get offers and have strong statements of contributions to diversity back to campus as a group to meet each other and meet campus diversity leaders. In addition, each candidate would receive an increment of \$40K to their start-up package to support diversity and outreach activities within three years of the date of hire. The grant paid for interview expenses (up to \$4,500 per department) of extra candidates if they had strong statements of contributions to diversity. All departments took advantage of this mechanism and brought extra candidates based on the strength of their outreach and diversity statements, approximately 2-4 candidates per department.

The Jacobs School Dean noted that “the grant on Advancing Faculty Diversity for the 2016-17 hiring season has enabled the Jacobs School to accelerate its recent progress on faculty diversity.” In addition to the grant enabling the Jacobs School to pilot the new hiring strategies noted above, there were also “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. There was a significant increase amongst faculty in awareness of diversity issues, and an increase in faculty effort put into the overall hiring endeavor this year. For all of these reasons, I personally appreciate the grant support that made it possible for us to recruit many of these new faculty.”

Future Plans

The pilot unit found that targeted recruiting, especially phone calls to potential excellent candidates, was a time-consuming but effective strategy, and the unit will likely continue this practice.

The pilot unit also intends to further expand the use of rubrics in 2017-18. If additional resources are made available, the pilot unit would like support for spousal/partner hires and diversity supplements.

VIII. Summary of Findings for All Three Pilot Units

Overall, the additional funding allocated to UC resulted in substantial progress in increasing faculty diversity. By selecting different interventions and comparing the pilot units' results in 2014-16 to their results in the funded year (2016-17) in their own unit and against those of a comparator unit, UC sought to identify the most successful methods with the hope of adapting and duplicating them to produce positive outcomes at all campuses. It is important to recognize that a limited number of comparisons were made between the three pilots and comparator programs. The overall number of hires evaluated through these studies is small and should be considered representative of the ability of thoughtful interventions to improve the diversity of applicants considered and ultimately hired into the UC faculty. These results provide evidence that a variety of practices can be implemented across disciplines to improve diversity in hiring and demonstrate that allowing flexible, locally-configured approaches show promise. Longer term studies and comparisons are needed to demonstrate statistically valid comparisons. It is also important to recognize that there are other practices besides hiring (e.g., supporting graduate students and postdoctoral scholars and improving the climate for faculty success) that would strengthen the pipeline and increase the availability pool of excellent faculty upon which to draw.

The interventions that appear to have been the most successful in the three 2016-17 pilot units were as follows:

- **enhanced outreach** through personal contacts, use of databases, and targeted ads;
- associated use of **PPFP/CFP recruitments**;
- **targeting potential faculty slightly earlier** in their careers through support for post-doctoral work;
- **strong leadership** from the Dean, including an active role in decision-making;
- **rubrics** to guide decision-making by faculty members;
- use of **“contributions to diversity statements”** in candidate evaluation; and
- **partner opportunity** investments.

What is also apparent from the results is that targeting the majority of the funds toward a smaller number of units is more effective than spreading the funds across many different units.

It was also clear that having the pilot units report to the systemwide advisory group monthly enhanced accountability.

By the time the funds were allocated to the pilot units, faculty recruitments had already started in some departments, making it difficult to fully realize the effectiveness and impact of the proposed interventions. If pilot units were provided more lead time following receipt of the funding to implement their proposed hiring practices, it is likely that the effectiveness of the proposed interventions would be more readily apparent. Regardless of this challenge, all three units saw significant change in practice and conversation, and two of the pilot units had a substantial increase in the percentage of URM and female faculty as finalists and of those hired. It is clear that the infusion of funds into the pilot units made a difference in faculty diversity relative to their past performance and to the comparator units.

In addition, the comparator units found participation in the program to be helpful and instructive of what other schools are doing. Some comparator units would participate on the advisory group calls and then meet with their dean and other administrators to discuss the preliminary findings and results of the pilot units. In the process, the comparator units have modified some of their recruiting practices, including requiring contribution to diversity statements, using the same criteria for selection/deselection in searches, and providing less flexibility to search committees in certain areas of the recruitment process.

IX. Looking Ahead

The results of the 2016-17 Advancing Faculty Diversity program at UC, using the additional funding allocated by the State, suggest that additional funding on targeted interventions does have an impact on supporting and increasing equal employment opportunity in faculty employment. UC's scores of other colleges and schools also continued their work on diversifying the faculty during the 2016-17 year. UC remains committed to its work on increasing the pipeline of potential faculty including its work to build strong support systems for graduate students and post-doctoral scholars as well as early career and established faculty.

UC's budget for 2017-18 includes an additional \$2M allocation from the State to support best practices in equal employment opportunity in the coming year. On July 31, 2017, building on the success of the 2016-17 Advancing Faculty Diversity program, the UC Provost sent a call for proposals to the campuses, which encouraged them to adapt the successful interventions from 2016-17. As other units adapt and implement the successful strategies from the 2016-17 funding year, UC can identify the most successful recruitment methods that are also transferable across different units and campuses. In addition, year one of the program produces an opportunity for UC to study the ongoing impact of the interventions on the 2016-17 pilot units.

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