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November 13, 2017

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

Dear Senator Mitchell:

Pursuant to Item 6440-001-0001 of the 2017 Budget Act, Provision 2.5(b)(2), enclosed is the University of California's report to the Legislature on the *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](mailto:David.Alcocer@ucop.edu).

Yours very truly,

A handwritten signature in black ink, appearing to read "Janet Napolitano".

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)  
The Honorable Kevin McCarty, Chair

The Honorable Holly J. Mitchell  
November 13, 2017  
Page 2

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

Mr. Jason Constantouros, Legislative Analyst's Office

Provost and Executive Vice President Michael Brown

Vice Provost Susan Carlson

Executive Vice President and Chief Financial Officer Nathan Brostrom

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Associate Vice President and Director Kieran Flaherty

Chief Policy Advisor and Executive Director Jenny Kao

Chief of Staff to the Chief Financial Officer Oren Gabriel

Manager Bruce Kennedy

**2017-18 Use of One-time Funds to Support Best Practices in Equal  
Employment Opportunity in Faculty Employment - Preliminary**

Legislative Report

November 2017



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**2017-18 Use of One-time Funds to Support Best Practices in Equal  
Employment Opportunity In Faculty Employment - Preliminary**

The University of California provides the following report in response to item 6440-001-0001 of the 2017 Budget Act, Provision 2.5(b)2 (AB 97, Chapter 14, Statutes of 2017), which states:

“Of the funds appropriated in this item, the following amounts are provided on a one-time basis: (1) \$2,000,000 for the creation or expansion of equal employment opportunity programs. Funding should be distributed to selected departments on campuses seeking to create or expand equal employment opportunity programs. (2) The University of California shall submit, no later than December 1, 2017, a report to the Legislature, in conformity with Section 9795 of the Government Code, that describes uses of these funds and indicates the number of ladder-rank faculty at the university, disaggregated by race, ethnicity, and gender.”

**Summary**

This report provides the latest systemwide data on University of California ladder-rank faculty, disaggregated by race, ethnicity, and gender. It also provides a preliminary report on the uses of the \$2,000,000 provided to UC to support equal opportunity in faculty employment.

With the \$2M allocation to the University of California as part of the 2016 Budget Act, in 2016-17 UC developed an innovative and focused program to support faculty diversity. Because the funding was intended for a program of best practices related to advancing faculty diversity but was also appropriated on a one-time basis, UC expended these funds to add value beyond efforts already in progress by funding programs that would increase faculty diversity in selected units and provide reliable, useful information that could help guide future allocations to support the University’s goal of increasing the diversity of the faculty. Three campus proposals were funded as part of the Advancing Faculty Diversity program, one each at UC Davis, UC Riverside, and UC San Diego. Each of the three pilot units developed a distinctive recruitment program for the 2016-17 year and each succeeded in using specific interventions and practices that contributed to the recruitment of a diverse set of new faculty.

The results of the 2016-17 Advancing Faculty Diversity program at UC suggest that additional funding on targeted interventions does have an impact on supporting and increasing equal employment opportunity in faculty employment. As a result, in compliance with the 2017 Budget Act requirement to distribute the funding “to selected departments on campuses seeking to create or expand equal opportunity programs” and building on the success of the 2016-17 Advancing Faculty Diversity program, UC is continuing most of the 2016-17 program elements into the 2017-18 year. The 2017-18 funding will be supporting faculty diversity efforts in four pilot units at UC Berkeley, UC Irvine, UC San Francisco, and UC Santa Barbara that will supplement but not supplant other efforts already underway and that adapt some of the successful interventions from 2016-17. As the pilot units adapt successful strategies from the 2016-17 funding year and implement new interventions and practices, UC can identify the most successful recruitment methods that are also transferable across different units and campuses.

## **Background**

UC remains committed to increasing the diversity of its faculty, particularly the presence of domestic under-represented minorities (African-American, Chicano(a)/Latino(a)/Hispanic, and Native American) and women. Ongoing efforts to diversify the faculty are in place at all campuses and at UCOP; these efforts will continue in parallel with the additional 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. In the last two years alone, there have been 43 hires of fellows into UC faculty positions.

Annually, all ten campuses are committing funding and personnel to continue their ongoing efforts to support best practices in recruiting and retaining a diverse faculty. This includes, on all ten campuses, the following: monitoring of recruitment efforts, implicit bias and climate enhancement training, and use of a common on-line recruitment system which 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; training search committees and performance review committees in implicit bias; 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.

The additional one-time funding focused on just four campus schools/colleges/departments allows UC to supplement these ongoing systemwide efforts with targeted efforts that may be transferable outside of pilot units.

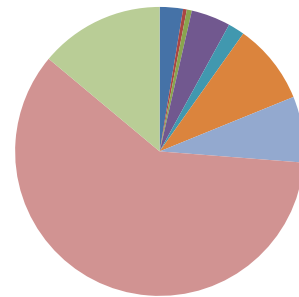
## **Number of UC Ladder-rank Faculty, Disaggregated by Race/Ethnicity and Gender**

Tables 1 through 6 present the latest data on the demographics of ladder-rank faculty systemwide. Ladder-rank faculty are those tenured or tenure-eligible faculty who have a full range of responsibilities in teaching, research, and service. The demographic information is October 2016 data, which means the hiring results from the 2016-17 Advancing Faculty Diversity program are not reflected in the data. This data draws from UC's 2017 Accountability Report (<http://accountability.universityofcalifornia.edu/2017/>): of most relevance are "Chapter 5: Faculty and Other Academic Employees" and "Chapter 7: Diversity." The UC Information Center (<http://universityofcalifornia.edu/infocenter>) also has interactive data on the "Diversity of UC's Faculty and Academic Appointees," including information by campus and by discipline.

The first two tables offer ladder-rank faculty data disaggregated by race and ethnicity and citizenship status (Table 1) and by gender (Table 2). Domestic underrepresented minority faculty (Black/African American, Chicano(a)/Latino(a)/Hispanic, and American Indian/Alaskan Native) constituted 8% and international minority faculty (Black/African, Latino(a)/Hispanic) were 2%-3%. Sixteen percent of the faculty are Asian/Pacific Islander/Native Hawaiian) and 74% are white. Because so many of UC's faculty are international, we track this identifier to ensure we fully understand the diversity of the faculty. Women are 33% of the ladder-rank faculty.

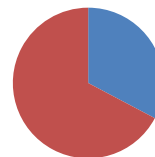
**TABLE 1**  
**Ladder Rank Faculty and Equivalent; Headcounts by Race/Ethnicity and Citizenship**  
**Universitywide - October 2016**

Race/Ethnicity/Citizenship	Headcount	%
Black/African American Dom	284	3%
Black/African Intl	45	<1%
American Indian/Alaskan Native	62	1%
Chicano(a)/Latino(a)/Hispanic Dom	479	4%
Latino(a)/Hispanic Intl	201	2%
Asian/Pacific Islander/Native Hawai'ian Dom	983	9%
Asian/Pacific Islander/Native Hawai'ian Intl	805	7%
White/Other Dom	6,519	60%
White/Other Intl	1,518	14%
Total	10,896	



**TABLE 2**  
**Ladder Rank Faculty and Equivalent; Headcounts by Gender**  
**Universitywide - October 2016**

Gender	Headcount	%
Female	3,566	33%
Male	7,330	67%
Total	10,896	



There is greater diversity among the newest faculty at UC and we provide additional demographic information on hiring over the last nine years to provide detail on such recent hires. Table 3 displays data in three 3-year cohorts of hires to show the volume of hiring since 2007-08 and the presence of underrepresented minorities (URM) among the hires; we present the information in 3-year cohorts to smooth out peculiarities of any single year. There were 8.3% URM (domestic) and 3.4% URM (international) in 2007-08 to 2009-10; 10.4% and 2.1% of the same two groups in 2010-11 to 2012-13; and 10.2% and 3.5% in 2013-14 to 2015-16.

**TABLE 3**  
**Ladder Rank Faculty and Equivalent; New Hires by Race/Ethnicity and Citizenship**  
**Universitywide – 2007-08 through 2015-16 in 3-year Cohorts**

<b>Race/Ethnicity/Citizenship</b>	<b>2007-08 to 2009-10</b>	<b>2010-11 to 2012-13</b>	<b>2013-14 to 2015-16</b>
White/Other Intl	287	167	277
White/Other Dom	822	519	822
Asian/Pacific Islander/Native Hawai'ian Intl	143	110	163
Asian/Pacific Islander/Native Hawai'ian Dom	129	92	162
Latino(a)/Hispanic Intl	36	19	46
Chicano(a)/Latino(a)/Hispanic Dom	73	61	87
American Indian/Alaskan Native	14	10	11
Black/African Intl	17	2	11
Black/African American Dom	43	35	71
<b>Total</b>	<b>1,564</b>	<b>1,015</b>	<b>1,650</b>

Table 4 offers comparable recent hiring data with a focus on gender. The percentage of women hired in the three 3-year cohorts went up gradually in this same time frame, from 37% of hires in 2007-08 to 2009-10; to 37% of hires in 2010-11 to 2012-13; and to 40% of hires in 2013-14 to 2015-16.

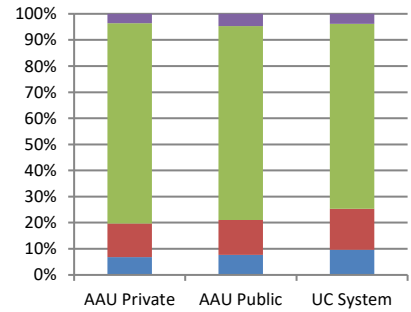
**TABLE 4**  
**Ladder Rank Faculty and Equivalent; New Hires by Gender**  
**Universitywide – 2007-08 through 2015-16 in 3-year Cohorts**

<b>Gender</b>	<b>2007-08 to 2009-10</b>	<b>2010-11 to 2012-13</b>	<b>2013-14 to 2015-16</b>
Male	976	637	986
Female	588	378	664
<b>Total</b>	<b>1,564</b>	<b>1,015</b>	<b>1,650</b>

To contextualize these data in one additional way, we are providing comparable data from the American Association of Universities (AAU) Private and Public Universities (Tables 5 and 6). It is important to note that available data from the AAU does not include disaggregation by citizenship status, but does provide a “non-resident Alien category” that is not equivalent to the citizenship status UC uses. Thus, the UC data presented in Table 5 presents the data on citizenship, race, and ethnicity in an alternate way from that presented in Table 1 and Table 3. UC’s categories of “Domestic” and “International” in Table 1 and Table 3 are combined in the AAU data. For example, in Table 1 UC’s first five categories (Black/African American Domestic; Black/African International; American Indian/Alaskan Native; Chicano(a)/Latino(a)/Hispanic Domestic; and Latino(a)/Hispanic International) roll up into one category in Table 5, “URM Total”. The data in Table 5 show that UC’s 10% URM ladder-rank faculty (“Tenured and Tenure Track” is the AAU category) exceeds the averages of the AAU Public and Private Universities.

**TABLE 5**  
**Full-Time Tenured and Tenure Track Faculty by Race/Ethnicity**  
**AAU Private and Public Institutions Compared to UC System – Fall 2015**

Race/Ethnicity	AAU Private	AAU Public	UC System
Non Resident Alien	4%	5%	4%
White/Other	77%	74%	71%
Asian/PI	13%	13%	16%
URM TOTAL	7%	8%	10%



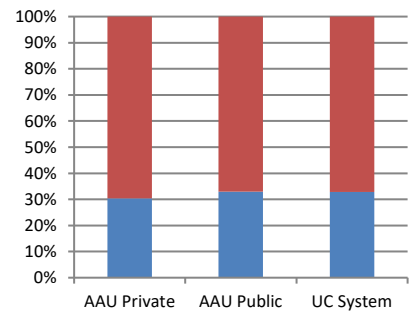
Source: IPEDS Fall 2015 Human Resources Survey

Note: IPEDS faculty and Race/Ethnicity classifications differ from UC classifications. Race/Ethnicity is reported for faculty who are U.S. Citizens or Permanent Residents; others are classified in the “Non-Resident Alien” category. “AAU Public” in the Table does NOT include the UC AAU campuses.

Table 6 offers AAU comparison data by gender. UC has 33% female faculty, the same percentage as other public AAU institutions.

**TABLE 6**  
**Full-Time Tenured and Tenure Track Faculty by Gender**  
**AAU Private and Public Institutions Compared to UC System – Fall 2015**

Gender	AAU Private	AAU Public	UC System
Male	70%	67%	67%
Female	30%	33%	33%



Source: IPEDS Fall 2015 Human Resources Survey

Note: “AAU Public” in the Table does NOT include the UC AAU campuses.



**Advancing Faculty Diversity (\$2 million, one-time allocation)**

The University is committed to increasing the diversity of its faculty, both in the presence of under-represented minorities and in the presence of women. UC's plan is to make the best possible use of the one-time allocation of \$2M towards this commitment, and has directed the \$2M to support new faculty diversity efforts that will supplement, but not supplant, other efforts already underway, as well as adapt and build on the successful interventions from 2016-17. By taking a scientific, evidence-based approach, UC plans to identify best practices that could be expanded in coming years and thereby ensure that future funding would also be a good investment.

*Brief summary of 2016-17 program.* After consultation with offices in Sacramento, UC adopted the 2016-17 approach to select campus units to act as pilot sites during the course of the 2016-17 faculty recruitment cycle. This allowed UC to make targeted expenditures on pilot units that 1) needed to make progress in faculty diversity; 2) had demonstrated a commitment to improve faculty diversity; and 3) had the capacity to develop practices that can be adopted more broadly with sufficient future funding. Three campus programs were funded, one each at UC Davis, UC Riverside, and UC San Diego. Overall, the outcome of the interventions is encouraging, including a substantial increase in the percentage of URM and female faculty as finalists in all three pilot units and of those hired in two pilot units, and an increase in the number of new faculty who have made valuable contributions to diversity across all pilot units, which will improve the campus climate for women and URMs and promote equal opportunity for all members of the academic community. 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.

*Summary of 2017-18 program.* Building on the success of the 2016-17 Advancing Faculty Diversity program, UC is continuing most of the program elements into the 2017-18 year, including targeted funding for four innovative programs that also make further use of some of the successful interventions from the 2016-17 year. To select the pilot units for the second year of funding, on July 31, 2017, the UC Provost invited each campus to propose an intensified approach to hiring a more diverse faculty in a selected unit with adoption of specific interventions from the 2016-17 program. Campuses submitted strong proposals, each drawing from on-going campus efforts and from the successful interventions by the year one pilot units. They proposed to use the additional funds to support a discipline, school, or department poised to make significant advances in faculty diversity. The proposals were innovative and illustrative of how much the campuses are already engaged in this issue. The best proposals had pilot units with deep understanding of and support for a more diverse faculty and had demonstrated some kind of prior success (with hiring women, for example). They also show that a sizable investment targeted at supporting these efforts might facilitate more diverse hiring.

Review criteria were established and communicated to campuses prior to submission of the proposals and a group of six faculty and academic administrators reviewed the submissions; the President's Office selected four campus units to receive the bulk of the funding as pilots: the College of Engineering at UC Berkeley; Science, Technology, Engineering, and Mathematics Schools at UC Irvine; Biomedical Sciences at UC San Francisco; and Department of Economics at UC Santa Barbara. All will

focus on ladder-rank faculty hiring. The four pilot proposals 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 unit leader 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.
- They adapted successful interventions from 2016-17.

A brief description of each pilot unit as well as comparator units follows:

*UC Berkeley. Advancing Faculty Diversity in Berkeley Engineering. \$500K.* With strong commitment by the leadership and plans for substantial hiring in 2017-18, this program centers on four broad categories: increase the diversity of applicant pools; emphasize and require contributions to equity and inclusion; improve evaluation and reduce bias; and increase effectiveness of interviews, recruiting, and professional development. In addition to employing best practices already promoted by the campus and ensuring they are implemented well, this program will implement additional interventions, including those identified in year one of the Advancing Faculty Diversity program and from UC Berkeley's own Search Committee Chair Survey conducted from 2012-16. The interventions will include revisions to position announcements, targeted outreach, required diversity statements, expanded startup funding, equity advisor meetings for candidates, evaluation of candidates by a student committee, multi-criteria rubrics, a centralized review committee, increasing the pool of finalists, support for partner/spouse careers, and postdoctoral support.

*UC Irvine: Building Our Own Pipeline to the Professoriate: Advancing Faculty Diversity in Science, Technology, Engineering, and Mathematics Schools at the University of California, Irvine. \$450K.* In addition to extending best practices in use at UCI, this program will pilot a locally-funded Provost Hiring Incentive to recruit former postdoctoral scholars associated with the University of California President's Postdoctoral Fellowship Program (PPFP) or the system-wide partner Chancellor's Postdoctoral Fellowship programs (CPF). The program will support the transitions of postdoctoral scholars into faculty positions through a concierge strategy that consists of research support, work-life integration resources, and community connections for retention and advancement through a newly-established Society of Inclusive Excellence Fellows. One of the schools comprising the discipline served as a comparator unit during year one of the Advancing Faculty Diversity program.

*UC San Francisco: Advancing Faculty Diversity in the Biomedical Sciences at the University of California, San Francisco. \$450K.* With the recruitment of new Deans in the School of Nursing and School of Dentistry, and biomedical research expansion within the School of Medicine, there will be significant hiring of ladder-rank faculty in the biomedical sciences in 2017-18. For optimal impact on these recruitments, this program will include a basic science standing search committee, active and

targeted outreach through search ambassadors, leveraging of the existing mentoring program, required diversity statements, and recruitment funds to faculty who will contribute significantly to diversity and inclusion. The Executive Vice Chancellor and Provost will provide matching funds for the recruitment of the faculty.

*UC Santa Barbara: Enhancing Faculty Diversity at UC Santa Barbara, Department of Economics. \$500K.* The Department of Economics prepared a comprehensive plan that builds on a cluster hire approach to construct a strategic initiative that will focus on four key components: searching across multiple ranks and fields, advertising, attractive research start-up packages, and enhanced faculty and staff time to focus on a broad search. A key component of this program is the adaptation of a successful intervention from year one of the Advancing Faculty Diversity program with the creation of postdoctoral fellowships to precede the assistant professorship, as well as enhancement of the endowed chair start-up package to support work with underrepresented minority and low-income students.

*Comparison units and Data Collection and Reporting. \$100K.* Each of the four pilot programs will have a comparison unit(s), so that the efforts and hiring in the funded units can be compared to the efforts and hiring in comparison units not receiving funding. There will be substantial effort required in the comparison units to provide information on their hiring and climate issues and the program funds will support appropriate part-time staff time on the campuses. In addition, similar to year one, the UC Recruit data team located at UC Irvine will support data collection and reporting efforts. The UC Recruit team will help identify which recruitment practices correlated with more diverse hiring.

A systemwide Program Advisory Group, coordinated by the Office of the President, will help guide and monitor these four pilot programs and the collection and analysis of data and metrics during the course of the year. The Group includes representatives appointed by the Chancellor and Executive Vice Chancellor/Provost on each campus and also includes Academic Senate representatives. The Group will advise on development of reports on the pilot programs and share in the work of designing best ways to ensure the pilot programs advance efforts to diversify the UC faculty.

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