

UC Berkeley Report
Attachment 2

April 16, 2002

Efforts of the Faculty Equity Office: October 2001 to April 2002

There are many dimensions to issues related to faculty diversity. *What* is the current constitution of the faculty and the variables at play? *Why* are the demographics of the faculty not a reflection of the availability of human resources in all areas? Is it because some of the cultural subgroups are not in the pipeline, are not interested, are discouraged from applying, are not being considered seriously, are receiving more competitive offers from elsewhere? *How* do we put practices and procedures in place that improve opportunities for all, remove subconscious biases, enhance our ability to recruit the “best” in all cases? *What* is our notion of excellence and *how* do we measure it objectively? Large improvements in faculty diversity will require answers to these questions and many more. Indeed, on the Berkeley Campus, we believe that the diversity problem is complex, and we can only make inroads through extensive and ongoing research followed by implementation of procedures that matter.

Research and application of models drawn from this research provide a focus for the newly expanded Faculty Equity Office. Associate Vice Provost for Faculty Equity Angelica M. Stacy administers this office. She works collaboratively with Executive Vice Chancellor and Provost Paul Gray and Vice Provost for Academic Affairs and Faculty Welfare Jan de Vries on enhancing faculty diversity at all levels and on ensuring equity in promotion, salary, and allocation of resources. We are taking a leadership role in gathering information, identifying barriers, educating the Campus community, and implementing procedures that make a difference by involving members of the academic community in this research agenda. Indeed, initial augmented resources for hiring new staff for the Faculty Equity Office are being allocated to faculty and graduate student collaborators who are involved in focused research projects aimed at addressing the issues related to faculty diversity.

The research agenda involves three stages: 1) gathering pertinent information to characterize various aspects of faculty diversity; 2) analysis of the information in order to understand key factors; and 3) implementation of processes and procedures that create fair and open practices towards achieving faculty excellence. To this end, several projects are underway. The initial focus has been on gathering information for the past 10 years on the diversity of the Berkeley faculty as a whole, the diversity of faculty at various ranks, the diversity in new hires, and the diversity in the applicant pool. Once we have sufficient information regarding a specific issue such as diversity among newly hired faculty, the agenda is moved to the second stage of examining the factors that are at play in influencing the demographics. After the analysis of these factors has yielded specific understanding about practice, the agenda shifts to the development and implementation of new processes and practices. There are many focused issues that will move through these stages at one level of detail, and then through again at deeper levels. In other words, the strategy is not to spend years gathering information before acting. On the contrary: ours is an action agenda that allows for ongoing implementation and refinement of new ideas.

A number of projects are underway that address the recommendations of the State Audit Report. The initial effort has been focused on faculty hiring as this is critical given the opportunities tied to the anticipated increase in faculty hiring in the next decade. In addition, as other critical issues emerge, they are added to the agenda depending on their importance. The second major item that will be added in the coming year is related to climate and how it

influences promotion, salary, and allocation of resources. The list below is an overview of active projects. The projects are generally directed at information on faculty demographics, practices surrounding faculty recruitment, and issues regarding equity in promotion and merit increases.

FACULTY DEMOGRAPHICS

- **Data on gender diversity:** We have created tables and graphs of the gender diversity on the faculty over the past 10 years. Thus far, we have looked at the gender diversity for the faculty as a whole, the distribution by rank, the diversity in hiring, and the diversity in hiring by research area. The graphs and tables are attached.

We have found that hiring in science, engineering, and mathematics is particularly lacking in diversity. To address the problem, we are trying to ensure that chairs and deans are put in place with a strong commitment to diversity. Executive Vice Chancellor and Provost Paul Gray has made specific efforts to work with the Deans and Chairs in these areas to make improvements. This has already paid off: the College of Engineering hired more women than men this past year (the first time ever!). We believe that this was due to leadership and vigilance by several key players.

- **Data on ethnic diversity:** Tables and graphs of ethnic diversity, similar to those attached for gender diversity will be available in the next few weeks. A graduate student is working on this project.
- **Affirmative Action Plan:** The data and graphs on gender and ethnic diversity will form the basis for the affirmative action plan, which will be completed this summer. The plan will have three parts: 1) presentation and description of key data; 2) a preliminary analysis of the data implications; and 3) plans for changes in processes to affect positive outcomes with regards to faculty diversity.
- **Data driven advocacy:** The Senate Committee on Women and Ethnic Minorities (SWEM) are collaborators in proposing studies, gathering data, and using the data to advocate for change. They are currently involved in reviewing the Strategic Plan, an effort to define and ensure “excellence.” SWEM is taking an active role in strengthening the commitment to diversity expressed in the document.
- **Educating the Campus community:** The Chancellor’s Coordinating Committee on the Status of Women, Chaired by the Associate Vice Provost for Faculty Equity, is working towards educating themselves and the Campus community on the status of women, especially women of color, in various segments of our community. They are currently divided into subgroups that are assisting in data collection, defining strategies for getting the attention of key players, and determining effective means of communicating key information to the community.
- **Second Hearing conducted by State Senator Speier:** Associate Vice Provost for Faculty Equity Stacy and Professors Alice Agogino, Deborah Nolan, and Susan Ervin-Tripp attended a hearing on the State Audit conducted by Senator Speier in March. A subset of the data that is attached was presented. The Senator commented that she would like to see this type of data from all of the UC Campuses. She was particularly disturbed by the lack of women hired in science, mathematics, and engineering, and the lack of diversity in faculty administration. We agree that these are key issues and are working towards addressing them as described herein.

FACULTY HIRING

- **Call for FTE:** In the November 2001 call letter for Faculty FTE, UC Berkeley's Executive Vice Chancellor and Provost Paul Gray specifically instructed departments to "consider the campus's goal of increasing the number of women and underrepresented minorities on the faculty." He directed the departments and Deans to "review their recommendations for opportunities to improve the likelihood of such recruitments by broadening proposed areas of search and/or revising the level of the search."

In addition, it has been noted in the past that women are more well represented in the applicant pools at the more junior levels; Executive Vice Chancellor and Provost Gray directed in his call letter that it is his belief that "the campus is well served by a larger percentage of junior appointments and therefore [he will now expect] that requests for senior recruitment will require specific and compelling explanation."

- **Diversity in the applicant pool:** We have developed a new Web-based system to collect affirmative action data on applicants for academic positions. The purpose of the System is for statistical analysis of the diversity in our applicant pools, and to comply with Federal reporting requirements. We intend to use the information to assist departments in attracting the best applicants by more closely matching the diversity in the applicant pool with that of the availability pool.

More than 25 departments used the system in the preliminary trial this year. Several reported that it was a real timesaver. E-mail messages were sent to 2187 applicants, 1531 responded. This is a 70% response rate, a major improvement over earlier, decentralized efforts in this area.

- **Search procedures:** Clearly, it is critical that we implement best practices in conducting searches for new faculty. We will be disseminating widely the new brochure on best practices that has just been published by the Office of the President. In addition, we want to extend this information to include procedures that support the efforts of search committees and require accountability. In conjunction with the new Human Resources Management System, we are developing procedures with a goal towards efficiency and effectiveness. We envision a Web-based system in which there are various checkpoints that provide vigilance on the search process without slowing down the efforts of search committees. The checkpoints will verify compliance with many of the recommendation made by President Atkinson in response to the State Audit Report: Are the search committees diverse, what is the search plan, has the position been adequately advertised, is the applicant pool diverse, have efforts been made to improve diversity in the applicant pool, are the reasons for deselection of a candidate sufficient? (Note: We already require departments to answer these questions. Our goal is to improve effectiveness and efficiency.)
- **Involvement of students in faculty searches:** On the Berkeley Campus, there are a number of very active student groups who are advocating for faculty diversity. Many departments currently involve students in faculty hiring. Students participate in interviewing candidates, and they add a written recommendation stating their views of the qualifications of each candidate. We intend to disseminate the best practices regarding student involvement. Our plan is to train students through the Faculty Equity Office as to their responsibilities and involve them in helping to promote fair practices.
- **Appointment of deans:** Vice Provost Jan de Vries has expended much effort in composing diverse search committees for selection of new deans and has instructed these committees to evaluate the track record with regards to diversity of potential candidates for the position. Despite this effort, the committees are not always looking critically at these track records. We believe that this does not reflect a lack of commitment towards diversity on the part of the committee, but rather that it is not obvious how to obtain information about commitment to diversity and by what measures to analyze the track record. To this end, we will be

developing more specific procedures to support search committees in their efforts to determine and evaluate track records in diversity.

PROMOTIONS AND MERIT INCREASES

- **Promotion rates and salary equity:** Initial analysis of the demographic data by the Faculty Equity Office shows that currently 38% of the associate professors are women. Since we have never hired 38% women in any given year, this indicates an accumulation of women in the associate professor rank. In collaboration with the Senate Committee on Women and Ethnic Minorities, we will conduct a detailed analysis of promotion rates and salary equity. Professor Trond Petersen from the Department of Sociology, an expert in such studies, will take the lead role. He has begun data analysis, and will be recruiting a graduate student to work on the project.
- **Influence of family issues on promotion:** Dean Mary Ann Mason has just completed a study called “Do babies matter?” She has found that women who have children within 5 years of receiving their Ph.D. are significantly less likely to remain in academia. We will collaborate with her on a follow-up study to determine the effectiveness of our progressive policies on stoppage of the tenure clock and modified leave on tenure rate. We want to know how these policies have influenced both men and women who have stopped their tenure clock and/or taken a modified leave. Two graduate students are being recruited to work on this project during the summer.
- **Fairness safeguards in promotion:** The Faculty Equity Office handles cases that come up with regards to fairness in procedures used to decide on promotion and merit increases. A significant number of issues that have been brought forward are the result of some lack of understanding of procedures and the associated responsibilities of both the chair and the candidate. This is an example of an issue that comes to the forefront with a clear solution: the implementation of fairness safeguards. While some departments have a checklist for review of procedures and responsibilities by the chair and candidate, others do not. We are developing a form drawn from best practices that we will ask all units to use to help ensure an equitable and fair review.
- **Climate survey:** We will conduct a climate survey to provide an overall understanding of the working conditions of Berkeley faculty and their degree of satisfaction with these conditions. We value continuing improvements towards creating a work environment that supports success for all. To this end, we have a draft survey that we intend to use in the coming months to gather climate data.

[Note: Response to the State Audit, April 15, 2002, cover letter and Attachment 1 available from Cynthia Schrager, schrager@uclink.berkeley.edu]