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Susan Carlson
Vice Provost for Academic Personnel and Programs
University of California, Office of the President
1111 Franklin Street
Oakland, CA 94607

Dear Vice Provost Carlson,

I am pleased to provide you with the attached report on the UC Berkeley College of Engineering's (CoE) Advancing Faculty Diversity Initiative. Although I am new to the position of Dean (having been appointed effective July 1, 2018), I supported this initiative during the past academic year as a member of its Steering Committee.

Our College's interest in this initiative was largely driven by a recognition that progress in diversifying our faculty has been too slow: from 2012-2013 to 2016-2017 the percentage of female faculty increased from 14% to 17%, and the percentage of underrepresented minority (URM) faculty increased from 5% to 7%. This motivated the College leadership team to develop and implement a coordinated strategy to increase faculty diversity. The results of the recently concluded recruiting cycle are striking: a total of 18 offers were extended, including 7 to female candidates and 4 to African-American male candidates. We have assessed and plan to improve and expand upon our efforts going forward.

I would like to take this opportunity to highlight some accomplishments of this initiative:

- The criteria for new faculty hires in the College were expanded to include excellence in contributions to advancing diversity, equity, and inclusion (DEI) in addition to excellence in research, teaching, and service.

  o The department chairs, faculty search committees, and faculty engaged in deep discussions around the expanded selection criteria and how to assess contributions to DEI, as well as the value to the College in doing so.

  o The candidates to whom we made offers are truly exceptional across the broader set of criteria.

- All new faculty hired from searches conducted in AY2017-18 have plans and responsibility for advancing equity and inclusion, which will benefit the College and the campus more broadly.

- The College leadership team better understands the kinds of activities necessary to achieve broad and inclusive applicant pools in fields where the percentages of available women and URM members is small.

- We have shared our experience and learning with others across the campus. In particular, the Office of Faculty Equity and Welfare has worked with us to develop suggested guidelines for assessing contributions to DEI, for all academic units. Also, departments in the life sciences worked together across three colleges to submit a proposal for a new grant from UCOP this year.

We are fostering within the CoE a culture of collective responsibility for advancing equity and inclusion. DEI should be an integral part of the College's mission, and hence should extend beyond the application and interview processes to be a measurable outcome of our daily research, teaching, and service. To reinforce the importance of DEI, we are explicitly assessing contributions to DEI in faculty merit and advancement cases. Also, the CoE has invested resources to increase staffing support to assist faculty with their efforts to advance diversity, equity, and inclusion. We will continue to monitor our progress in diversifying the faculty and in cultivating an inclusive climate in our educational and research programs.

In summary, we have learned a tremendous amount through the Advancing Faculty Diversity Initiative, and will continue to refine our search process and guidelines to ensure progress in diversifying the CoE faculty. We are grateful for the initial grant from the Office of the President that has made this possible.

Sincerely,

Tsu-Jae King Liu
Dean and Roy W. Carlson Professor
College of Engineering

# Advancing Faculty Diversity 2017-18
# Final Project Status Update:
# UC Berkeley College of Engineering

## I. Overview of Pilot Project, Results, and Most Successful Interventions

The grant from UCOP marked the launch of our Advancing Faculty Diversity Initiative.  While the formal grant period has concluded, we view our initiative as an ongoing effort.  The goals of our initiative are to: (1) improve our faculty search process to overcome barriers faced by female and URM applicants, and (2) cultivate a culture throughout the College of Engineering (CoE) in which all members of our community view themselves as active participants in advancing equity and inclusion (E&I).

New search guidelines were developed, which each departmental search committee adopted and modified as needed to fit their individual needs and experience. With the guidelines, we introduced new elements throughout our search processes with the aim of attracting more diverse candidate pools (e.g., greater numbers of female and URM applicants), reducing bias throughout all stages of the evaluation process, and successfully recruiting our top candidates. A key element of these new guidelines is the requirement that all successful faculty candidates demonstrate how they can contribute to our diversity, equity, and inclusion efforts.  Candidates were provided with guidance at each stage of the search process so that they had the opportunity to prepare evidence to demonstrate their contributions.  We also developed specific guidance for faculty and students to assist them as they evaluated candidates' contributions to diversity via their diversity statements and their interview and other meetings with College constituents.

An additional novel aspect of the searches this year was the provision of five unallocated FTE slots to the College.  Departments had the option to compete for one of these CoE slots, knowing that to succeed, all of that department's searches (for both pre-authorized and College slots) had to embrace the new guidelines and demonstrate that all successful candidates achieved excellence at advancing equity and inclusion.  Note that we emphasized that candidates for all searches must be evaluated using the same criteria, and all College departments chose to participate in this effort. Thus, in our evaluation of candidates, we placed excellence in

advancing equity and inclusion on par with excellence in research, teaching and service.

The main results of this first year of the initiative are:

- Greater diversity in the demographics of the shortlisted candidates (interviewees), and the candidates to whom we made offers.
- All new hires have a track record and future plans for contributing to diversity, equity, and inclusion efforts.
- We gained a deeper understanding of what excellence looks like in candidates that contribute to advancing equity and inclusion.  Based on the experience across the College this year, we worked with our campus Office of Faculty Equity and Welfare to update campus guidance for including contributions to diversity in the faculty search process (https://ofew.berkeley.edu/recruitment/contributions-diversity).  For example, three criteria are evaluated: (i) understanding of diversity, equity, and inclusion; (ii) previous contributions; and (iii) future plans.  Specific examples for each criterion are provided, as well as guidance for scoring each criterion for inclusion in an overall multi-criteria evaluation rubric.

The most successful interventions and findings are described below.

- Targeted outreach to encourage underrepresented individuals to apply was necessary to increase the diversity of our applicant pools.
- Searches that were defined more broadly were successful at attracting more diverse pools of candidates.
- The emphasis on candidates' commitment to advancing equity and inclusion shifted the demographics of the final candidate pools, enriched the conversations with and about candidates throughout the College, and provided an opportunity for all stakeholders to learn more about diversity.
- The CoE FTE slots provided a strong incentive for our searches to incorporate new practices that included targeted outreach to identify potential applicants from a more diverse pool, and consideration of candidates from a wider range of research areas.
- Committees reported that the use of quantitative, multi-criteria rubrics was useful for fostering more informed discussion of candidates.
- Each search committee assembled a committee of graduate students to participate in candidate interviews, especially in terms of their ability to mentor diverse students, and contribute to advancing equity and inclusion. The input from student committees was influential on the selection of finalists.

## VI. Challenges

One challenge encountered in rolling out so many changes to our search processes was accurately and effectively communicating with all those involved in a very truncated timeframe (faculty, academic personnel staff, and graduate student committees). A guidelines document specifying the new elements of our search process was distributed widely, but in-person meetings were necessary to raise awareness and clarify the intent behind some elements, and the details of specific processes. The monthly meetings of our Equity and Inclusion Council (comprised of Faculty Equity Advisors from each department) were one useful mechanism. These meetings were supplemented by meetings with search committee chairs, department chairs, academic personnel managers, and student committee chairs, and many individual ad-hoc meetings.

Another challenge was that some College faculty were resistant to placing such a large emphasis on advancing equity and inclusion as a key criterion in selecting faculty candidates. We recognize that successfully changing our culture is a work in progress and that it will take time. While we made significant progress in this single academic year, we also do not want to force such a fast rate of change that we risk creating a backlash. Our approach is to work directly and broadly with our faculty in order to to engage them in the process of change, and also to empower our leadership.

An unanticipated challenge was the large number of spousal accommodation requirements that arose after making offers to finalists. While U.C. Berkeley does have a program to work with finalists to explore career options, this year we were faced with a large number of spouses or partners that also sought academic appointments and medical residencies. With respect to academic appointments, our campus supports many spousal hires, but they must be above the bar for appointment at Berkeley and the "receiving" department must agree that hiring the individual fits their strategic hiring needs. In one case so far, our job offer was rejected due to our inability to identify a faculty position for the spouse.

One challenge we encountered was the difficulty of successfully targeting our advertising to diverse potential candidates. We used Job Elephant, which provided us with click data from the 24 internet sites where we posted our College-wide job announcement. Unfortunately, many of the job sites we chose to target diverse applicants generated very little traffic. Thus, this coming year we will post our job announcements only on sites that receive substantial traffic.

## VII. Future Plans

With respect to Goal 1 (improved search practices), we have revised our search guidelines, which retain most elements introduced this year.

Importantly, we will continue to emphasize in our hiring practices that excellence in advancing equity and inclusion must be considered on par with excellence in research and teaching.  We plan to use the new guidance provided by our Office of Faculty Equity and Welfare, which was revised for all of campus based on what was learned in the College of Engineering.  The materials include guidance to candidates about how to prepare a diversity statement, as well as guidance to search committees for how to include and evaluate contributions to diversity throughout the search process.

With respect to Goal 2 (culture shift), in our proposal to UCOP the College committed an additional 250K towards equity and inclusion efforts. Part of this funding is going towards a new, full-time staff position titled the "Director of Faculty Engagement in Equity and Inclusion."  Our new Director began her position on August 15, and has started developing a program to support the success of our junior faculty, and to engage all CoE faculty more deeply in advancing diversity, equity and inclusion.

Ultimately, Goals 1 and 2 are closely connected.   We aim to attract new faculty to Berkeley Engineering because we are seen as a leader in advancing diversity, equity, and inclusion.  We also want to send the message to aspiring faculty when they are still graduate students that gaining experience in advancing equity and inclusion is an important aspect of preparation for a faculty career, and that excellence in this area is something we are looking for when we hire new faculty.  We believe this shift creates a virtuous cycle: a positive climate and more diverse and engaged faculty will attract more female and underrepresented students.  These students will be more successful in our programs, increasing the pipeline of students pursuing academic careers.  Our female and underrepresented faculty will be more successful because of the positive climate, and because the important work of advancing, diversity, equity, and inclusion is being shared more equitably amongst all faculty.

The 250K commitment from the College is also supporting a new partnership with the University of Michigan College of Engineering to expand the NextProf Workshop. NextProf Nexus aims to diversify the engineering professoriate through a four-day intensive workshop on the faculty search process that brings together 70 graduate

students and postdocs from across the country.  We aim to inspire and prepare the aspiring faculty to be successful at obtaining faculty positions.  Many faculty throughout the College are contributing to the workshop.  While the workshop is not specifically a recruiting tool for UC Berkeley, we plan to actively recruit NextProf participants to apply to our faculty openings in the future.

Appendix A. Demographics of faculty search candidates pools, College of Engineering, UC Berkeley, 2017-2018.[1]

Overall, the applicant pool to the College of Engineering was slightly less diverse than the availability pool in terms of gender and African Americans.  Thus, we will continue to emphasize the importance of targeted outreach to recruit a diverse pool of applicants.  As detailed below for the individual searches, some searches were more successful than others at attracting an applicant pool that was as diverse as the availability pool.  A range of factors likely contributed to differences across our searches: the breadth of the search, the subfield of the search, the extent of targeted outreach, the timing of the search.  We believe that the College's new (and ongoing) emphasis across all our hires on candidates that demonstrate excellence in advancing equity and inclusion will help us to attract more diverse applicants and candidates.

The diversity of our candidate pools was greater in the long and shortlisted candidates, with the shortlisted candidates (interviewees) comprised of 50% female candidates, 10% Hispanic/Latino, and 12% African American.  This result was likely due to our targeted outreach to highly qualified applicants, our emphasis on candidates' commitment and potential to advance equity and inclusion, as well as efforts to overcome bias and other barriers faced by female and URM applicants throughout the search process.
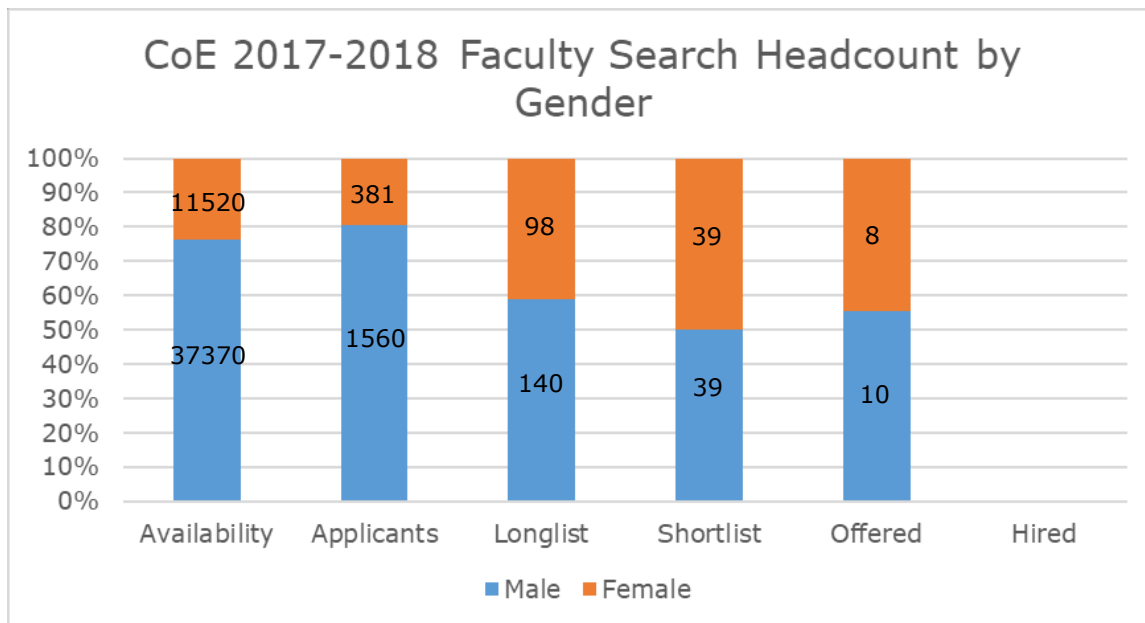


*Figure 1. Overall results for all departments in the College of Engineering 2017-2018 Faculty Searches by gender.  Orange reflects those who identify as female while blue denotes those who identify as male.*

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[1] Note that more than half of our offers are still in the negotiation stage (the outcome of the search is not yet clear).  Therefore, data on hires is only included for searches that have been completed.
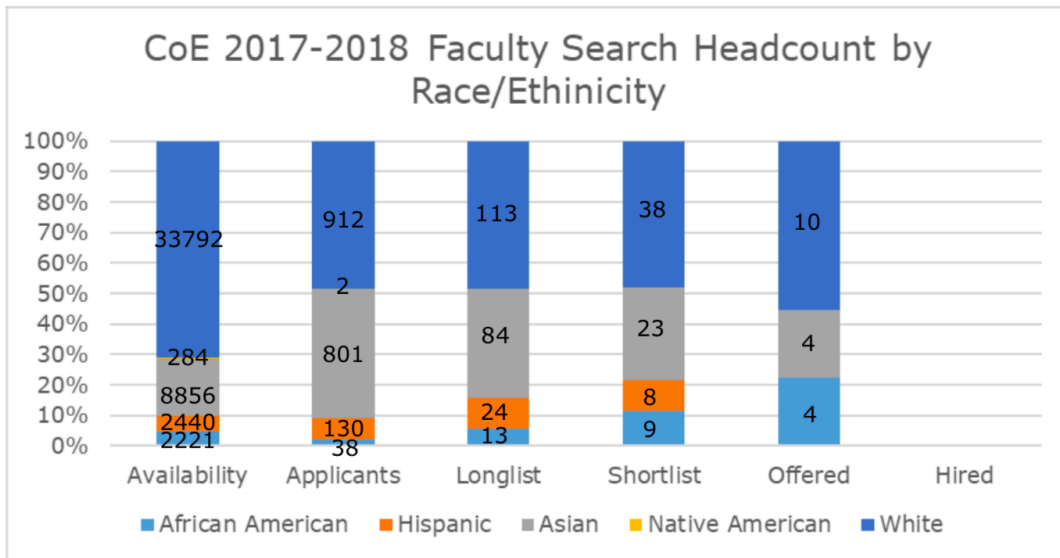
Figure 2. Overall results for all departments in the College of Engineering 2017-2018 Faculty Searches by ethnicity. Individuals who identify as African American, Hispanic, Asian, Native American, and White are denoted in light blue, orange, gray, yellow, and dark blue respectively.