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OFFICE OF THE PROVOST AND
EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

March 16, 2022

EXECUTIVE VICE CHANCELLORS/PROVOSTS

RE: RFP for Advancing Faculty Diversity, for Recruitment and for Improved Climate and Retention, 2022-2023

Dear Colleagues:

I am pleased to announce this year's Request for Proposals (RFP) process for the 2022-2023 Advancing Faculty Diversity (AFD) program. Now in its seventh year, for this year's competition over $2.5M will be available for awards. All proposals are due no later than May 16, 2022.

Attached are detailed RFPs for the two program tracks: 1) The **AFD Recruitment** program, which supports efforts on campuses to develop recruitment processes that are predicted to result in more diverse faculty hiring; and 2) the **AFD Improved Climate and Retention** program, which supports efforts both on and across campuses to develop equity-oriented interventions, data capacity, and research to improve workplace climate and retention outcomes. Two new additions this year are replication awards and awards to support the securing of external funding for AFD-inspired projects. Replication awards provide an opportunity for campus units to test a single intervention that has already shown success in another campus unit; external fundraising awards provide an opportunity for previously successful campus projects to focus on securing external grants in order to continue their work. In both tracks, we encourage applicants to build on the innovative and successful pilot projects funded in years 1-6 of this program and summarized in the Appendices of the two RFPs. Campuses may submit 1-2 proposals in each of the two tracks and all must be submitted through the EVC/Provost's Office.

In consideration of the input recently collected from various stakeholders, the program will include the following priorities and guidelines:

- Awards in the Recruitment track will be funded for up to two years. The focus remains on interventions in the recruitment process that will assist in identifying candidates who have the capacity to enhance contributions to diversity in their research, teaching, service, and outreach. As with last year's awards process, recruitment project PIs are encouraged to consider how the COVID-19 pandemic and its related impacts have exposed inequities, particularly as campuses have shifted back to in-person operations.
- Awards in the Improved Climate and Retention track will be funded for up to three years. Priority will be given to projects specifically aimed at responding to COVID-19 issues that have affected faculty and those projects addressing issues of racial justice through proposed interventions.

To continue building a cross-campus network of practitioners as well as systemwide data that will help us track our efforts, the following AFD program practices will continue:

- Proposals that include work on more than one campus or that serve multiple campuses will receive priority.
- Those campuses receiving funds in year 7 will take part in two convenings during the year to share progress, report on successes and challenges, and build a cross-campus community of practice for faculty recruitment, retention, and improved climate.
- Campuses receiving Recruitment awards will continue using the Search Committee Chair Survey, currently available in UC Recruit, for all ladder-rank hires, in the 2022-23 recruitment year.
- Campuses receiving Improved Climate and Retention awards will undertake a regular Retention and Climate Survey, either continuing in the survey administered through COACHE or collecting similar campus data that can be shared with UCOP, to allow for systemwide tracking of issues.
- In addition to a Principal Investigator, each proposal will include a central campus Sponsor, who will be regularly apprised of progress on the award. This may be the campus Chief Diversity Officer, a Vice Provost or Associate Vice Provost, or the Executive Vice Chancellor/Provost.

UCOP will host two pre-award online forums for those interested in developing a project proposal. These online forums will be held on April 1, 2022 from 9:00-10:00 am and April 7, 2022 from 1:00-2:00 pm. Each of the two forums will cover the same information. These forums will be an opportunity for UCOP to address questions from potential applicants and to bring possible collaborators together. Attendance is not required to submit a proposal but confirmation of attendance is requested. Those wishing to attend should RSVP to Janiene.Thiong@ucop.edu and indicate which session they plan to attend. Note that the same content will be delivered at each forum.

The deadline for submission of proposals is May 16, 2022. A Review Committee at UCOP, with Academic Senate representation, will make recommendations for funding. We hope to announce awards by early July 2022.

Please reach out to Vice Provost Susan Carlson (Susan.Carlson@ucop.edu) with any questions you may have.

Sincerely,

Michael T. Brown, Ph.D.
Provost and
Executive Vice President for Academic Affairs

Enclosures

cc: President Drake
Chancellors

Academic Council Chair Horwitz
Academic Council Vice Chair Cochran
Executive Vice President and Chief Operating Officer Nava
Executive Vice President Byington
Vice President and Vice Provost Gullatt
Vice President Maldonado
Vice Provost Carlson
Vice Provosts/Vice Chancellors for Academic Personnel/Academic Affairs
Chief Diversity Officers
Assistant Vice Chancellors/Assistant Vice Provosts/Directors of Academic Personnel
Associate Vice President Alcocer
Associate Vice Provost Lee
Executive Director Baxter
Director Osorio-O'Dea
Project Policy Analyst Thiong

Advancing Faculty Diversity (AFD) Recruitment: Request for Proposals (RFP) for 2022-2023

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Goals of the 2022-23 RFP

UCOP is pleased to issue this Request for Proposals (RFP) to determine allocation of FY2022-23 funds for the Advancing Faculty Diversity (AFD) Recruitment program. This will be the seventh year of UC's AFD program focused on diversifying its faculty by implementing more equitable faculty recruitment practices. During years 1-4 and again in year 6, the State of California funded a significant share of the program to enable UC to make progress in increasing the diversity of its ladder-rank faculty. This year the program is funded by the Office of the President for total of $3 million, including costs to administer the program. Any additional funds allocated by the State for 2022-23 will be a welcome addition to this review and selection process.

Pre-award forums.

UCOP will host two pre-award online forums for those interested in developing a project proposal, either as a single campus or in partnership with another campus or campuses. These online forums will be held on Friday, April 1, 2022 from 9:00-10:00am and Thursday, April 7, 2022 from 1:00-2:00pm. Those interested in attending may RSVP at Janiene.Thiong@ucop.edu. Additional details, including Zoom meeting information, will be available closer to those dates. These forums will be an opportunity for UCOP to address questions from potential applicants and to bring possible collaborators together. Attendance is not required in order to submit a proposal. Note that the same content will be delivered at each forum.

The 2022-23 AFD Recruitment Grant Program

Continuing with the types of coordinated interventions that each of the previous 27 AFD recruitment pilot programs have established in prior years, the 2022-23 program will continue to support programs that develop a set of coordinated interventions to recruit new ladder-rank faculty with an emphasis on identifying candidates who have the capacity to enhance contributions to diversity in their research, teaching, service and outreach. The size and scope of previously funded pilot programs have been varied, encompassing single departments, clusters of units/departments, single schools, cluster hires, and multiple schools. The focus should remain on recruitment of Senate faculty, but the focus may include other faculty whose recruitment will have significant impact on the make-up of UC Faculty.

Successful pilot projects have had sustained and strategic involvement from a variety of unit leaders, including department chairs, deans, vice provosts, chief diversity officers, and EVCs/Provosts. Each program has included significant interventions in the recruitment process, such as redesigning the evaluation process and recruitment/search committee; making the assessment of contributions to DEI integral to the recruitment process; including graduate students in the search process; and focusing on candidates from the President's Postdoctoral Fellowship Program (PPFP) and Chancellors Fellows Program (CFP). Some projects have also integrated support for new faculty hires such as mentoring and establishing official cohort activities for new faculty hired through the AFD project. In many cases, there has been significant campus support for the project, including allocating FTEs. Such campus support has been an important component found to be a critical part of a pilot's success.

A summary of the 27 pilot programs from years 1-6 is included in Appendix B. Final reports for years 1, 2, and 3 of the program and a first year report for year 4 (the first year in which these were officially awarded as two-year grants) are available on our website.

First, the AFD Recruitment program accepts proposals for projects of up to two years in duration, including AY2022-23 and AY2023-24. We encourage PIs to consider how the COVID-19 pandemic and subsequent return to in-person learning, and related exposure to inequities might be addressed in

proposals. We continue to seek proposals for up to $500K that focus on faculty recruitment in the coming two years.

Second, we also invite proposals focused on improving the recruitment process through building new training or informational components (for example, interactive theatre trainings); supporting research on recruitment at more than a single campus; or reimagining the recruitment process in other ways. Funding for these projects will be limited to no more than $150K.

Finally, we invite proposals in a third category to support replication awards of up to $200k. These awards which will support implementation of an intervention previously funded in years 1through 6 on a new campus or unit within a campus. These new replication awards will test the viability of a specific intervention in a different campus environment.

The expectation remains that the focus is on hiring in the 2022-23 and 2023-24 academic years, with the goal of having funding expended or committed (e.g. to startup funds and other expenses) by June 30, 2024. The program also continues previous accountability requirements for participating units.

Each year, UCOP will fund two convenings for all funded project teams that comprise the AFD initiative to share progress, report on successes and challenges, and build a community of practice for faculty recruitment work across campuses and project years. Key project team members, including project leaders, must commit to attending these convenings. While convenings have been held via Zoom due to the COVID-19 pandemic, we anticipate that these convenings will be held in person beginning in FY2022-23, with UCOP covering allowable travel costs for AFD PIs attending these meetings.

The sections below serve as application instructions for the 2022-23 AFD Recruitment RFP. Please read through these instructions carefully as you prepare your proposal using the proposal template (including budget template) in Appendix A.

Types of projects considered.

The focus for the 2022-23 AFD Recruitment grant program continues to be diversifying the ladder-rank faculty by implementing more equitable recruiting processes. The focus should remain on recruitment of Senate faculty, but the focus may include other faculty whose recruitment will have significant impact on the make-up of UC Faculty.

All units are asked to address how the COVID-19 pandemic and return to in-person operations may have altered the recruitment landscape, how the pandemic may have exacerbated existing inequities for minoritized faculty, and how these issues will be addressed.

- For those proposals focused on recruitments for 2022-23 and 2023-24, with possible funding up to $500K, the hiring plan should include the number of proposed hires; the number needs to be large enough that the interventions will have a notable effect on the composition of the hiring unit. The number of hires should also be proportional to the funding request. For example, if the unit is hiring only 2-3 new faculty, the request should be less than the full $500K. The proposal should provide clear evidence that the involved unit(s), including both faculty and leadership, is dedicated to the pilot and its proposed interventions; in other words, the pilot activities should not be imposed on a unit from the outside. Units are also encouraged to draw from successful interventions in prior funded pilots (see Appendix A).

- For those proposals focused on recruitment practices, with possible funding up to $150K, we are seeking research-based and imaginative focus on building new recruitment protocols for one or more campuses. We encourage campuses to partner with one another on such projects.
- Proposals for replication awards of up to $200k will implement and test the viability of a specific intervention in a different campus environment or setting. Projects seeking funding in this category must be able to articulate the viability of the project's success in their complete proposal. We encourage campuses to partner with one another on these projects, with particular attention being paid to working with the project that created a particular intervention being adopted in order to gain their insights as the replication proposal is being developed.

In all cases, the proposed project and research plan must be compliant with Proposition 209.

Eligibility and submission process.

A proposal may come from a department chair, dean, Executive Vice Chancellor/Provost, or other academic leader(s) depending on the scope of the proposal. The proposal may also come from multiple such academics with one designated as the project lead. We are also requiring a "sponsor" to ensure the campus is tracking the success of each project during the course of the award. The sponsor should be from a central campus office: a Chief Diversity Officer, a Vice Provost or Associate Vice Provost or the Executive Vice Chancellor/Provost.

Each campus may submit up to two proposals under this recruitment RFP.

Proposals must come to UCOP through each campus' Office of the Executive Vice Chancellor/Provost; partnership with the Chief Diversity Officer is encouraged. Each proposal must include an endorsement by the campus' Executive Vice Chancellor/Provost as well as each of the unit heads involved. Because UCOP seeks to fund a broad range of projects, final awards will take into consideration the distribution of awards among campuses as well as success of past awards.

Individual departments, colleges, or schools are appropriate as project units. Proposals that involve other units or multiple units must make a strong case that the units will work together well in a recruitment project. Multi-school proposals were funded in years 2 through 6, some involving four or more schools. Significantly more campus time and commitment was necessary to make these pilots successful, including significantly more time than anticipated on the part of project PIs; projects should plan accordingly. Each proposed project will need to describe the level of hiring planned for 2022-23 and 2023-24, and if the number of hires is limited, the proposing unit will need to make the case that the funding would be well spent on a small number of hires.

While it is likely most recruitment-focused proposals will come from a single campus, we encourage potential PIs to consider how a cross-campus pilot might allow for innovations in recruitment to serve the University in its efforts to recruit an excellent and diverse faculty.

Units that have received AFD Recruitment awards in prior years of the program are eligible to apply for a new award but must make a strong case that they should be prioritized for an additional award. Units that have received awards in prior years must discuss how their project meaningfully extends prior AFD-funded efforts on campus or explores a different approach from those efforts. Their proposal narratives must acknowledge both the successes and challenges of prior AFD Recruitment-funded efforts on campus.

Units applying for funding agree that they will provide updates and will attend community of practice convenings. Units also agree to necessary and timely reporting to UCOP over the life of the award. Thus,

units agree to a process by which they are accountable beyond the campus level. Units also agree to follow-up reporting on recruitment processes and outcomes one year and two years after the project funding has ended. The proposed interventions should be sustainable.

Guidelines for evaluation metrics.

The guiding principle of evaluating all Advancing Faculty Diversity grants is that the project must demonstrate a link between the sought-after outcome and the project budget. In other words, how will you know that the grant funds had an impact on recruitment outcomes? All proposals must include a section describing how each project intends to demonstrate its success. In the evaluation section of the proposal template, teams should outline how they plan to learn from the project in ways that can help inform future recruitment activities in other units within the UC system.

Use of the Search Committee Chair Survey.

Campuses with units awarded funding in 2022-23 will agree to begin or continue to use the Search Committee Chair Survey in UC Recruit for all ladder-rank hires. Analyses based on the survey have provided important information on search processes that may lead to more diverse hiring. The 2018 summary of research results of the pilot survey may be found here.

Proposals must be submitted to Vice Provost Susan Carlson at ADV-VPCARLSON-SA@ucop.edu no later than 5pm on Monday, May 16, 2022. Please cc Project Policy Analyst Janiene Thiong at Janiene.Thiong@ucop.edu and Director Patricia Osorio-O'Dea at Patricia.Osorio-Odea@ucop.edu. Please include the word "AFD" in the subject line of your email submission.

Appendix A: Proposal Template

Please follow this template as prepare your proposals for the 2022-23 AFD Recruitment program. Please be sure to read the detailed RFP guidelines above and directly address the requirements of each section in your proposal narrative. Total proposal length may not exceed fifteen (15) pages, excluding the abstract and letters of support. Page-length guidelines are offered for each section below to help you structure your proposal. Please contact Vice Provost Susan Carlson (Susan.Carlson@ucop.edu) or Patricia Osorio-O'Dea (Patricia.Osorio-Odea@ucop.edu) if you have any questions.

Contact information. Lead PI contact for campus pilot (name, title, email, phone); assistant to copy, if any.

Sponsor. Sponsor name and contact information (name, title, email, phone). The sponsor should be from a central campus office: a Chief Diversity Officer, a Vice Provost or Associate Vice Provost or the Executive Vice Chancellor and Provost.

Abstract (150 words)
Please describe your proposed project in 150 words or fewer. The abstract will be used as a summary of your project in announcements and program reports, should your project be funded.

Background/Overview (1-2 pages)
Please provide a high-level overview of the challenges faced by your campus, school, college or department(s) as they relate to the proposed AFD Recruitment project. Please include a statement of the problem, and a summary of how your request for funding addresses the issue.

For proposals focused on making hires in the 2022-23 and 2023-24 years, the overview should include information on the current demographics of the hiring units and how the proposed project will advance diversity, equity, and inclusion in the units.

For proposals focused on improving the recruitment process (through building new training or informational components; supporting research on recruitment at more than a single campus; or reimagining the recruitment process), the overview section should identify barriers within current recruitment processes and provide data and/or research relevant to the proposed project.

For replication projects, the proposal should include sufficient background and information on the previously funded intervention, including evidence of its success and how that success will be adapted to the campus unit.

Project Description (5 pages)
Please describe your project clearly and succinctly. Include a comprehensive description of the proposed program and provide relevant context about the unit. Include plans and best practices for increasing diversity that are currently in place in your unit as well as new proposed interventions for 2022-23 through 2023-24. What activities do you propose to carry out and what will be the major contributions to your campus, college, school or department(s)? Who will lead the project and why? What potential does your project have to be adopted beyond your proposed unit(s) and scaled across the campus and/or units on other campuses in the University of California system? If knowledge/interventions gained from any of the 27 previously funded pilot projects is adopted, it should be referenced. See Appendix A for a list of 2016-17 through 2021-22 project overviews and their interventions.

Include evidence of current commitment to enhance best practices in recruitment in the unit. Funded units are expected to continue current efforts while engaging in the new efforts supported by this program.

Evaluation (2 pages)
Please describe the ways in which you plan to measure implementation and evaluate the efficacy of your proposed project. You should demonstrate a clear link between your proposed activities and the evaluation metrics, requirements of which are described below.

> **Metrics for evaluation.** *Metrics will include recruitment outcomes (demographics among hires, offers, finalists, and candidate pool), with gathering of such metrics undertaken by UCOP through search data available in UC Recruit. Data from 2022-23 and 2023-24 will be compared to prior years and potentially to comparator units. The application may propose additional metrics that will document the project's success.*
>
> **Possible collaborations with prior pilot units from years 1-6.** *Please indicate any plans to work with other units on your campus or at other campuses to put in place effective evaluation plans or knowledge gained from years 1-6.*

Hiring Plan (1 page) (For projects engaged in new recruitments)
Please include a 2022-24 hiring plan (including planned number of searches) with a strong potential of enhancing faculty diversity through this infusion of one-time funding. Ideally, the focus will be on Senate faculty, given the potential for permanent additions to the faculty. In some units, particularly those in the health sciences, a focus on all Senate or clinical faculty maybe appropriate; in such cases, the proposal will need to clarify the lasting effect of the hiring planned beyond the ladder-ranks. In past cases, units proposed at least four ladder-rank hires during the program year, with some units hiring over 20 new faculty. Proposing units should consult with their campus Chief Diversity Officer or Academic Personnel Office to assure that the proposal and planned interventions (including payments that support faculty and other personnel working on the project) are compliant with academic personnel policy and Proposition 209.

Timeline (2 pages)
Please include a semester-by-semester or quarter-by-quarter timeline of implementation and evaluation activities, including key interim deadlines associated with the 2022-24 hiring plan. Please keep in mind that all funded projects will be required to present evidence of progress at the in-person convenings twice a year, and to submit periodic progress and budget updates to UCOP.

Budget (1 page plus budget template)
Please use the budget template below to describe the financial components of your proposal. Please note that after its review, the evaluation committee may ask you to revise and resubmit a modified budget proposal. In the narrative section of the template, please describe and justify each line item, being sure to draw a clear connection between your budget proposal and your proposed project activities. Proposals will provide detail for a budget up to $500,000 (for active recruitment projects) or $150,000 (for projects or research improving the recruitment process) to be committed before June 30, 2023 and expended no later than June 30, 2024. Proposals with a two-year timeline will need to specify the split in funding between the two years.

Pilot projects from the first six years of the AFD program included budgeted items such as search costs (advertising, recruitment at conference/meetings, outreach, additional campus visits, cost for partner to accompany candidate for return visit, etc.); funding for a post-doctoral training year for new faculty; start-up costs, including funding for contributions to diversity work; costs related to the establishment and testing of rubrics to guide decision-making during the search; support for partner hires or multiple hires from a single search; recruitment from the President's Postdoctoral Fellowship Program and/or Chancellors' Postdoctoral Fellowship Programs; symposia for junior scholars being recruited; professional development support for new faculty; equity advisor or search ambassador travel; and start-up funding for a new Diversity Leadership Institute. In years 1-6, much of the work undertaken by the pilot units—and essential to the success of the pilots—did not need funding but was essential to the success of the pilot. Such efforts included development of position descriptions that are welcoming to a broad range of candidates;

enhanced training and communications in the hiring units; a change in the evaluation protocol including earlier review of contributions to diversity statements; change in the composition of search committees, including graduate students and faculty from outside the hiring unit; and mentoring teams. Partial funding for staff should be no more than a minor part of any budget proposal. Funding for PIs should be carefully considered, and no more than 20% of the total project budget being allocated for course buyouts or other funds for project PIs.

Evidence of Campus Commitment (1page maximum for narrative, support letters may be attached beyond the 15-page limit, limited to a total of 5 letters)

Please use this space to describe your unit(s)' commitment to achieving the goals of your AFD proposal beyond the scope of your project. This evidence could include a commitment by your campus leadership to provide matching funds, course releases, or dedicated staff allocations, but must include, at minimum, an endorsement letter from the academic dean (for department level projects) or campus executive vice chancellor/provost (for campus level projects). This commitment from leadership may be supported with evidence of commitment from the Chief Diversity Officer and the faculty (and department chairs, if relevant) in the unit.

2022-23 and 2023-24 AFD – Recruitment Budget Template

	Cost Element	***Explanation***	***Year 1***	***Year 2***	***Total Amount***
1.	*Outreach and Advertising*				
	a)				
	b)				
	c)				
	Sub Total				
2.	*Campus Visits and Interviewing*				
	a)				
	b)				
	c)				
	Sub Total				
3.	*Start-up Costs*				
	a)				
	b)				
	c)				
	Sub Total				
4.	*Personnel Costs*				
	a)				
	b)				
	c)				
	Sub Total				
5.	*Other*				
	a)				
	b)				
	c)				
	Sub Total				
	TOTAL				

Appendix B: Years 1-6 AFD Faculty Recruitment Pilot Projects

Year 6: 2021-22 Projects

*UC Berkeley: Advancing Faculty Diversity in the Social Sciences; $497,475**

The Advancing Faculty Diversity in the Social Sciences Program is focused on three broad areas of faculty hiring for the 2021-22 and 2022-23 academic years: 1) outreach efforts, 2) search processes, and 3) faculty support and professional development. With the demonstrated commitment from campus and divisional leadership, the Social Sciences Division will combine best practices already promoted on campus with interventions piloted by previous successful AFD projects at UC Berkeley. The project will implement interventions aimed at identifying emerging scholars in priority areas as well as expanding search practices to prioritize diversity, equity, inclusion, and belonging (DEIB) at all stages of the search and recruitment process. It will also initiate a new divisional mentorship program focused on community building, professional development, and mentorship around DEIB work, and will create a startup funding program for faculty to undertake DEIB projects in research, teaching, and service.

UC Davis: Fostering crucial conversations and building opportune consensus on the use of contributions to diversity, equity, and inclusion statements for faculty recruitment, $135,000

This project proposes to conduct an exhaustive study into the use of Statements of Contributions to Diversity, Equity, and Inclusion in recruitment through research into how they are employed and valued at UC campuses and other universities. UC Davis has recognized potential value in a previous AFD grant, which provoked some Senate faculty to protest mandatory inclusion of these statements in faculty applications. After completing the research, which will include studying hundreds of public comments Senate members provided opposing and supporting the statements, project leaders will develop two "industrial films" – one using professional actors discussing use of the statements in the context of recruitment committees reviewing applications, and a documentary facilitated by an experienced DEI facilitator and screenwriter to gain student perspectives on their lived experiences and focusing on their engagement with faculty. These will be provided to future recruitment committees at UC Davis and other UC campuses as a hiring resource.

UC Riverside: Advancing Faculty Diversity and Epistemologies in Black Study, Health & Environmental Inequities, $496,570

This project proposes a multidisciplinary cluster hire to promote inclusion of Black Study faculty at UCR and to advance Afro diasporic epistemologies in the study of health and environmental inequities. The interconnected long-term forms of inequality made evident by the COVID-19 pandemic, climate crisis, and racialized state violence render urgent this proposed cluster hire. This interdisciplinary collaboration engages the various facets of anti-blackness and the overlapping mutual ability to respond to these contemporary challenges. Building on earlier related efforts to support faculty retention, this cluster hire will support (a) two existing departments (Political Science; Religious Studies) and (b) exciting initiatives working to form two new departments – The Department of Black Study (DBS) and The Department of Environment, Sustainability, and Health Equity (ESHQ). The proposed cluster hire will promote interdisciplinary collaboration in developing new curriculum, advancing creative and community-engaged activities, and promoting hiring and retention of Black Study faculty.

UC Riverside: Advancing Faculty Diversity at the UC Riverside School of Business, $500,000

This project proposes to build upon successful aspects of previous Advancing Faculty Diversity (AFD) initiatives at UC Riverside and expand them in new directions. First, the project will implement an innovative recruiting method by targeting specific areas of research (in business) that are more likely to attract scholars that advance diversity, equity, and inclusion in their research areas (e.g., research on pay gap and on minority-owned businesses). Second, the project will expand the search for scholars from related fields (e.g., psychology, sociology) that have a more diverse pool of candidates. Third, the project will follow the spirit of Senate Bill 979 that requires publicly held corporations in California to diversify their boards of directors by 2023 by appointing search committees that strive to have 50% of their members being under-represented groups (URG) and underrepresented minority (URM) faculty.1 Finally, the project will make the new positions attractive by not only providing incentives, but also emphasizing the important opportunities the new hires will have in making a difference in the life of diverse students.

*UC San Diego: Transforming UC San Diego from an emerging HSI to an HSRI through a LatinX cluster hire initiative; $498,600**

The UC San Diego Latinx Cluster Hire Initiative (LCHI) leverages a strong campus commitment to diversifying the faculty while simultaneously working to fulfill our student-centered mission. As an Emerging Hispanic Serving Institution, UC San Diego is uniquely positioned to transform into an HSRI and STEM HSI with the support of leadership and commitment to meeting the curricular, co-curricular, and cultural needs of Latinx, URM and increasingly first-generation students. The LCHI proposes to hire up to fourteen faculty whose research and pedagogical focus on issues affecting and of interest to Chicanx/Latinx students. Moreover, it would leverage the Chicanx/Latinx Studies and Latin American Studies programs, strong EDI initiatives underway and the expertise of campus Faculty Equity Advisors. A robust hiring initiative across four divisions and nine academic departments that serve a critical mass of Latinx students will serve as a catalyst for UC San Diego becoming a Latinx serving and responsive institution.

UC Santa Barbara: A multi-tiered approach to recruiting and maintaining a diverse faculty in Psychological & Brain Science, $369,918

The Psychological & Brain Sciences Department has a unique opportunity to advance faculty diversity in the next two years and set themselves up for continued progress for several years. This project outlines three interconnected plans to achieve its goals: aggressive and opportunistic recruitment, priming the pipeline, and enhanced mentorship and retention strategies. The first prong of the recruitment plan is aimed at maximizing inclusion in upcoming searches and aggressively recruiting diverse candidates to campus. The second prong of the recruitment strategy is to leverage the UC Presidential Postdoctoral Fellowship Program for potential target of opportunity hires. The priming the pipeline plan is aimed at expanding the cohort of postdoctoral students and exposure to diverse senior academics, with the expectation that these scholars will be candidates for future positions. Finally, the enhanced mentorship and retention plan is aimed at maximizing recruitment by supporting the career trajectories of new colleagues.

*UC Santa Barbara: Building the Pipeline for African American Faculty whose Research is Centered on Ameliorating the Disparately Negative Health Effects of Racial Trauma in Black Communities, $295,246**

This project includes a comprehensive plan to recruit and hire two new professors whose research contributes to DEI, and specifically racial trauma in Black communities, in the Gevirtz Graduate School

of Education CCSP Department. This plan is contextualized in the recent establishment of the Healing Space, a clinical research hub for racial trauma, and the hiring of two African American Teaching Assistant Professors in 2020. In this project, CCSP aims to:

- Year 1- leverage campus and community partnerships to develop a mentoring network for Black scholars in CCSP and across campus, including graduate students;
- Year 2- hire two Assistant Professors researching interventions for racial trauma. CCSP will build on synergy that exists between the Healing Space and the growing diversity of graduate students and faculty to build a mentoring network that supports the socioemotional and research needs of Black scholars, making UCSB a destination for health disparities research and training.

*Note that in FY2021-22, additional funds were awarded to selected recruitment projects for supplemental start-up funding. A total of $40,000 per campus were awarded through an additional application process. Funded projects are noted with an *.

Year 5: 2020-21 Projects

*UCLA: Advancing Faculty Diversity Recruitment Proposal UCLA – Mentor Professor Program, $460,000**

The UCLA Division of Life Sciences has experimented with a Mentor-Professor Program (MPP) for eight years to promote equity, diversity, and inclusion across its multiple departments covering biological and psychological disciplines. The MPP has been effective in its goal to recruit outstanding scientists with a history of mentoring under-represented groups (URGs) in the sciences and successful in enhancing UCLA's faculty diversity. However, project PIs identified an important, unmet need to recruit senior scientists who have experience mentoring graduate students, post-docs, and early career scientists from URGs. The Division is conducting two high impact senior-level searches in 2020-21—one division-wide and one departmental within psychology. In addition to assessing carefully the parallel search processes, the project will analyze retrospectively the eight years of MPP experience to draw out lessons and design strategies. UCLA will produce a final report that consolidates all recommendations for UC campuses that seek to utilize mentor-professor recruitments.

UC Merced: DEI Excellence and Hiring a Diverse Faculty at UC Santa Cruz and UC Merced: DEI Faculty Working Group and "First Round" Diversity and Research Statement, $489,000

UC Merced is collaborating with UC Santa Cruz to develop and implement two new initiatives aimed at Advancing Faculty Diversity in Recruitment: 1) A new DEI Faculty Working Group, and 2) The Use of Contributions to Diversity (C2DEI) and Research Statements for "first round" screening in hiring. The goal of the multi-campus DEI Faculty Working Group is to build capacity for diversity, equity, and inclusion workshops at our respective campuses. The DEI Working Group will increase faculty knowledge and implementation of best practices in DEI processes related to recruitment and hiring. In partnership with UC Santa Cruz, UC Merced will launch an "opt-in" pilot for faculty searches using C2DEI and research statements for first round screening. The collaboration on these two initiatives will improve diversity, equity, and inclusion in faculty recruitment and hiring, and will also foster collaboration and networking opportunities between faculty invested and committed to DEI at UC Merced and UC Santa Cruz.

*UC San Diego: Advancing Diverse Faculty, Curricula and Research through a Cluster Hire at UC San Diego $493,000.**

Leveraging its institutional strengths, student needs, and opportunities to diversify faculty, research and curriculum at the intersection of the social sciences and STEM, UC San Diego is conducting a multidisciplinary cluster hire of up to ten faculty whose research is focused on racial/ethnic disparities in health, medicine, and the environment. The new faculty will be located in the Physical Sciences, Biological Sciences, Skaggs School of Pharmacy and Pharmaceutical Sciences, the Scripps Institute of Oceanography, and the new Wertheim School of Public Health, and would contribute a significant focus on African American communities and the Black Diaspora. The cluster would serve three purposes: 1) to increase faculty diversity; 2) to advance research on and for communities of color; and 3) to diversify curriculum in STEM affiliated with the DEI course requirement and African American Studies Minor. At the height of the COVID-19 pandemic where we are witnessing social disparities translate into disparate health outcomes, this innovative proposal is both timely and globally relevant.

UC Santa Cruz: Institutionalization of Inclusive Hiring Best Practices, $135,000

UC Santa Cruz is building on its Year 4 project in close collaboration with UC Merced. The project will establish faculty workgroups at each campus to work together in learning from the research literature, disseminating best practices to the campus, developing rubrics, and developing training materials. As part of this joint project, UC Santa Cruz will also provide guidance to UC Merced in launching an "opt-in" pilot for faculty searches using C2DEI and research statements for first round screening.

Year 4: 2019-20 Projects

UC Davis: The UC Davis Pilot Study to Prioritize Academic Excellence in Research and Contributions to Diversity, Equity, and Inclusion / Phase 2: Institutionalization. $500,000

This proposal builds on UC Davis's 2018-19 grant, which demonstrated that a structured and deliberative approach to using contributions to diversity statements together with conventional selection criteria leads to a pool of candidates, and ultimately faculty hires, that will have the largest impact on equity and inclusion for the campus's diverse student body. Having demonstrated this through their 2018-19 pilot study of eight new faculty searches, the 2019-20 project will test and institutionalize their findings through approved searches planned for the 2019-20 academic year.

UC Irvine: Advancing Faculty Diversity. $500,000

Building on past successes at UC Irvine, this proposal is aimed at a particularly stubborn problem: the core Physical Sciences. It includes three main elements: using innovative targeted outreach to create a particularly diverse applicant pool; implementing inventive techniques to reduce implicit bias in choosing candidates, such as blind (redacted) searches; and improving yield-on-offers by individualizing startup packages with tools such as teaching release, family-friendly support, and mechanisms for partner hires. Over two years, the school expects 13 searches.

UC Irvine: Piloting Chancellor's Inclusive Excellence Awards at the University of California, Irvine. $482,000

UC Irvine's Chancellor's Inclusive Excellence Awards program will use evidence-based practices to distribute up to 10 Chancellor's awards to newly hired tenured (5) and tenure-track (5) faculty in both academic and professional schools. Pilot awardees will serve for two years, receiving a minimum $50,000

budget for scholarship related to inclusive excellence, and travel support of up to $5,000. These funds will incentivize yield of these faculty members, and support scholarship aligned with the UCI strategic plan, particularly in the areas of building capacities through growth that makes a difference, developing a student experience that is first in class, and engaging with community members as partners. This pilot resonates with evidence that campus resources and commitments to reward distinguished scholarship in inclusive excellence fosters faculty inclusion and satisfaction. It also addresses tenure-track faculty's need for scholarship resources and clear supports for mid-career reviews. The cohort of 10 awardees will not only deepen faculty leadership in campus strategic areas, but will also generate critical momentum for a $10M campaign to endow the program.

UC Riverside: Advancing Faculty Diversity in the Physical Sciences. $500,000

This project broadens application of previous successful interventions at UC Riverside to include the departments of Physics and Astronomy and Chemistry, while also adding an important new feature—the recruitment of two mid-level faculty, one in each department—to be Provost's Professors for Advancing the Physical Sciences. Each department will recruit one junior and one mid-level faculty member using best practices identified from previous years of the Advancing Faculty Diversity program, including targeted recruitment, the use of contributions to diversity statements and rubrics, and the offer of an enrichment year and mentors for junior faculty recruits. The mid-level faculty will be recruited at the tenured level, with the intention of forming a nidus of faculty members throughout the college aimed at increasing faculty diversity. These faculty members will be offered the termed, but renewable, title of Provost's Professor for Advancing the Physical Sciences, and will work within the departments and with the Dean to advance faculty diversity within the College of Natural and Agricultural Sciences

UC Santa Cruz: Improving Application Diversity and Impact of Contributions to Diversity. $497,000

UC Santa Cruz will introduce the first-line use of contributions to diversity, equity, and inclusion statements for departmental searches in Arts and Engineering and for a cluster hire of four faculty members in a new program in Global and Community Health in the divisions of Physical and Biological Sciences and Social Sciences. Selection committees will use rubrics to assess the statements. The use of contributions to diversity statements and rubrics in the initial screening of applicants builds on successful interventions used at UC Berkeley and UC Davis during year 3 of the Advancing Faculty Diversity project and represents a significant change for UC Santa Cruz.

Year 3: 2018-19 Projects

UC Berkeley: Initiative to Advance Faculty Diversity, Equity and Inclusion in the Life Sciences. $500,000

With strong commitment by campus leadership, this unique program is a cross-divisional collaboration to advance faculty diversity in the life sciences. This program centers on four broad categories: building a critical mass; strengthening applicant pools; improving candidate evaluation processes; and institutional change. The interventions will include the allocation of FTE across the life sciences; a centralized cross-department review committee; winter seminar series with participants from the President's Postdoctoral Fellowship Program (PPFP), Chancellor's Postdoctoral Fellowship Program (CPFP), and other institutions; faculty search ads; targeted, personal outreach using a database of promising candidates; rubrics for evaluating contributions to diversity statements; search committee training; valuing contributions to diversity, equity, and inclusion alongside contributions in research, teaching, and service; Council of Life Sciences Faculty to provide ongoing program development; diversity, equity, and inclusion retreat; a cohort mentoring program; and additions to start-up packages for equity and inclusion programs.

UC Davis: A UC Davis Pilot Study in Centrally Co-led Open Searches to Prioritize Academic and Educational Excellence. $422,347

This project centers on taking proven best practices for a diverse and inclusive recruitment process, and applying them to "open searches" directly by coordinating them through the central Office of Academic Affairs, in collaboration with the deans' offices of participating schools and colleges. Open searches will be college or school-wide, without specification of a specific discipline or department, provided that an applicant's area of expertise falls within a discipline embodied in the academic unit. The interventions will strategically utilize college-level or school-level open searches to obtain highly diverse pools of applicants by leveraging diversity hiring incentives and investment through PPFP/CPFP, Center for the Advancement of Multicultural Perspectives on Science (CAMPOS), and the Mentored Clinical Research Training Program; successful candidates must have demonstrated significant commitments to diversity, equity, and/or inclusion. Other interventions include search committee training; broad advertising; utilization of data-driven recommendations; targeted outreach; a new faculty support program to provide dual career support and family integration resources; a mentoring committee; enrollment in the National Center for Faculty Development and Diversity; assignment of a faculty peer; and graduate student support. Senior leadership and deans express strong support for the program.

UC Merced: Pathways to the Professoriate. Advancing Faculty Diversity in the Schools of Natural Sciences and Engineering at UC Merced. $498,052

This project centers on leveraging PPFP and CPFP; a new "Two Offers from One Search" Program; and the development of a Leadership Council Pilot Program to oversee these searches. The interventions will leverage PPFP and CPFP; the faculty equity advisor program; best practices in recruitment and hiring, including implicit bias training and diversity statements; the National Center for Faculty Diversity and Development Program; and Accountability and Mentoring Programs. The project will also enhance mentoring and faculty success training for new hires, including teaching mentoring. Leadership will take an active role in recruitment and hiring through the formation of a Leadership Council pilot program.

UC Riverside: Advancing Mathematics Faculty Diversity at the University of California, Riverside. $500,000

This project builds on successful aspects of previous Advancing Faculty Diversity initiatives and enhances prior programs in significant ways. As a pilot unit in the first year of this initiative, UCR initiated a highly successful Provost's Diversity in Engineering Fellows program. The current interventions build on the first year program elements of attractive, targeted advertisements; use of the Statement of Contributions to Diversity as an initial rather than later selection criterion; a boost to the candidate's research career through an additional year of funded research training anywhere in the U.S. while having a tenure track position secured; and support and mentoring throughout from their UCR base. The Mathematics project will also use the tools afforded by applying through UC Recruit rather than MathJobs, making a significant difference to the ability to monitor and boost development of a diverse pool of applicants; host a symposium early in the Fall quarter to showcase both the diversity of the campus and the quality of the Mathematics Department to attract more applications from prospective URM faculty; and implement specific mentoring to develop skills for teaching mathematics to first generation students. There is a strong commitment by the leadership to support the project.

Year 2: 2017-18 Projects

UC Berkeley: Advancing Faculty Diversity in Berkeley Engineering. $500,000

With strong commitment by the leadership and plans for substantial hiring in 2017-18, this project focused on four broad categories: increasing the diversity of applicant pools; emphasizing and requiring contributions to equity and inclusion; improving evaluation and reducing bias; and increasing the 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 project implemented 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 included 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, increased 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. $450,000

In addition to extending best practices in use at UCI, this project piloted a locally funded Provost Hiring Incentive to recruit former postdoctoral scholars associated with the system-wide University of California President's Postdoctoral Fellowship Program (PPFP) and the campus-level partner Chancellor's Postdoctoral Fellowship programs (CPF). The project supported the transitions of postdoctoral scholars into faculty positions through a concierge strategy that consisted 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 pilot unit 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. $450,000

With the recruitment of new Deans in the School of Nursing and School of Dentistry, there was significant hiring of ladder-rank faculty in the biomedical sciences in 2017-18. For optimal impact on these recruitments, this project included a search oversight committee and active and targeted outreach through search ambassadors; the project also leveraged the existing mentoring program, required diversity statements, and allocated recruitment funds to faculty who will contribute significantly to diversity and inclusion. The Executive Vice Chancellor and Provost provided matching funds for the recruitment of the faculty.

UC Santa Barbara: Enhancing Faculty Diversity at UC Santa Barbara, Department of Economics. $500,000

The Department of Economics prepared a comprehensive plan that builds on a cluster hire approach to construct a strategic initiative that focused 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 project was the adaptation of a successful intervention from year one of the Advancing Faculty Diversity program with the creation of a postdoctoral fellowship 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.

Year 1: 2016-17 Projects

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 project 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 project 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 project 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 project 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 project 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.

Appendix C: Proposal Review Criteria

Proposals will be reviewed and rated by a Review Committee at UCOP, including Academic Senate representation. Recommendations for funding will be made to the UC Provost and Executive Vice President. Criteria for review will be as follows:

- Well-conceived plan for project with good chance to succeed. This includes recognition that the program interventions will be in the 2022-23 and 2023-24 academic year.
- Project unit has demonstrated its readiness to undertake interventions to enhance opportunities to hire more diverse faculty.
- Has addressed recruitment challenges connected with COVID-19 pandemic and subsequent return to in-person operations.
- Workable plan for enhancing best practices with new proposed interventions.
- Adaptation of successful interventions from year 1-6 pilot units.
- Potential for replication on another campus or in another campus unit on your campus.
- Evidence of commitment to advance faculty diversity in unit and on campus.
- Evidence of commitment to advance faculty diversity from unit leader and campus leadership.
- Workable metrics to evaluate success of project.
- Project timeline is reasonable, activities are well scoped and achievable given the timeline.
- Proposed budget is within the total limits and commensurate with proposed activities.
- Priority will go to proposals the greatest likelihood of being able to achieve results.
- Evidence that unit(s) are committed to long-term efforts once the funding is expended.

Advancing Faculty Diversity through Improved Climate and Retention:
Request for Proposals (RFP) for 2022-2023

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Goals of the 2022-2023 RFP

UCOP is pleased to issue this Request for Proposals (RFP) to determine the allocation of Advancing Faculty Diversity (AFD) Improved Climate and Retention funds for 2022-23. This is consistent with University of California Regents Policy 4400, which reaffirms the University's commitment to "supporting diversity and equal opportunity in its education, services, and administration, as well as research and creative activity," and builds on the progress made in the last four years (2018-19 through 2021-22) of AFD grants on improved academic climate and retention. The goal of the AFD Improved Climate and Retention program is to support campus efforts to improve the retention of underrepresented and women faculty and to build inclusive and innovative academic units where diverse faculty can thrive.

Pre-award forums

UCOP will host two pre-award online forums for those interested in developing a project proposal, either as a single campus or in partnership with another campus or campuses. These online forums will be held on Friday, April 1, 2022 from 9:00-10:00am and Thursday, April 7, 2022 from 1:00-2:00pm. Those interested in attending may RSVP at Janiene.Thiong@ucop.edu. Additional details, including Zoom meeting information, will be available closer to those dates. These forums will be an opportunity for UCOP to address questions from potential applicants and to bring possible collaborators together. Attendance is not required in order to submit a proposal. Note that the same content will be delivered at each forum.

The nature of the problem

The UC retention gap.

Emerging from a series of 2019 visits to UC campuses by Vice Provost Susan Carlson, Vice Provost and Vice President Yvette Gullatt, and President's Postdoctoral Fellowship Program (PPFP) Director Mark Lawson, a key unanswered question: *What is preventing a department or campus from having an equitable environment for all faculty, where each faculty member has a sense of belonging, and how do we fix it?*

The 2019 campus visits highlighted the widespread perception that the University of California faces an urgent need to develop successful practices and standards for improving academic climate and a sense of belonging in many units and for improving retention of faculty from historically underrepresented communities. In 2022, we know the issues are more urgent than ever, as we recognize the devastating effect the ongoing COVID-19 pandemic has had on faculty careers, especially those hit hard by the pandemic: those with dependent care responsibilities, those with minoritized identities, and those in the early stages of their faculty careers. The latest research also notes that women bear the burden of taking on significantly more emotional labor, both at home and in the workplace. It has become quite apparent that the pandemic will have long-standing effects that will need to be addressed on campuses that have returned to full(or nearly full) in-person operations or are working in a hybrid environment, and the need to toggle back and forth between the two modes of teaching and conducting their research on campus.

Linking retention and climate.

Scholars both within and outside the UC system who study faculty departure have found that workplace climate plays a significant role in minority faculty departure. O'Meara and colleagues (2014), for example,

conducted a case study trying to understand the explanations given for early-career faculty departure at an unnamed public research university. They found that rather than better academic opportunities, departing faculty cited "problematic work environments" relating to departmental interactions, work-life climate, reward system priorities, lack of leadership opportunities, and discrimination as primary drivers of their departure (O'Meara et al., 2014, p. 620). However, the authors noted that typical explanations given by administrators for faculty departure, such as a higher salary or resources or a more prestigious department, served to "absolve the university and administrators of any responsibility for faculty departure" (2014, p. 604).

Jayakumar and colleagues (2009) studied the drivers of intent to leave for faculty of color based on a survey of teaching faculty across 416 colleges and universities. They found that faculty of color who perceived a hostile racial climate were more likely to intend to leave their institution compared to those who perceived a moderate or benign racial climate (Jayakumar et al., 2009, p. 549). They suggest that "faculty of color encounter a different set of experiences than their White counterparts in the academy," including being subjected to racist ideologies and racial discrimination (p. 540), which can lead to dissatisfaction and ultimately departure. They note in their findings that because White faculty benefit from default institutional climates, hostile racial climates can be created within institutions even without malicious intent (p. 555).

Other research suggests that intent to leave is not the only outcome of hostile racial climates. Griffin and colleagues suggest that "simply examining patterns of institutional departure as an indicator of hostile campus climate" is insufficient (2011, p. 497). Their study of 28 black professors employed at two large public research universities found that faculty reactions to challenging institutional climates include acts of *psychological departure* such as seeking "home places" outside of their academic departments, as well as acts of *critical agency* such as service activities and mentoring related to students and fellow faculty of color, despite such work drawing time away from productive research.

The research conducted by these scholars, while not specific to the UC context, support the general premise that improving workplace climate for faculty from historically underrepresented minority communities is an important lever in improving retention outcomes. However, institutional climates are complex and multifaceted and span research, teaching, and service work; mentoring; and day-to-day departmental interactions, among many others.

The 2019 campus visits unearthed numerous other aspects of working climate particular to the UC system that speak to the themes above and are a cause for concern among the UC community. These include addressing the "invisible labor" of service work performed by minority faculty; developing a critical consciousness among majority faculty to create and support healthy, productive academic climates; the need for epistemological inclusion of efforts in diversity, equity, and inclusion in the University's intellectual work; and the need to revisit advancement and merit review procedures.

In preparation for the 2022-23 RFP, UCOP sought feedback from various constituencies for prioritizing this year's AFD awards, including Academic Senate systemwide committees, and other systemwide administrators that include Executive Vice Chancellors/Provosts, Chief Diversity Officers, and Vice Provosts/Vice Chancellors for Academic Personnel. Among the issues they would like to see addressed in this year's grant projects are the following: issues affecting faculty due to the ongoing COVID-19 pandemic, including projects that highlight and make invisible service work more visible, recognizing that women and faculty of color are more likely to engage in this work, particularly during the COVID-19

pandemic (for additional information, please refer to Academic Senate letter regarding mitigating COVID-19 impacts on faculty); anti-racism efforts aligned with the University's focus on combating ongoing structural racism; additional emphasis on retention efforts; enhanced emphasis on "belonging" that goes beyond diversity, equity, and inclusion; replication projects built on previously funded AFD Improved Climate and Retention interventions; support for external grant fundraising support mechanisms in order to promote ongoing climate and retention efforts; and, proposals that build on existing campus SEA Change efforts. Additionally, projects that span multiple campuses remain a priority.

The 2022-23 AFD Improved Climate and Retention Grant Program

Building communities, finding solutions.

This will be the fourth year of Improved Climate and Retention awards through the Advancing Faculty Diversity program, representing another year with the backdrop of the COVID-19 pandemic. Since the beginning of the COVID-19 pandemic in early 2020, Advancing Faculty Diversity projects have faced significant challenges, leading to adjustments to planned interventions and timelines. The pandemic has increased isolation among faculty, additional competing demands associated with stay-at-home orders (such as caring for children unable to attend school in person), more invisible labor, particularly for minoritized faculty, and lack of access to resources necessary for productivity.

As noted in Malish, et.al. (2020), the pandemic's impact on academia has led to increased gender and racial disparities in teaching and service since instructors must attend to students during these highly stressful times. This result is further exacerbating already existing gender inequalities in student mentoring. Also, faculty of color have been called on to sustain an inclusive student community at their institutions. These are forms of invisible and underappreciated labor that can carry a high toll on faculty. Women caregivers have reported much higher levels of stress during the pandemic relative to men and non-caregivers, with women of color, people with disabilities, and LGBTQ+ individuals reporting even greater stress levels. Unfortunately, when faced with decisions with these responsibilities, the faculty find that their research takes the hit. During the pandemic, women's research and publishing output has diminished while men's has seen relative gains. (DeGruyter 2020: 13).

AFD projects were also deeply affected by the nation's attention to racial justice in the wake of the murder of George Floyd on May 25, 2020, which sparked widespread outrage at the continuing murder of Black Americans by the police, and led to ongoing large, nationwide protests and worldwide marches against police brutality and systemic racism.

While the AFD program continued its work within this context, it is important to note that the period since March 2020 has been traumatic. Campus climate and faculty and staff morale have been profoundly impacted, and projects designed to improve campus climate and faculty retention have had to adapt and change, particularly as campuses transitioned back to in-person operations. All of these events and changes have profoundly affected the campuses, faculty, staff and students. Such events and conditions have set the stage for the 2022-23 AFD Improved Climate and Retention RFP.

In the 28 projects funded to date, campuses have proposed a variety of innovative approaches to improve campus climate and retention for faculty members, with a focus on those from historically underrepresented backgrounds. These projects have included workshops, anti-bias training, and symposia

on equity, diversity, and inclusion; cross-division and network mentoring programs; building allyship among faculty members holding non-minoritized identities; addressing inequitable service loads; using faculty experts to be a resource to early-career faculty; building faculty learning communities focused on teaching first-gen students; designing EDI scorecards for department accountability; designing a Faculty Leaders Peer Mediation program; developing writing communities to foster growth and leadership development in a "third space" for faculty; and researching issues of transformative leadership and campus-based micro histories. Appendix B summarizes the major components of all twenty-eight climate and retention projects funded in 2018-19, 2019-20, 2020-21, and 2021-22.

Building on the enthusiasm and momentum generated by the pilot projects in these four cycles, UCOP seeks to use the 2022-23 AFD Improved Climate and Retention grants to continue building a networked systemwide community focused on campus climate and retention (Russell et al., 2017). This RFP will continue providing requesting teams flexibility in proposing multi-division, multi-campus projects, and to broaden the range of projects and applicants. The funding term for awards will be up to three years, with a maximum of $250,000 available when there is multi-campus collaboration. Single campus awards may be up to $175,000 for intervention projects. Research projects without other components will be funded up to $100K. This year single-campus awards will be available for replication grants of up to $100K and for external grant fundraising projects of up to $50K.

The sections below serve as application instructions for the 2022-23 AFD Climate and Retention RFP. Please read through these instructions carefully as you prepare your proposal using the attached proposal template included in Appendix A.

Eligibility and submission process.

A proposal may come from a department chair, dean, Executive Vice Chancellor/Provost, faculty member (for research proposals), or other academic leader depending on the scope of the proposal. The proposal may also come from multiple such academics with one designated as the lead PI. Each campus may submit up to two proposals under this RFP. A joint proposal with another campus counts as one of these proposals for each campus involved. Each proposal will also have a Sponsor from a central campus unit (the Chief Diversity Officer, a Vice Provost or Associate Vice Provost, or an Executive Vice Chancellor/Provost).

Proposals must be submitted to UCOP through each campus' Office of the Executive Vice Chancellor/Provost. Consultation and partnership with the Chief Diversity Officer is encouraged. Proposals that span multiple campuses must designate a "lead" campus to serve as the point of contact with UCOP; however, each campus must include an endorsement by the campus' Executive Vice Chancellor/Provost (EVC/P) as well as each of the unit heads involved. Because UCOP seeks to fund a broad range of projects, final awards will take into consideration the distribution of awards among campuses.

Proposals must be submitted to Vice Provost Susan Carlson at ADV-VPCARLSON-SA@ucop.edu no later than 5pm on Monday, May 16, 2022. Please cc Project Policy Analyst Janiene Thiong at Janiene.Thiong@ucop.edu and Director Patricia Osorio-O'Dea at Patricia.Osorio-Odea@ucop.edu. Please include the word "AFD" in the subject line of your email submission.

Types of projects considered.

The 2021-22 AFD Improved Climate and Retention grant program invites proposals that address our retention and improved climate goals. We believe most proposals will include interventions into current practices and culture; the building of new data capacity; and/or original research. We describe such efforts below, but PIs should feel free to include any combination of these approaches that allows them to address issues. As noted above, multi-campus projects may request up to $250K; single campus efforts may request up to $175K; and research only projects may request up to $100K. Projects may request up to $50K for external grant fundraising support.

This year, priority will be given to projects specifically aimed at responding to COVID-19 issues that have affected faculty, including issues associated with the return to in-person operations, and those projects addressing issues of racial justice through proposed interventions. All proposals may propose budgets for up to three years.

Teams may propose projects at the department, school/division/college, campus, or multi-campus/multi-department level. We expect proposals that involve collaborations across multiple departments or campuses will request amounts closer to the maximum threshold, and, when quality is equal, will be given preference over single-unit projects.

Each proposal may focus on ladder-rank faculty or all Senate faculty; in either case, the proposal must provide a compelling rationale for the choice of target population. Graduate students, postdoctoral scholars, and other academic appointees such as Professors of Teaching make important contributions to UC's research, teaching and service missions, and may be a part of any proposed project, but the core purpose of the AFD initiative is to improve climate, retention and belonging outcomes for Senate faculty members from historically minoritized communities.

Proposals submitted by departments or campuses that have previously applied for funding under the AFD initiative must include a discussion of how their project meaningfully extends prior AFD-funded efforts on campus or explores a different approach from those efforts. We do not require that projects build on prior efforts—projects that differ in approach from prior efforts, as well as those that try innovative approaches to improving the working climate for faculty holding minoritized identities, are encouraged. However, proposal narratives must acknowledge both the successes and challenges of prior efforts on campus, particularly if those efforts were funded through an Advancing Faculty Diversity grant. Please refer to Appendix B for a list of past retention and climate awards.

UCOP will coordinate two yearly convenings for all project teams funded through the AFD initiative to share progress, report on successes and challenges, and build a community of practice for faculty climate and retention work across campuses. Key project team members, including PIs/project leaders, must commit to attending these convenings.

Interventions. Intervention grants can either take the form of pilot projects, scaling up established interventions, or replication projects. Multi-department, multi-campus initiatives are particularly encouraged and, when the quality of the proposals is equal, will be given preference for funding. Proposals should discuss in their narratives how the proposed intervention will modify the inequitable institutional

structures, policies, and practices that lead to inequitable working climates for faculty members holding minoritized identities.

Pilot projects. Teams submitting proposals may choose to pilot-test an innovative intervention that shows promise to improve climate and retention outcomes for faculty who hold minoritized identities. These projects must draw from a research-informed conceptual framework that clearly links the intervention to the specific challenges faced by the proposing unit(s) or campus(es), an implementation plan and scope appropriate for a project of up to three years, and a plan to evaluate the effectiveness of the intervention on improving climate and/or retention. Pilot project proposals should also discuss the potential to scale the proposed intervention beyond the pilot unit(s).

Scale-up projects. Teams submitting proposals aiming to scale up established interventions must also draw from a research-informed conceptual framework, clearly link their intervention to the specific problem they are trying to solve, include (if applicable) a review of the research literature demonstrating efficacy of the proposed practice, and outline a plan to address any known limitations of the proposed intervention. Scale-up proposals must also include a robust plan to evaluate the effectiveness of their proposed intervention on improving climate and/or retention and belonging. Project proposals may be grounded in the research literature summarized in Appendix D or may draw from a framework of the PIs' own choice. Proposals are especially encouraged from teams wishing to scale proven interventions across multiple departments or campuses.

Teams may also propose a replication project that will replicate previously tested, successful interventions on a smaller scale. AFD will offer support for smaller replication awards to single campus projects to support implementation of a successful intervention previously funded in years 1-4 on a new campus or unit within a campus. Unlike scale-up projects these new replication awards will test the viability of a specific intervention in a different unit or campus environment.

In addition to the other requirements outlined above, the proposal must also include background and rationale for why the selected intervention was chosen, linking it back to the original project to which the proposal is linked.

Data capacity. AFD will fund projects that aim to develop and test tools, data/metrics collection protocols, survey instruments, or similar efforts, in order to better measure faculty climate, retention and belonging on an on-going basis within the UC system. Although teams proposing data-focused projects may locate a single department or a single campus as their pilot site, project proposals must clearly demonstrate how their tool, survey, or collection protocol could be leveraged and scaled outside of the pilot unit, across campuses, and (eventually) systemwide. Teams proposing data-focused projects should not rely on UCOP to supply data or analysis beyond what is already available in the UC Information Center. UCOP looks particularly to the success of the UC Recruit system and the Berkeley Survey of Search Committee Chairs as inspirations for local data leadership initiatives with systemwide potential.

Teams may also propose a data capacity replication project that will implement previously tested, data-focused projects. AFD will offer support for data capacity replication awards to support implementation of successful data capacity projects funded in years 1-4 on a new campus or unit within a campus.

Research. Research projects must include a research-informed framework of academic climate and faculty retention as applied to the UC context, a plan for data collection and/or empirical tests of the

framework within the UC system, implications for diversity, equity, and inclusion practices within the UC system, and potential avenues for generalization and peer reviewed publication. The Principal Investigator(s) from funded projects must present their research progress at each of the AFD convenings over the project period. Interdisciplinary and multi-campus research teams are particularly encouraged to apply. Research partners outside of UC cannot be funded through AFD.

Justifiable expenses funded for Research proposals include course buyouts (replacement costs), Graduate Student Researcher (GSR) time, summer research time, and research software purchases. The Principal Investigator (PI) must be a faculty member, although graduate student researchers may serve on the project team. All personnel must be UC employees. Funds are intended primarily for faculty, students, and staff to conduct peer-reviewable research relevant to improving climate and retention within the UC system. Literature reviews and broad "state of the field" research are not appropriate for proposals under the research category, although we expect that teams proposing research will include a brief review as a part of their proposal narrative. Proposals applying for funding under the Research heading must discuss the PIs' intellectual commitment to the research and prior experience in conducting research on academic climate, faculty retention, and diversity.

Note that in accordance with University of California policy G-41 Employee Non-Cash Awards and Other Gifts, State funds may not be used to purchase incentive gifts (i.e. gift cards) for individual participants to complete surveys and questionnaires. In addressing this issue, proposals planning to use these types of incentives for research purposes (including focus group incentives), should include specific plans for providing another source of funding for such incentives. This applies to all projects.

External Grant Fundraising Support. This year we are offering awards for a limited number of projects seeking additional fundraising support. The purpose of these awards is to offer seed funding to build on the original investment in improved climate and retention intervention projects that have a proven track record of success. Funds in this category will be available for projects seeking resources in order to submit an application for support from external funding from federal and state agencies, foundations (public and private) and other funding sources, in order to continue previously funded successful project interventions. While AFD award funds have been utilized to develop and implement new interventions within a campus unit, limited timeframes for projects have made it challenging for projects to be sustained beyond the life of the award. Justifiable expenses in this category must be specifically tied to a previously funded AFD project and offer the rationale for continued investment in those interventions.

Guidelines for evaluation metrics.

The guiding evaluation principle of all Advancing Faculty Diversity grants is that the project must demonstrate a link between the sought-after outcome and the project budget. In other words, how will you know that the grant funds had an impact on climate and/or retention and belonging outcomes? All proposals must include a section describing how the PIs intend to demonstrate the success (or lack thereof) of their project. UCOP does not ask or require that all projects be successful—although we hope that they will be—rather, that project teams have a clear idea of how to know whether and why their project succeeded or did not succeed, and whether and why outcomes were achieved or not. In the evaluation section of the proposal template, teams should outline how they plan to learn from the project in ways that can help inform future retention and climate activities in other units within the UC system.

All *intervention* proposals must have an outcome that is specific, measurable, and tangibly related to the climate and retention challenges faced by the requesting unit(s). This outcome must be measured, at minimum, at three distinct time periods: baseline (prior to intervention), midline (during the intervention period), and end-line (after intervention period is over). Where feasible, experimental or quasi-experimental designs are particularly encouraged. When thinking about outcomes and data collection methods, PIs should look for models that can be adopted systemwide in the future—what kind of data collection might be scalable?

Ongoing data collection.

Each campus receiving funding through this competition is also agreeing to undertake an annual Retention and Climate Survey, either continuing in the current annual survey administered through COACHE (the Collaborative on Academic Careers in Higher Education) or collecting similar campus data that can be shared with UCOP, for the tracking of issues systemwide.

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Griffin, K. A., Pifer, M. J., Humphrey, J. R., & Hazelwood, A. M. (2011). (Re)Defining Departure: Exploring Black Professors' Experiences with and Responses to Racism and Racial Climate. *American Journal of Education*, *117*(4), 495–526.

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Appendix A: Proposal Template

You may use this template to draft your proposals for the 2022-23 AFD grants. Please be sure to read the detailed RFP guidelines above and directly address the requirements of each section in your proposal narrative. Total proposal length may not exceed fifteen (15) pages excluding the abstract; we have offered page-length guidelines for each section to help you structure your proposal. Please contact Vice Provost Susan Carlson (Susan.Carlson@ucop.edu) or Patricia Osorio-O'Dea (Patricia.Osorio-Odea@ucop.edu) if you have any questions.

Contact information. PI/Lead contacts for campus pilot (names, titles, emails, phone); assistant to copy, if any.

Sponsor. Sponsor name and contact information (name, title, email, phone). The sponsor should be from a central campus office, a Chief Diversity Officer, a Vice Provost or Associate Vice Provost or the Executive Vice Chancellor/Provost.

Name of Project:

Abstract (150 words)
Please describe your proposed project in 150 words or fewer. The abstract will be used as a summary of your program in announcements, should your project be funded.

Background/Overview (1 page)
Please provide a high-level overview of the challenges faced by your campus(es), division(s), or department(s) as they relate to the key themes for the AFD Improved Climate and Retention grant program. Please include a statement of the problem to be addressed and a summary of how your request for funding is connected to the problem to be addressed.

Conceptual Framework/Literature Review (2 pages)
Please provide a conceptual framework (for intervention and data-focused proposals) or a literature review (for research proposals) to ground your proposed project in the existing literature on faculty climate and retention. You should discuss the strengths and limitations of your approach and the conceptual framework as applied to your project. You may draw from and build on one of the frameworks offered in the annotated bibliography in Appendix D, or you may choose your own theoretical foundation. Submission of conceptual framework/literature review not require for development projects.

Project Description (5 pages)
Please describe your project clearly and succinctly. Include a description of the proposed project and provide relevant context about the unit. What activities do you propose to carry out and what will be the major contributions to your campus(es) or division(s)? Who will lead the project and why? What potential does your project have to be adopted beyond your proposed unit(s) and scaled across the campus and/or units on other campuses in the University of California system? For replication projects, which previously funded project does your proposal plan to implement, and why? Please also discuss any knowledge gained from any of the projects from the last four years, if applicable. See Appendix A, above, for a list of prior year interventions.

Evaluation (2 pages)
Please describe the ways in which you plan to measure implementation and evaluate the efficacy of your proposed project. You should demonstrate a clear link between your conceptual framework, your proposed activities, and the evaluation. Please specify and justify the use of the metrics you wish to use to evaluate your project. For research

projects, please describe your dissemination plans beyond the scope of the AFD grant. For external grant fundraising support projects should submit a clear plan to measure success of fundraising efforts.

Timeline (2 pages)
Please include a semester-by-semester or quarter-by-quarter timeline of implementation and evaluation activities, including key interim deadlines. Research projects should discuss dissemination deadlines and venues, data focused projects, including data capacity replication projects, should define data collection and/or tool deployment timelines, and intervention projects, including replication projects, should identify baseline, midline, and final evaluation timelines. External grant funding support projects should outline detailed activities leading up to submissions of external applications for funding. Please keep in mind that all funded projects will be required to present evidence of progress at the AFD convenings twice a year, as well as submit periodic progress updates to UCOP.

Budget (1 page + budget template)
Please use the budget template below to describe the financial components of your proposal over the life of the grant (one to three years). Please divide the budget details between years 1, 2, and 3 (if necessary). Please note that after its review, the committee may ask you to revise and resubmit a modified budget proposal. In the narrative section of the template, please describe and justify each line item in more detail, being sure to draw a clear connection between your budget proposal and your proposed project activities. All budget items that include direct payments to academic appointees, including faculty, need to be reviewed by the campus Academic Personnel Offices before submission, to ensure the proposed funding is within policy.

Evidence of Campus Commitment (1page maximum for narrative, + attachments)
Please use this space to describe your unit(s)' commitment to achieving the goals of your AFD proposal beyond the scope of your project. This evidence could include a commitment by your campus leadership to provide matching funds, course releases, or dedicated staff allocations, but must include, at minimum, an endorsement letter from the academic dean (for department level projects) or campus executive vice-president/provost (for campus level projects). This commitment from leadership may be supported with evidence of commitment from the Chief Diversity Officer and the faculty (and chairs, if relevant) in the unit(s).

AFD Improved Climate and Retention Budget Template 2022-23

	Cost Element	***Explanation***	***Year 1***	***Year 2***	***Year 3***	***Total***
1.	***Personnel costs***					
	a)					
	b)					
	c)					
	d)					
	Sub Total					
2.	***Outside speakers, events, food, and travel –*** *Use this category to detail expenses on outside speaker honoraria, conference and workshop costs, food/beverage, travel, and other similar expenses.*					
	a)					
	b)					
	c)					
	d)					
	Sub Total					
3.	***Software and other materials –*** *Includes data acquisition costs, software licenses, and other materials essential for the project.*					
	a)					
	b)					
	c)					
	d)					
	Sub Total					
4.	***Other -*** *Please detail other budgeted expenses not already included in the categories above.*					
	a)					
	b)					
	c)					
	d)					
	Sub Total					
	TOTAL					

Appendix B: AFD Improved Climate and Retention Projects (2018-22)

Year Four: 2021-22

UC Davis: Solutions to Disruptive Speech in the Learning Environment, $175,000.

Negative workplace climate and racial trauma both contribute to loss of productivity among faculty and to faculty turnover. Dialogues Across Difference advances faculty retention by addressing the negative impact of disruptive speech in learning environments. This project defines disruptive speech as politically provocative, harassing, or hate speech, including the display of symbols or objects that adversely affect teaching and learning. This project has three phrases. The first will document the extent of this problem in these politically polarizing times. The second will build communities of faculty from across campus to generate a collective awareness and structure composite stories. In the third, they will write and produce performance pieces based on these stories that reflect experiences of and responses to disruptive speech. Once produced, these pieces will be offered in synchronous and asynchronous environments as part of broader programming to empower faculty, graduate students, and other instructional staff and to inform policy.

UC Santa Cruz and UC Merced: Developing and Implementing Equity Advocate Programs at UC Santa Cruz and UC Merced, $246,936.

This two-year project involves the creation of an Equity Advocate (EA) Program at UC Santa Cruz and the expansion of the EA Program at UC Merced to improve climate and retention outcomes for diverse faculty. During Year 1, and drawing on earlier AFD-funded collaborative research, these campuses will create a robust set of training materials for EAs, whose roles will include advising on faculty searches, fostering retention and promotion, and promoting equity and inclusion. During Year 2, the campuses will develop a crossover EA training - the first of its kind held at these campuses. UCSC will launch its first cohort of EAs and UC Merced will expand its school-level program by engaging in campus-level strategic planning and department-level demographic reporting on diversity; both campuses will use similar evaluation metrics for data-sharing and comparison. This project responds to the call of the UC-wide Committee on Affirmative Action, Diversity and Equity for every UC campus to create an EA program that aligns these campuses with nationally-recognized best practices

UC Santa Cruz, UC Riverside and UC Davis: Mining Text for Bias in Student Evaluations of Teaching, $186,100.

This multi-campus research proposal has four specific aims: 1) develop a predictive model that efficiently and automatically scans written course comments, and determines the proportions reflecting student satisfaction levels that are positive, mixed, or negative; 2) pilot an implementation of the predictive model at UC Riverside by integrating it into the iEval student teaching evaluation system to assess both practical and cultural implications of augmenting written comments with a summary report showing the proportions of positive, mixed, or negative comments; 3) use the predictive model to investigate the degree of bias in written comments with respect to the gender, ethnicity, and rank of the instructor, and compare the findings to a parallel bias study of the corresponding numerical scores; and 4) evaluate the efficacy of UC Santa Cruz's recent revision of instructional evaluation questions as an intervention for reducing bias in comments.

UC Davis, UC Berkeley and UC San Francisco: AFD Climate and Retention Pilot Intervention Program, $249,986.

DEIBlueprint addresses department climate by creating an easy-to-use process - a blueprint! - that sets departments up for success in diagnosing and addressing diversity, equity, inclusion, and belonging (DEIB); in short, department climate. All too often, departments are on their own, trying to effectively implement initiatives from campus-wide surveys, fashioning original department climate surveys, analyzing their data, and conjuring action steps in response. This process is time-consuming, often error-prone, sometimes expensive, and potentially uninformed by campus expertise. Using a quasi-experimental design, DEIBlueprint has two components: (1) an online climate survey Question Bank, containing validated survey items participating departments can choose from to create customizable climate surveys appropriate to their unique context; and (2) a Climate Toolkit to support responsive activities. Toolkit elements will be associated with particular issues and span a wide range of accessible activities. The overall aim is to make departments more inclusive for all, increasing faculty retention and success.

UCLA and UC Irvine: Multi-Pronged Initiatives to Address URM Faculty Retention and Climate, $250,000.

This project involves a partnership of the UCLA Offices of Faculty Development in Academic Personnel, and Equity, Diversity and Inclusion (EDI) collaborating with the UCLA Institute of American Cultures that fosters ethnic studies research, and with UC Irvine. The project proposes a multi-pronged approach to improve mentoring, climate, and retention of URM ladder faculty:

1. URM faculty mentoring using an established small group mentoring model.
2. Inclusive Excellence Faculty Mentor Awards honoring exceptional mentors as one way to make "invisible labor" visible and rewarded, with Award Celebrations that also provide for URM faculty networking.
3. Chair workshops on departmental climate designed to address URM faculty concerns.
4. A UC Systemwide Summit on Best Practices in URM Faculty Climate and Retention, followed by a conference two years later to report on progress.

As a large campus with an increasingly diverse faculty, UCLA is well positioned to lead and benefit the entire system.

UC Riverside: Increasing Faculty in CNAS through Mentorship, $174,430.

Retention and advancement within the professoriate of women faculty and faculty from diverse backgrounds is a widespread challenge in academe. UC Riverside, like many institutions, is facing similar challenges in faculty retention of these demographic groups. Faculty surveys have indicated that collegiality, work-life balance, potential for professional growth, and teaching and service inequities are challenges faced by women faculty and faculty from diverse backgrounds. The project plans a three-year mentoring program in the College of Natural and Agricultural Sciences (CNAS) to address these needs. The program consists of three interlaced phases, which include: (1) faculty mentor training, (2) team mentoring of assistant professors, and (3) professional development workshops. The curriculum is designed to: (1) enhance mentor/mentee competencies, (2) support and facilitate faculty career development through mentoring, and (3) improve campus climate by increasing awareness of systemic inequities and promote a culture of mentorship. This program will provide a timely structural intervention to support faculty, during these unprecedented times.

UC Santa Barbara: UCSB Arts+Racial Equity Commons Campus Communities of Practice Residencies (CPR), $175,000.

UC Santa Barbara proposes a three-year pilot for a "workplace climate intervention." It provides the groundwork for a renewed ecology around the arts, culture and communities of practice to improve campus DEI climate and retention through a reconceptualization of three arts research units within the Division of the Humanities and Fine Arts (HFA). As a pilot for an Arts and Equity Research Commons at UCSB, this project will include an Arts Administrative Support Center (AASC) that will be developed to support minoritized faculty through an interdisciplinary research commons to foster collaboration, intergenerational research mentorships, enhanced cultural programming and artists' residencies across multiple arts and racial justice-focused departments and presenting venues at UCSB. In coordination with a campus DEI divisional initiative, "Racial Equity in the Arts and Creative Economy," the project includes a working network of cooperative chairs, faculty and administrative staff committed to building upon collective research strengths, resources, programming and DEI strategic planning by each of their arts practice-based departments to better align and leverage overlapping academic and curricular planning opportunities. The three-year pilot proposal is designed to include an artist in residence incubator program as a catalyst for leveraging existing units, staff and attendant programming as a demonstration model. The first year of the three-year intervention will be dedicated to strategic self-study, mapping of alignments in faculty, staff and student leadership and support personnel, curricular initiatives and program opportunities across the units.

This year's RFP yielded a singleaward for management of an FEA conveningand the project will do the following:

UC Irvine: CREATE (Creating Relevant Equity Advisor Tools to Empower) at UCI, $93,400.

Organizers propose a meeting for Comparing Relevant Equity Advisor Tools to Empower (CREATE) at the University of California, Irvine (UCI). The project will convene an initial hybrid meeting of strategic leaders – faculty peer consultants, equity advisors, and others – from across the system to discuss key issues and actions for improved academic climate and faculty retention. CREATE at UCI will build on a faculty-peer consultancy model that has been foundational to equity advisor-faculty change programs across the system and nationally and instrumental during its 20-year history at the University of California, Irvine. A hybrid one-day spring event in 2022 aims to generate longer-sustaining strategic planning and actions among a broader group of equity advisors and faculty and staff leaders. The project provides opportunities for these group and network members also to engage on their respective campuses during a two-year duration, convening initially in the hybrid in-person and virtual meetings at UCI and then enacting and tracking levers for change over virtual connections in the subsequent years. A first step includes using the CREATE at UCI forum to dialogue and prioritize actions specific to four key themes that would substantively improve faculty academic perceptions of belonging, engagement, and advancement, particularly for faculty men and women of color. Activities will build synergy from equity advisors and other leaders to refine specific actions through a systems lens to: (1) translate inclusive excellence strategies into practice, (2) extend an equity advisor model effectively as a lever for change in earlier pathways to the professoriate, (3) promote holistic and meaningful measures of climate, and (4) enhance the accountability of equity advisors and their institutions related to programming, creating cultural consciousness, and adoption of best practices for advancing equity and inclusion for diverse faculty. Products from this strategic alliance will include a training video and published proceedings with strategic outcomes.

Year Three: 2020-21

UC Davis: Professors Leveraging a Community of Engagement with CAMPSSAH, $225,000.

Professors Leveraging a Community of Engagement (PLACE) with The Center for the Advancement of Multicultural Perspectives on Social Sciences (CAMPSSAH) positions the center as an interdisciplinary hub for research and service activities for faculty of color, URM and other faculty whose work forms the foundation of inclusive excellence at UC Davis. To foster holistic development, sustained growth, and retention of these faculty, "PLACE with CAMPSSAH" seeks resources to work in three areas: community, leadership, and recognizing contributions. PLACE, at its core, will consist of writing communities led by the PI/CAMPSSAH Faculty Director. These writing communities for suggested CAMPSSAH Scholars and Faculty Affiliates will meet for two quarters during the academic year and for a week-long off-campus writing retreat. They are opportunities to engage across disciplinary boundaries and ranks to create a "third space" of engagement among the participants. The grant will also enhance resources for URM and faculty of color at various junctures in their career trajectory with manuscript workshops, post-tenure start-up funds, and supplemental conference travel grants for childcare expenses.

UC Irvine: Thriving and UCI: Interventions to Support Leadership, Scholarship and Service Equity for Underrepresented Faculty, $224,000.

How do we retain our underrepresented faculty and help them thrive? Informed by positive organizations scholarship and evidence-based research on faculty retention, the PIs designed three interventions. First, Supporting Leadership establishes a Diversity Leadership Council with senior Diversity Professors serving as mentors/coaches to underrepresented faculty on campus and offers a faculty development program modeled after the UC Women's Initiative for URM women faculty (a group most disproportionately represented among faculty resignations from UCI). Second, Supporting Scholarship creates a writing community based on the U See I Write initiative that provides training and dedicated space for regular research writing time and forges across group connections and allyship. Third, Supporting Service Equity takes inventory of visible and invisible service activities to develop and implement a service matrix aimed to improve transparency, accountability and credit for service contributions. All proposed interventions include data collection and efficacy evaluation and they scale to other UC campuses.

UC San Diego: A Holistic Strategy for Academic Success and Retention at UC San Diego, $200,000.

Building on the Center for Faculty Diversity and Inclusion's existing infrastructure of faculty affinity networks, this project proposes to improve the retention of underrepresented faculty through a Holistic Strategy for Academic Success and Retention at UC San Diego. Through monthly coffee conversations, quarterly webinars, a topic-based mentoring pool, coaching for mentors, and a coalition for aspiring male allies, the project seeks to: 1) Create additional opportunities for connection, mentorship, and sponsorship; 2) Demystify academic policies and dismantle myths around faculty success; and 3) Cultivate self-efficacy, critical agency, and leadership. These activities would complement ongoing institutional change efforts to improve department culture and academic leadership. Engaging faculty in the process of institutional transformation, the project also proposes a unique approach to interpreting the 2020 Academics@UCSD survey results with faculty as partners in sensemaking and strategic action planning. By 2023, project PIs hope to be able to demonstrate improvements in faculty wellbeing, success and engagement.

UCSF: Leadership Equity Advances Diversity (LEAD): Increasing Women and Underrepresented Minority Faculty in Leadership Positions, $225,000.

This pilot and data leadership project – Leadership Equity Advances Diversity (LEAD) – focuses on increasing the representation of women and underrepresented minority (URM) faculty in departmental leadership positions, many of which are internal appointments. This project allows for the development, piloting, and evaluation of a leadership toolkit intervention focused on implementing systemic processes and tracking and accountability measures across 28 departments within the UCSF School of Medicine (SOM). Outcomes will be assessed both through tracking implementation of best practices for searches as well as change in representation of women and URM in leadership. The intervention will build upon UCSF's best practices for external faculty searches, the SOM Differences Matter initiative, and a recently implemented leadership accountability survey. After project materials are developed at UCSF in Year 1, the LEAD project team will work closely with UC Health to disseminate toolkit materials throughout UC health professional schools.

UC Santa Barbara: Data Leadership and Intervention Strategies for More Equitable Faculty Service Workloads, $225,000.

Service is a significant climate, recruitment, and retention issue for women and underrepresented minority faculty members at UCSB. Faculty service workloads include department and campus committee and leadership service, as well as mentoring responsibilities. This project proposes to collect and analyze comprehensive data on service workloads and climate more generally, as well as on modified workloads under family accommodation policies, to rectify the dearth of available information. This information will be disseminated and used to inform both policy and a faculty workload intervention program modeled on that of O'Meara et al. (2018, 2019; 2015 NSF ADVANCE). The resulting data collection instruments, templates, and processes have scale-up potential across the campus and UC system.

Year Two: 2019-20

UC Berkeley: The Climate Initiative: An Intervention to Promote Faculty Success, Satisfaction, and Belonging. Intervention. $135,000.

UC Berkeley's project provides access to information, advising, and networks for faculty members from underrepresented groups. It draws from common elements of traditional mentoring programs, faculty development workshops, and affinity groups. The design includes identifying faculty experts in a variety of topics, relevant to both scholarship and climate; holding events to showcase and discuss each topic; and providing ongoing one-on-one confidential advising by faculty experts. The goals are to promote success of underrepresented faculty by providing information necessary to advance and succeed, to increase satisfaction, and to improve the overall sense of belonging.

UC Davis: A UC Davis Initiative to Engage Faculty in Faculty Retention and Inclusive Excellence Networks—Designing Solutions (FRIENDS). Intervention and Research. $200,000.

This project invites associate professors to participate in facilitated design thinking sessions focused on removing barriers for marginalized faculty to thrive. The project has three parts: sharing learning from stories behind data-driven insights on faculty experiences; developing communities of future faculty leaders interested in issues of faculty equity, retention, and climate; and designing innovative interventions to tackle known issues. The focus on associate professors is informed by UC Davis's understanding, through participation in the Collaborative on Academic Careers in Higher Education (COACHE) Faculty Job Satisfaction Survey, that associate professors require climate interventions to

improve their experience at UC Davis and that they are best placed to inform the ways that the campus can do better to address their concerns.

UC Davis. UC Davis: Creating an Inclusive Campus Climate through Enhanced Academic Review and the Creation of Faculty Learning Communities. Intervention. $174,488.

UC Davis will implement two interventions that have the potential to positively influence the experience of URM faculty at the University of California. The first intervention will pilot an online training module aimed at improving how contributions to diversity, equity, and inclusion are utilized in the merit and promotion process, and the second will enroll a cohort of URM faculty at UC Davis and UC Merced in Faculty Learning Communities.

UCLA: Advancing Faculty Diversity through Improved Climate and Retention Programs. Data Leadership. $200,000.

UCLA will construct "EDI Scorecards" that go beyond traditional diversity dashboards. Ordinary dashboards are often criticized as either "irrelevant" because they do not provide the right baseline for comparison, or "incomplete" because they only count demographics. UCLA's project will implement two innovations: the provision of customizable comparator baselines (e.g. graduate student population, percentages at peer institutions, etc.) so that raw statistics can be interpreted according to appropriate context, and the inclusion of equity and inclusion metrics, which can be measured separately, and possibly aggregated into a composite score. By providing these next generation data mirrors not only to leadership, but also to faculty, UCLA expects to make it easier to hold deans and departments accountable for their performance, especially at formal reviews, and to strengthen the voice of rank-and-file faculty who feel unheard, by providing them with useful facts and more information.

UC Merced: Improving Climate and Retention for STEM Faculty through Inclusive Communities at UC Merced. Intervention. $130,874.

Drawing on a conceptual model emphasizing two faculty career stages—a transition period for community integration among early career faculty, and faculty retention programs aimed a professional development, leadership and advancement, and work/life satisfaction-- *Inclusive Communities* expands a robust Faculty Mentoring Program for academic success; establishes a Faculty Leaders Peer Mediation Program for greater equity, diversity, and conflict resolution; creates a Central Valley Resource Taskforce for community integration; and develops a multi-campus Faculty Learning Community in partnership with UC Davis.

UC Riverside: Faculty Commons Project at the Center for Ideas and Society. Intervention. $150,000.

This project helps retain minoritized faculty by nurturing supportive communities and intellectual homes based on common interests, affinities, and identities. The 2018-19 pilot project created five interdisciplinary working groups geared towards fellowship, research, and career support. The 2019-21 project scales up by addressing the university research and service policies needed to advance minoritized forms of knowledge, planning unique academic programs and centers and deepening ties with Riverside and Inland Southern California communities. Alongside recruitment efforts, pay equity, and campus-wide climate programs, the Faculty Commons Project aids retention by facilitating university and community engagement, providing for career support, and cultivating culturally relevant knowledge.

UC Santa Barbara: Creating a Diverse, Equitable, and Inclusive Climate in the UCSB Communication Department & Campus Community. Intervention. $113,725.

Like many divisions, UC Santa Barbara's Social Sciences Division has experienced obstacles to removing barriers that hinder the success of URM faculty and faculty of color. The Division has more URM faculty than others on campus, but they report greater inequities than faculty in other divisions, despite efforts to address these issues. This project includes three interventions addressing the Department of Communication, the Division of Social Sciences, and the UC Santa Barbara campus: tailored and facilitated DE&I workshops in the department of communications, a division-level DE&I monitoring working group, and an annual DE&I conference scheduled for April 2021.

UC Santa Barbara: Moving Beyond the Institution: Analyzing Barriers to the Retention, Attrition, and Persistence of Underrepresented Minority Faculty at UCSB. Research. $75,000.

This research project examines how psychosocial factors inform the decisions that URM faculty make about their relationship to UC Santa Barbara. Utilizing an ecological model that focuses on interactions between individuals, communities, social structures, and the environment, this research will operate in three phases: an historical analysis of demographic shifts of UC Santa Barbara since the passing of the Civil Rights Act of 1964; an intersectional analysis of the 2014 Campus Climate Survey data for the campus; and an intersectional examination of retention, attribution, and persistence of URM faculty over the last twenty years through semi-structured interviews. It seeks to address why URM faculty are leaving UC Santa Barbara, why some are staying, and what resources and strategies the campus can use to more efficiently address faculty diversity issues in a more holistic way that builds off existing strengths and establishes new action plans for areas of weakness.

UC Santa Cruz: Rebuilding the academy with marginalized faculty: The role of transformative models for campus leadership. Research. $74,717.

The academy thrives from the leadership of faculty from URM backgrounds. Yet, URM faculty might feel wary taking on formal university leadership roles, given how much informal leadership they already engage in, often to their detriment. This research project, through surveys and interviews, will examine how URM faculty view transformative leadership—leadership designed to validate and bolster the critical contributions of URM faculty, and explore strategies for redesigning leadership opportunities for faculty in ways that promote their wellbeing and retention.

Year-One: 2018-19

UC Berkeley: Fostering a Climate of Inclusion: A Strategy for Enhancing Faculty Diversity at Berkeley's School of Public Health. $75K.

Led by the School of Public Health ("SPH") Senate Faculty Council ("FAC"), the proposed pilot will be modeled after a successful faculty-led effort to advance gender equity via a FAC standing committee of both male and female professors from all divisions within the School. It would also build on the School's longstanding commitment to diversity, focusing attention on solving some of the most challenging climate issues. The pilot effort will conduct research on resources and best practices for nurturing a positive faculty climate; bring in skilled consultant(s) to conduct interviews, focus groups, relevant trainings; organize a school-wide speaker series on Diversity, Equity & Inclusion ("DE&I") scholarly research and

evidence-based best practices; provide nominal research fund compensation for SPH faculty participating on the DE&I committee; and build a website for sharing DE&I resources and for fostering communication.

UC Irvine: University of California, Irvine, Faculty on Retaining Women and Racial/Ethnic Diversity (UCI FORWARD). $75K.

UCI FORWARD is proposed to maximize support to incoming and continuing junior faculty in order to expedite preparation for favorable mid-career reviews. It will build on and complete a career ecosystem dedicated to inclusive excellence in STEM fields. This program builds on UCI's 2017-18 Advancing Faculty Diversity Year 2 program. Building on the Year 2 recruitment cohort, campus leadership now seeks to capitalize on these successful outcomes by proposing a Career Concierge approach; Faculty Career Team grants; complementary workshops; and Career Travel Awards.

UC Riverside: Faculty Commons Pilot Program at the Center for Ideas and Society. $75K.

The College of Humanities, Arts and Social Science's ("CHASS") Faculty Commons Pilot Program seeks to build intellectual and supportive interdisciplinary communities based on common research, teaching, and learning concentrations and integration of those communities with one another and the campus as a whole. The pilot effort will empower dynamic and flourishing groups by offering support for building membership across CHASS and UCR; holding community building events; hosting outside speakers and experts in each group's research topics; sponsoring research and working paper discussions; sponsoring manuscript development sessions; funding working lunches and group excursions related to the workshop's topics; mentoring junior colleagues and helping them to develop their academic networks; and pursuing cross-programming opportunities with other working groups and with other interdisciplinary projects at the Center for Ideas and Society.

UC San Diego: Inclusive Excellence in the Arts and Humanities – A More Diverse Humanism: Faculty Retention and Academic Climate. $75K.

The Division of Arts and Humanities proposes to implement divisional workshops with junior and mid-career faculty; to sponsor public forums and lectures that engage timely, difficult, and complex issues of the day; to invite artists to present their work on the campus and the broader community to establish meaningful ties within and beyond the campus; and to establish a new faculty Q&A series, a mentorship structure across divisional boundaries, a manuscript forum, and a new annual event that showcases and celebrates major research contributions by junior faculty.

UC Santa Barbara: Advancing Faculty Diversity through Faculty Retention and Academic Climate in Engineering and Physics at UC Santa Barbara. $75K.

The College of Engineering and Department of Physics propose to improve faculty climate and retention through an ambitious program that will launch a new comprehensive team-mentoring program for pre-tenure women and URM faculty combined with key inclusion and equity workshops that will improve the skills and awareness of faculty members and departmental leaders with regard to improving climate and retaining women and URM faculty members and those with other diverse identities. The program will contribute to the development of a new campus-wide Equity Advisors program; establish mentoring teams and peer mentoring as part of a comprehensive junior faculty mentoring program; implement inclusion and equity workshops, which will focus on equitable distribution of "low- and high-promotability tasks" and on male allies and advocates; and address retention and climate issues in the units.

UC Santa Cruz: UC Santa Cruz Community Networking Program 2018-2019. $68,200.

The campus-wide proposal, Community Networking Program, will generate mutual affinity-group mentoring for faculty to create more widespread structures for development and support. These groups will be formed with the aim of supporting the success of faculty in the target demographic and will be open to faculty in that target demographic as well as their supporters. Each group will be led by a faculty convener who will convene the group on a monthly basis. To recognize the efforts of the convener, the faculty member will be provided with one course release, as underrepresented faculty are often in high demand to provide service, which can reduce their available time and energy for research. Each group will produce a white paper.

Appendix C: Proposal Review Criteria

All Projects

- Project timeline is reasonable, activities are well scoped and achievable given the timeline.
- Proposal budget is within the total limits and commensurate with proposed activities.
- Extent to which proposal targets structural barriers to faculty thriving, especially in the COVID era.
- Degree to which proposal incorporates anti-racism programming in the spirit of the University's focus on tackling issues of racism, including structural racism, throughout the institution.
- Evidence of campus commitment to the initiative.

Bonus: Proposal team spans multiple campuses.

Projects that include interventions

- Challenges faced by requesting unit(s) are well-specified and substantive.
- Description of the problem and intervention includes sufficient context to demonstrate either
    - (a) persistent intractability, thus justifying a pilot intervention project; or
    - (b) demonstrated potential to succeed in improving climate and retention, thus justifying a scale-up intervention project.
- Project is clearly linked to the challenge described. Proposed project is logically situated within a conceptual framework, with research-informed connections between challenges, project activities, anticipated outcomes, and evaluation.
- Proposed project has specific and measurable outcomes, a plan to measure those outcomes at baseline, midline, and endline, and project personnel have the capacity and capabilities to successfully evaluate the success of the intervention.
- Proposed project has the potential to scale beyond the originating units. Intervention has an experimental or quasi-experimental design.

Projects that include data capacity

- Proposed metrics/data tools are specific, and research informed.
- Underlying data for data product either already exist in a systematic manner or the requesting unit(s) have a clear plan for data collection, storage, and usage.
- Proposed data tool is flexible and generalizable and can scale beyond the originating units.
- If proposed tool/metric/instrument has already been developed and implemented within a unit, then proposal must demonstrate how the collected data has improved climate and retention within the unit.
- If proposed tool/metric/instrument has not yet been developed, it must have a prior proof-of-concept (at other universities or other industries).

Projects that include research

- Project employs a clear theoretical framework that is applied specifically to the UC context.
- Project has either a clear theoretical aim (e.g., development of a new framework) or a clear empirical outcome (e.g., evaluation of an intervention).
- PI has demonstrable expertise in subject matter and/or proposed research methodology.

- Proposal clearly demonstrates the potential for impact on DEI work beyond the originating unit(s).
- Proposal includes specific dissemination and publication information (e.g. target journals, conferences, colloquia).

External grant fundraising support projects

- Description of the intervention(s) for which additional funds are sought includes sufficient demonstration of success in improving climate and retention, thus justifying the need for fundraising and development support in order for further scale-up outlined interventions.
- Reasonable outline of proposed fundraising plan (including targeted external funding sources) and timeline of activities.
- Clear plan to measure success of fundraising efforts.

Appendix D: Annotated Bibliography

This annotated bibliography summarizes some of the relevant research literature on academic climate and retention and is intended to help project teams develop a research-informed conceptual grounding for their 2022-23 AFD Improved Climate and Retention grant proposals.

The bibliography is divided into three sections:

1. *Theories and frameworks*, which summarizes several theorized and empirically grounded frameworks on faculty working climate;
2. *Barriers to faculty success,* which summarizes research on the challenges faced by faculty holding minoritized identities in the academic workplace; and
3. *Interventions, policies, and practices,* which summarizes research about the implementation and effects of interventions and policies designed to increase diversity and make the working climate more equitable for faculty holding minoritized identities.

The works summarized in these sections are not exhaustive and are not a definitive summary of the research literature on climate and retention—indeed, there is much disagreement even among the authors whose work is summarized here about why faculty leave, what makes a productive academic climate, and which interventions are likely to be successful. Rather, this bibliography is intended to be a jumping-off point for project teams to develop a strong argument for why and how your project is likely to be successful and what your unit or other units within the UC system may learn from its implementation about improving climate and retention for faculty who hold minoritized identities.

Selected theories and frameworks

Carr, P. L., Gunn, C., Raj, A., Kaplan, S., & Freund, K. M. (2017). Recruitment, Promotion, and Retention of Women in Academic Medicine: How Institutions Are Addressing Gender Disparities. *Women's Health Issues*, *27*(3), 374–381.

The authors posit a social-ecological model of gender equity, drawn from the ecological theories of psychologist Uri Bronfenbrenner, to provide a structure that considers the multiple levels at which equity-focused programs may operate: individual, interpersonal, institutional, academic community, and policy. Using this conceptual framework as an organizing device, the authors conducted interviews with faculty members from a randomly selected sample of medical schools that administered the National Faculty Survey to understand "whether and how institutions allocate program efforts to improve gender equity among faculty" (p. 375). They catalogue the different types of implemented programs using their framework, available in the article link above. They note that their findings reveal a "missed opportunity for national, regional, and interinstitutional efforts" (p. 379) to support gender equity in academic medicine.

Gappa, J. M., Austin, A. E., & Trice, A. G. (2007). *Rethinking faculty work: Higher education's strategic imperative*. San Francisco, CA, US: Jossey-Bass. [Especially pp. 125-156].

Gappa and colleagues advance a complex, research-informed framework for faculty thriving grounded in the insight that *respect*, both expressed and felt, is the bedrock of faculty thriving. Centering respect in their framework, they argue that the five "essential elements" of the faculty workplace—*employment equity, academic freedom and autonomy, flexibility, professional growth*, and *collegiality*—are the different ways in which faculty and administrators manifest respect for each other and their work. The authors connect these elements to satisfaction, organizational commitment, and faculty retention, among other important outcomes. Importantly, they note that these essential elements are the "glue" that hold faculty and the university in a "mutually rewarding reciprocal relationship," regardless of whether the faculty members are employed through "tenured, contract-renewable, or fixed-term appointments" (p. 131).

Milem, J. F., Chang, M. J., & Antonio, A. L. (2005, January 1). Making Diversity Work on Campus: A Research-Based Perspective [Text]. Retrieved March 25, 2019, from Association of American Colleges & Universities website:

The authors advance a five-dimensional framework building on the work of sociologist Sylvia Hurtado to conceptualize a "campus climate for diversity" grounded in a process-oriented definition of racial/ethnic diversity—"engagement across racial and ethnic lines comprised of a broad and varied set of activities and initiatives" (p. 4). They situate their framework in an intentionally broad definition of diversity to move the conversation beyond *compositional diversity* and explicitly engage with "a more substantive agenda of changing existing arrangements of power" (p. 5). The authors note that campus racial climate depends not just on factors internal to the university—the *institutional context*—but also on factors that are outside the university's control, such as *government and political forces* and *sociohistorical forces*. Although these elements are external to the campus, the authors note that they can "serve as stimuli for discussions or other activities that occur on campus" (p. 25).

Wright-Mair, R. (2017). *A Phenomenological Exploration of How Campus Environments Shape the Success of Racially Minoritized Faculty at Predominantly White Institutions* (Ph.D., University of Denver). Retrieved from Proquest.

The author adapts the Culturally Engaging Campus Environment (CECE) model, used primarily in the student development arena, to understand the experiences of racially minoritized faculty working at predominantly white institutions. She finds 8 key themes that contribute to faculty success, which she organizes into two distinct groups (pp.82-117):

1) *Practices that validate identities and strengthen community,* including:
    a. Connections to same racial groups:
        i. Formal structures, such as formal affinity groups and minoritized faculty members' associations; and
        ii. Informal opportunities to connect with other people on campus with similar racial identities
    b. Production of culturally relevant knowledge:
        i. Valuing diverse work of racially minoritized faculty members—the importance of giving back to their communities;
        ii. Financial resources to attend conferences to present scholarly work, and other professional development opportunities critical to generating knowledge relevant to their racial and cultural identities;
    c. Engagement with people from different races
        i. Critically conscious mentors and colleagues: "The benefits of cross-racial engagement [include] understanding the landscape of the academy from a different perspective, understanding how to navigate academic spaces from the dominant perspective, and simply engaging with others in academic spaces" (p. 100).
    d. Validation of racial, cultural, and gender identities:
        i. Institutional leaders who embrace issues of equity and diversity: "many participants felt their various identities were validated when there was an institutional commitment to explicitly interrogating disparities within society and the institution" (p. 101).
        ii. Availability of social justice/equity-oriented centers across the institution
2) *Racially inclusive institutional cultures*, including:
    a. Opportunities for collaboration:
        i. Within departments—opportunities for faculty collaboration through writing groups, co-teaching opportunities, grant collaborations, and opportunities to co-publish
        ii. Cross discipline/department—institutional initiatives that create collaborations across departments and disciplines, informal writing groups,
    b. Humanized environments:
        i. Meaningful friendships and relationships—"meaningful relationships with peers provided a sense of belonging and comfort in their setting, while proactive support from leadership often led to advancement, either through direct communications about promotions or by being protected from being over-extended in their field" (p. 110).
    c. Proactive institutional cultures:
        i. Specifically, pre-tenure support with regards to providing information before faculty of color asked or needed it. Specifically, "being protected from having to commit to all service opportunities" that come one's way (p. 111).
    d. Holistic support:

i. Resources—both material and symbolic support for all aspects of their work
ii. Acknowledgement of other social roles—support in areas of their life outside the academy.

Based on these eight themes, she offers a five-dimensional framework (pp. 160-164) describing categories of activities that universities could undertake to improve the climate for racially minoritized faculty members on campus. Those categories of activities all center around faculty of color success and include:

1. Align mission, goals, and values with institutional behaviors, actions, and outcomes
2. Acknowledge and understand that race matters
3. Facilitate positive interactions and healthy relationships
4. Build racially affirming and culturally inclusive networks and communities
5. Foster humanizing, racially, and culturally validating environments

York, T. T., Culpepper, D., Redd, K., Mabe, A., & Gobstein, H. (2017). *2017 APLU INCLUDES Summit Report* (p. 24). Retrieved from The Association of Public and Land-grant Universities website.

This framework, spanning recruitment, transition, and retention, emerges from the Association of Public and Land-grant Universities' (APLU) NSF-funded INCLUDES (Inclusion across the Nation of Communities of Learners of Underrepresented Discoverers in Engineering and Science) program summit in April 2017. This framework, developed by the Faculty Diversity Task Force, is designed to serve as a self-study/self-assessment tool for campuses around their diversity practices in hiring and retaining faculty, and conceptualizes campus faculty diversity efforts as intervening in three distinct stages of faculty members' careers—recruitment, transition, and retention, with different interventions targeting different aspects of recruitment and retention. Initiatives discussed around faculty retention centered around the criteria for promotion and tenure; creating a culture of support for continuous professional development; rewards and recognition programs; and formal mentorship programs. The framework and the accompanying report do not, however, discuss the relative efficacy of these interventions.

Barriers to faculty success

Griffin, K. A., Pifer, M. J., Humphrey, J. R., & Hazelwood, A. M. (2011). (Re)Defining Departure: Exploring Black Professors' Experiences with and Responses to Racism and Racial Climate. *American Journal of Education*, *117*(4), 495–526.

The authors conduct a qualitative study of 28 black professors working at two public research universities with the goal of understanding black faculty members' responses to campus climates and racism, outside of intention to leave. They draw from various organizational theories that suggest that in addition to departure, employees react to challenging institutional climates through absenteeism, psychological withdrawal, lack of involvement, bargaining for different conditions, and loyalty (waiting for change). They find that the faculty members in their study respond to negative campus environments by building external networks (*departmental departure*), attempting to disprove stereotypes (*self-definition*), and engaging in service work. The authors classify these responses as *psychological departure* and *critical agency* by faculty members.

Hare, H. E. (2018). *Service Work of Underrepresented Faculty* (Unpublished doctoral dissertation). UCLA, Los Angeles, CA. Retrieved from e-Scholarship.

Hare studies the variation in the amount of time spent on service work by faculty race/ethnicity and the correlation between faculty job satisfaction, job stress, and service workload. Using data from the 2017 administration of the Higher Education Research Institute (HERI) Faculty Survey, she finds that underrepresented minority (URM) faculty report spending more time than non-URM faculty on service work—advising, committees, community service. She also finds that among full-time faculty, the increased service workload correlated with increased career-related stress, lower job satisfaction, and an increased intent to leave. However, none of her models suggest differential associations by race and gender between service work, career-related stress, job satisfaction, and intent to leave. In other words, Hare finds that URM faculty report spending more time on service work, that service work is associated with negative satisfaction outcomes for all faculty, and that the relationship between service work and job satisfaction is similar for URM faculty and non-URM faculty.

Jayakumar, U. M., Howard, T. C., Allen, W. R., & Han, J. C. (2009). Racial Privilege in the Professoriate: An Exploration of Campus Climate, Retention, and Satisfaction. *The Journal of Higher Education*, *80*(5), 538–563.

Jayakumar and colleagues study the drivers of intent to leave for faculty of color. Based on a survey of teaching faculty across 416 colleges and universities, they find that faculty of color who perceived a hostile racial climate were more likely to intend to leave their institution compared to those who perceived a moderate or benign racial climate (Jayakumar et al., 2009, p. 549), although the impact is moderated by factors such as institutional selectivity, tenure status, sense of feeling valued by others in the department, and perceived autonomy and independence.

They also find that "stress from the promotion process consistently has a negative association with retention for all faculty of color subgroups" (p. 553), and that "White faculty retention is greater where racial climate is more negative" (p. 555). Based on previous research, they suggest that factors that contribute to a hostile racial climate include "feeling that [ethnic and racial diversity issues] are marginalized, encountering a dearth of faculty and students of color…and experiencing a lack of support and encouragement for their research, especially if that work is concerned with issues of diversity and equity" (p. 549). They note that because White faculty benefit from the default institutional climate, hostile racial climates can be created within institutions even without any malicious intent to do so (p. 555).

O'Meara, K., Lounder, A., & Campbell, C. M. (2014). To Heaven or Hell: Sensemaking about Why Faculty Leave. *The Journal of Higher Education*, *85*(5), 603–632.

O'Meara and colleagues conduct a mixed-methods case study at one public research university about how faculty and administrators make sense of faculty departure. In doing so, they problematize standard "Heaven" (an unmatched better opportunity) and "Hell" (didn't have what it took to be successful) explanations for departure, arguing that these explanations "absolve the university and the administrator of any responsibility for faculty departure" (p. 604). The authors combine data from a job satisfaction survey with focus group and faculty and administrator interview data to derive four major categories of explanations for faculty departure: "A Better Opportunity" (the "Heaven" explanation); "Work Environment and Fit"; "Location and Partner Employment"; and "Writing on the Wall" (the "Hell" explanation).

Importantly, they note that while administrators and faculty were more likely to invoke the Heaven and Hell explanations, "faculty leavers tended to describe poor work environments as the rationale for departure" (p. 627). The authors argue that the different perceptions about departure may create "many self-fulfilling prophesies with regard to faculty departure that might have been avoided if assumptions were surfaced and discussed" (p. 628).

Stanley, C. A. (2006). Coloring the Academic Landscape: Faculty of Color Breaking the Silence in Predominantly White Colleges and Universities. *American Educational Research Journal*, *43*(4), 701–736.

The author analyzes narratives submitted by 27 faculty members of color about their experiences teaching on a predominantly white campus. Using Critical Race Theory (CRT) as an analytical frame, she finds six key themes in faculty members of color's experiences in academia: teaching, mentoring, collegiality, identity, service, and racism. Most relevant for our purposes are teaching, mentoring, collegiality, and service. The author includes a list of recommendations for faculty administrators at the end of the article.

Teaching: Challenges included students questioning their authority and credibility in the classroom. Many faculty members of color perceived that students treated them differently than they treated their White colleagues. Others reported challenges related to gaining credibility for multicultural course content.

Mentoring: Although faculty of color emphasized the importance of effective mentoring to their career—often received outside of their home departments and institutions—they noted the challenges they faced in finding supportive mentors who could advance their career.

Collegiality: Faculty members' experiences with their "majority White colleagues were either a major factor that enabled their success in academia or the tipping point that contributed to their decision to leave" (p. 714). Faculty of color noted that interpreting the implicit and explicit meta-rules of their departments' culture contributed to occupational stress, and that faculty of color felt like they were held to higher expectations and unacknowledged in their efforts to respond to often unstated expectations.

Service: Faculty of color reported that they were often burdened with heavy service loads, and that "participation in service activities, regardless of the rationale, [was] not rewarded in merit and personnel decisions. In fact, for many, it [involved] a risk of not being promoted or tenured" (p. 719).

Racism: Racism took two forms—individual racism and institutional racism. As one example of institutional racism that faculty of color face, the author argues that the current conception of research "merit"—encoded in top-tier journal publications—"is based on a socially constructed norm that benefits, in most instances, majority White faculty" (p. 722). At the individual level, many faculty of color report experiences with xenophobia and microaggressions with students and their colleagues on campus.

Turner, C. S. V., González, J. C., & Wood, J. L. (2008). Faculty of color in academe: What 20 years of literature tells us. *Journal of Diversity in Higher Education*, *1*(3), 139–168.

The authors conduct a wide-ranging review of the academic literature on faculty of color between 1988 and 2007. They find a number of research-validated supports and challenges in department, institution, and national contexts. They summarize the challenges and the underlying research as well as interventions that have been studied in the research literature.

This article can serve as a reference guide to find 'primary sources' about the challenges facing campuses and the research literature on potential interventions. The paper is nearly a decade old, so new research literature (including some summarized here) may speak more directly to interventions planned for 2019-2020.

Whittaker, J. A., Montgomery, B. L., & Martinez Acosta, V. G. (2015). Retention of Underrepresented Minority Faculty: Strategic Initiatives for Institutional Value Proposition Based on Perspectives from a Range of Academic Institutions. *Journal of Undergraduate Neuroscience Education*, *13*(3), A136–A145.

The authors conduct a wide-ranging literature review identifying key barriers to success for faculty from historically underrepresented communities at majority institutions, and offer potential solutions grounded in the research literature. Key barriers identified include inequitable established environmental cultures and traditions; disparities in research grant support; cultural, social, and academic isolation; lack of environmental support; negative stereotyping; implicit bias; and lack of will on the part of institutional leaders. Possible solutions include recognizing and accommodating different norms of socializing through mentorship; promoting collaborative intellectual engagement; identifying and modifying communications around DEI issues; and engaging unit leaders as agents of change through stakeholder training. The authors do not, however, present any evidence of the relative efficacy of any of their proposed solutions.

Interventions, policies, and practices

Bensimon, E. M. (2004). The Diversity Scorecard: A Learning Approach to Institutional Change. *Change: The Magazine of Higher Learning, 36*(1), 44–52.

Bensimon discusses the concept and process underpinning the "Diversity Scorecard," an ongoing initiative "designed to foster institutional change in higher education by helping to close the achievement gap for historically underrepresented students" (p. 45). Although designed with student success in mind, the principles and practices involved are relevant to the AFD Climate and Retention grant program. The Scorecard conceptualizes institutional change as a three-step process: *awareness* ("individuals must see, on their own…the magnitude of inequities"); *interpretation* ("they…must analyze and integrate the meaning of these inequities"); and *action* (they must be "moved to act"). Bensimon discusses the roles of *evidence teams* in implementing the scorecard—a broad group of faculty and administrators whose role was "to hold a mirror up to an institution that reflected clearly and unambiguously" the inequities and disparities in educational outcomes. Bensimon also discusses a three-step implementation process, which included a) bringing to bear (existing) data disaggregated by race and ethnicity and creating a 'vital signs profile'; b) establishing performance goals for each of the 'vital signs'; and c) reporting to the institution's President the current status of equity on campus.

Dobbin, F., & Kalev, A. (2018). Why Doesn't Diversity Training Work? The Challenge for Industry and Academia. *Anthropology Now, 10*(2), 48–55.

Noting that "hundreds of studies dating back to the 1930s suggest that antibias training does not reduce bias, alter behavior or change the workplace" (p. 48), Dobbin and Kalev survey the research literature and suggest five reasons why antibias training programs fail to increase diversity. First, short-term educational interventions in general do not change behavior; short-term antibias programs, thus, should not be expected to do so either. Second, antibias training may activate stereotypes by making them more "cognitively accessible" to participants. Third, training may inspire "unrealistic confidence" (p. 50) in anti-discrimination programs, resulting in employee complacency about their biases. Fourth, antibias training may leave whites (more generally, majority-culture employees) feeling left out. And fifth, employees react negatively to efforts to control them, so mandatory diversity training may breed resentment.

The authors suggest that successful diversity programs may increase their chances of success by addressing the above limitations. They suggest potential research-informed modifications, the most important of which is that diversity training programs be integrated into a wider program of change that addresses not just individual biases but also structural discrimination in organizational practices. They also suggest that diversity training programs place employees—particularly managers—in increased contact with members of other racial, ethnic, and gender groups, thus building empathy and turning managers into champions of diversity.

Dobbin, F., Schrage, D., & Kalev, A. (2015). Rage against the Iron Cage: The Varied Effects of Bureaucratic Personnel Reforms on Diversity. *American Sociological Review, 80*(5), 1014–1044.

Using survey and observational panel data on 816 private sector employers between 1971 and 2002, the authors estimate the effects of different types of diversity initiatives on the share of white, black, Hispanic, and Asian men and women in management. The authors find that:

a) Engagement programs (special recruitment and management-training programs, particularly those for women) show positive effects for historically disadvantaged groups.
b) Initiatives that increase transparency regarding job opportunities and eligibility, such as public job postings and job ladders, increase diversity and reduce the share of white men in management.

c) Discretion-control initiatives, such as job tests, performance ratings, and grievance systems have null or negative effects on diversity; the authors note that "efforts to constrain managerial autonomy appear to backfire" (p. 1026).
d) Diversity managers and regulatory monitoring increase the prevalence among managers of all underrepresented groups in their sample and increase the effect of the above reform programs by increasing the accountability of hiring managers. When combined with engagement and transparency initiatives, diversity managers increase the efficacy of those initiatives.

Laursen, S. L., & Austin, A. E. (2014). StratEGIC Toolkit: Strategies for Effecting Gender Equity and Institutional Change. Boulder, CO, and East Lansing, MI.

The StratEGIC Toolkit emerged from an NSF ADVANCE Partnerships for Adaptation, Implementation, and Dissemination (PAID) grant to summarize and catalog the programs and experiences of institutions that implemented Institutional Transformation (IT) projects under the National Science Foundation's ADVANCE program to improve gender equity in STEM subjects. Most relevant might be the 13 strategic intervention briefs, which each describe an intervention used by institutions receiving NSF ADVANCE grants. Importantly, the briefs offer detailed information—both successes and challenges—that will help institutional leaders assess how each intervention could be implemented, and whether it might be successful in a different context. Most relevant to the purposes of the AFD Climate and Retention grant program are:

- Faculty professional development programs
- Mentoring and networking activities
- Development of institutional leaders
- Equitable processes of tenure and promotion
- Strengthened accountability structures
- Flexible work arrangements
- Strategies for improving departmental climate
- Visiting scholars
- Enhanced visibility for women and women's issues

O'Meara, K., Jaeger, A., Misra, J., Lennartz, C., & Kuvaeva, A. (2018). Undoing disparities in faculty workloads: A randomized trial experiment. *PLOS ONE*, *13*(12), e0207316.

O'Meara and colleagues report on an 18-month, multi-campus, randomized-control intervention to change the "choice architecture" for dividing academic labor (in particular, service work) among STEM faculty, thus raising awareness of (and improving) equity in work allocation. The intervention comprised four arms: a) a workshop on implicit bias and how it can shape divisions of labor (increasing awareness); b) providing department teams with tools to create faculty workload activity dashboards (increasing transparency); c) using the dashboards to identify equity issues and sharing policies to mitigate bias and design for equity (increasing information); and d) an optional professional development webinar on time management (increasing capacity).

They find that their intervention measurably improved the availability of transparent data on faculty work activities, increased awareness of implicit bias, and increased perceptions of fair teaching and service work distribution. (p. 8). The authors hypothesize that the implementing of the transparency dashboard had spillover effects—"as participants saw members of their department were serious about improving equity in division of labor, and recognized their workload relative to others due to the transparent dashboards, they felt greater permission to likewise self-advocate and take steps to ensure their own workload was

fair" (p. 10). However, they note that "minority women faculty did not experience increased perceptions of action readiness and self-advocacy after treatment," and do not provide a hypothesis for this differential finding.

Rosser, S. V., Barnard, S., Carnes, M., & Munir, F. (2019). Athena SWAN and ADVANCE: effectiveness and lessons learned. *The Lancet*, *393*(10171), 604–608.

Rosser and colleagues compare two major diversification initiatives in the United States (NSF-ADVANCE) and the United Kingdom (Athena SWAN), and summarize challenges and lessons learned from these flagship initiatives (summarized on p. 606). Most relevant for the purposes of the AFD Retention and Climate grant program are their lessons learned about the need for high-quality baseline data for benchmarking; the need to integrate qualitative and quantitative measures; the importance of intersectionality; and the active support of the senior management team in driving policy change.