



OFFICE OF THE PROVOST AND  
EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

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

May 31, 2019

## EXECUTIVE VICE CHANCELLORS/PROVOSTS

RE: RFP for Advancing Faculty Diversity through Improved Climate and Retention Program

Dear Colleagues:

I am pleased to announce this year's Request for Proposals (RFP) process for the 2019-20 "Advancing Faculty Diversity through Improved Climate and Retention" program. President Napolitano has funded the program as a part of her support of pathways to a diverse professoriate; this year there will be up to \$1M available (including costs reserved for convening). This is the first of two RFPs that make up the Advancing Faculty Diversity (AFD) program, with the second RFP – focused on the AFD recruitment program – to reach you shortly.

The AFD Improved Climate and Retention program will support efforts both on and across campuses to develop equity-oriented interventions, data leadership, and research to improve workplace climate and retention outcomes. We especially encourage research-based pilot programs that will allow the university to make progress in improving campus climate and retention outcomes for faculty members from historically underrepresented communities. In addition, we are encouraging you to build on the innovative climate and retention pilot projects funded in 2018-19.

In consideration of the input recently collected during visits to all of your campuses, we have made some significant changes in the proposal process this year:

- Awards may extend up to two years, inclusive of AY 2019-20 and 2020-21.
- The RFP outlines three possible types of proposals: interventions, data leadership, and research.
- Awards may be up to \$200K, especially for programs that cross campuses and proposal types.
- Campuses receiving awards agree to continue collecting annual data on faculty retention and separation.
- Applicants are encouraged to work with the campus Chief Diversity Officer in developing proposals.

Once the proposals are received by August 2, Vice Provost Susan Carlson will convene a Review Committee at UCOP, with Academic Senate representation, to make recommendations on the funding to me and to the President. We hope to announce awards in early September.

May 31, 2019

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Vice Provost Susan Carlson is pleased to address any questions you may have on the proposal process; you may reach her at [susan.carlson@ucop.edu](mailto:susan.carlson@ucop.edu).

Sincerely,

A handwritten signature in blue ink that reads "Michael".

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

Enclosure

cc: President Napolitano  
Chancellors  
Academic Council Chair May  
Academic Council Vice Chair Bhavnani  
Executive Vice President/ Chief Operating Officer and Chief of Staff Nava  
Vice Provost Carlson  
Vice President Ellis  
Interim Vice President and Vice Provost Gullatt  
Vice Provosts/Vice Chancellors for Academic Personnel/Academic Affairs  
Chief Diversity Officers  
Associate Vice President Alcocer  
Executive Director Baxter  
Executive Director Peterson  
Director Osorio O'Dea

**Advancing Faculty Diversity through Improved Climate and Retention:  
Request for Proposals (RFP) for 2019-2021**

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## Goals of the 2019-2021 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 the 2019-20 year. 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 2018-19 AFD grants on faculty climate and retention. Taking advantage of an allocation by President Napolitano of \$1M annually towards improving campus climate and retention outcomes for faculty members from historically underrepresented communities, the goal of the AFD climate and retention program is to support campus efforts to improve the retention of under-represented faculty and to build inclusive and innovative academic units.

### The nature of the problem

*The UC retention gap.*

Emerging from a series of visits to UC campuses by Vice Provost Susan Carlson, Vice Provost and Interim Vice President Yvette Gullatt, and President's Postdoctoral Fellowship Program (PPFP) Director Mark Lawson, a key unanswered question in improving climate and retention outcomes for faculty from historically underrepresented communities, and the focus of the 2019-21 AFD Improved Climate and Retention grants, is: *what is preventing a department or campus from having an equitable environment for all faculty, and how do we fix it?*

The 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 in many units and improve retention of faculty from historically underrepresented communities. Data from UC system records of new hires and separations of tenure-track and tenured faculty support this view. Although faculty from historically underrepresented minority communities made up 14.3% of all tenure-track (Assistant Professor and Lecturer with Potential Security of Employment) new hires between 2008-09 and 2017-18, they comprised 15.1% of tenure-track resignations. The racial/ethnic retention gap was more pronounced among domestic faculty, where faculty from historically underrepresented minority communities comprised 15.8% of new hires, but 19.5% of resignations among tenure-track faculty.

*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, they 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. Vice Provost Carlson, Vice Provost and Interim Vice President Gullatt, and PFPF Director Lawson’s 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.

## **The 2019-21 AFD Climate and Retention Grant Program**

*Building communities, finding solutions.*

In AY 2018-19, as part of year 3 of AFD, requesting campuses proposed a variety of innovative approaches to improve campus climate for faculty members from historically underrepresented backgrounds. These projects included institutionalizing climate within governance bodies; workshops, antibias training, and symposia on equity, diversity, and inclusion; cross-division and network mentoring programs; building allyship among faculty members holding non-minoritized identities; and addressing inequitable service loads. Appendix A summarizes the major components of all six funded climate and retention projects in 2018-19, and preliminary reports from prior years of AFD can be found at <https://www.ucop.edu/faculty-diversity/>.

Building on the enthusiasm and momentum generated by the pilot projects in 2018-19, UCOP would like to use the 2019-21 AFD Climate and Retention grants to begin to build a systemwide networked

improvement community on campus climate and retention (Russell et al., 2017). This year's proposal differs significantly from last year's pilot RFP and has been designed to give requesting teams more flexibility in proposing multi-division, multi-campus projects, and to broaden the range of projects and applicants. Most notably, the funding term has been increased from one year to two years, new project categories have been added, and funding limits have been increased to a maximum of \$200,000, under certain circumstances when two types of projects are joined in a single proposal.

The sections below serve as application instructions for the 2019-21 AFD Climate and Retention RFP. Please read through these instructions carefully as you prepare your proposal using the attached proposal template included in Appendix B.

### *Eligibility and submission process.*

A proposal may come from a department chair, dean, EVC/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. 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.

Proposals must come to UCOP through each campus' Office of the Provost/Executive Vice Chancellor. 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' Provost/Executive Vice Chancellor (P/EVC) 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 may be submitted to Vice Provost Susan Carlson at [ADV-VPCARLSON-SA@ucop.edu](mailto:ADV-VPCARLSON-SA@ucop.edu), no later than 5pm on Friday, August 2<sup>nd</sup>, 2019. Please cc Aimee Chang, Executive Assistant to Vice Provost Susan Carlson, at [aimee.chang@ucop.edu](mailto:aimee.chang@ucop.edu).**

### *Types of projects considered.*

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 thresholds, 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 make important contributions to UC's research and teaching missions, and may be a part of any proposed project, but the core purpose of the AFD initiative is to improve climate and retention 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 A for a list of past retention and climate awards.

UCOP will fund twice yearly in-person 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 project leaders, must commit to attending these convenings. Each convening will be hosted by one of the funded pilot campuses; as a part of their proposals, project teams may indicate whether they wish to be “hub” campuses to organize and host one of these convenings. Project teams should not budget for the convening as a part of their proposal. UCOP will allocate money separately to funded project teams for travel and convening purposes.

The 2019-21 AFD Improved Climate and Retention grant program comprises three categories: 1) interventions; 2) data leadership; and 3) research. Although the categories are described separately below, we encourage teams to propose projects that integrate interventions, data leadership, and research. Proposals that combine multiple tracks may request a higher amount of funding than indicated below but no proposal, regardless of scope or scale, may request more than \$200,000 in AFD Improved Climate and Retention grant funding.

**Interventions.** Intervention grants will be funded for a maximum of \$150,000 over two years and can either take the form of pilot projects or scaling up established interventions. 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 under this track 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 two-year project, 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. Project proposals may be grounded in the research literature summarized in Appendix D or may draw from a framework of the Pls’ own choice. Proposals are especially encouraged from teams wishing to scale proven interventions across multiple departments or campuses.

**Data leadership.** Data leadership projects will be funded for a maximum of \$100,000 over two years. The goal of the data leadership track is to fund projects that aim to develop and pilot test tools, data/metrics collection protocols, survey instruments, or similar, in order to better measure faculty climate and retentions on an on-going basis within the UC system. Although teams proposing data leadership 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 leadership 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.

**Research.** Research projects will be funded for a maximum of \$75,000 over a period of up to two years. Proposals 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 in-person AFD convenings over the ensuing two years. Interdisciplinary and multi-campus research teams are particularly encouraged.

Justifiable expenses funded for Research proposals include course buyouts, 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. Funds are intended primarily for faculty 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.

#### *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 outcomes? All proposals must include a section describing how they 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 on seven campuses or collecting similar campus data that can be shared with UCOP, for the tracking of issues systemwide.

## References

- 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. <https://doi.org/10.1086/660756>
- 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. <https://doi.org/10.1080/00221546.2009.11779031>
- O'Meara, K., Louder, A., & Campbell, C. M. (2014). To Heaven or Hell: Sensemaking about Why Faculty Leave. *The Journal of Higher Education*, 85(5), 603–632. <https://doi.org/10.1080/00221546.2014.11777342>
- Russell, J. L., Bryk, A. S., Dolle, J. R., Gomez, L. M., LeMahieu, P. G., & Grunow, A. (2017). A Framework for the Initiation of Networked Improvement Communities. *Teachers College Record*, 119(5), 36. <https://doi.org/10.1108/QAE-12-2016-0084>

## **Appendix A: 2018-19 AFD Faculty Retention and Climate Pilot Projects**

*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 B: Proposal Template

You may use this template to draft your proposals for the 2019-21 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](mailto:susan.carlson@ucop.edu)) if you have any questions.

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

**Type of Project:** Choose from Intervention, Data Leadership or Research (or specify if multiple).

### **Abstract** (100 words)

*Please describe your proposed project in 100 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 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.*

### **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? Please also discuss any knowledge gained from any of the 2018-19 RFP-B pilot projects, if applicable. See Appendix A, above, for a list of 2018-19 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.*

### **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 leadership projects should define data collection and/or tool deployment timelines, and intervention projects should identify baseline, midline, and final evaluation timelines. Please keep in mind that all funded projects will be required*

to present evidence of progress at the in-person 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. 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.*

**Evidence of Campus Commitment** (1 page 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).*

**Hosting systemwide Community of Practice meetings**

*Please indicate whether you are willing to host one of the convenings of all awardees, to take place two times each academic year. UCOP will fund the costs. See p. 5 for details.*

### Budget Template

	<b>Cost Element</b>	<b>Explanation</b>	<b>Total Amount</b>
<b>1.</b>	<b>Personnel costs</b>		
	<i>Personnel costs include course releases, summer research releases, GSR time, staff allocations, and other related personnel costs. The project description should specify responsibilities of each.</i>		
	a)		
	b)		
	c)		
	d)		
	Sub Total		
<b>2.</b>	<b>Outside speakers, events, food, and travel</b>		
	<i>Use this category to detail expenses on outside speaker honoraria, conference and workshop costs, food/beverage, travel, and other similar expenses. <u>Do not include expenses to attend the in-person AFD convenings; UCOP will allocate money separately for travel to that convening.</u></i>		
	a)		
	b)		
	c)		
	d)		
	Sub Total		
<b>3.</b>	<b>Software and other materials</b>		
	<i>Includes data acquisition costs, software licenses, and other materials essential for the project.</i>		
	a)		
	b)		
	c)		
	d)		
<b>4.</b>	<b>Other</b>		
	<i>Please detail other budgeted expenses not already included in the categories above.</i>		
	a)		
	b)		
	c)		
	d)		
	Sub Total		
	<b>TOTAL</b>		

## 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.
- Evidence of campus commitment to the initiative.

**Bonus:** Proposal team spans multiple campuses or units.

**Bonus:** Proposed project spans multiple project categories.

### 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 staff have the capacity and capabilities to successfully evaluate the success of the intervention.
- Proposed project has the potential to scale beyond the originating units.

**Bonus:** Intervention has an experimental or quasi-experimental design.

### Data Leadership

- 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).

### 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).

## 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 2019-21 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.

## 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. <https://doi.org/10.1016/j.whi.2016.11.003>

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, as shown in the figure below. They note that their findings reveal a “missed opportunity for national, regional, and interinstitutional efforts” (p. 379) to support gender equity in academic medicine.

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P.L. Carr et al. / *Women's Health Issues* 27-3 (2017) 374–381

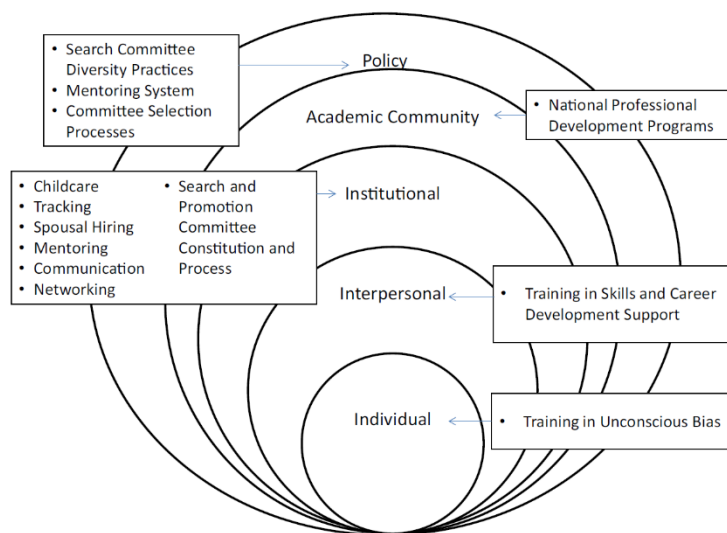
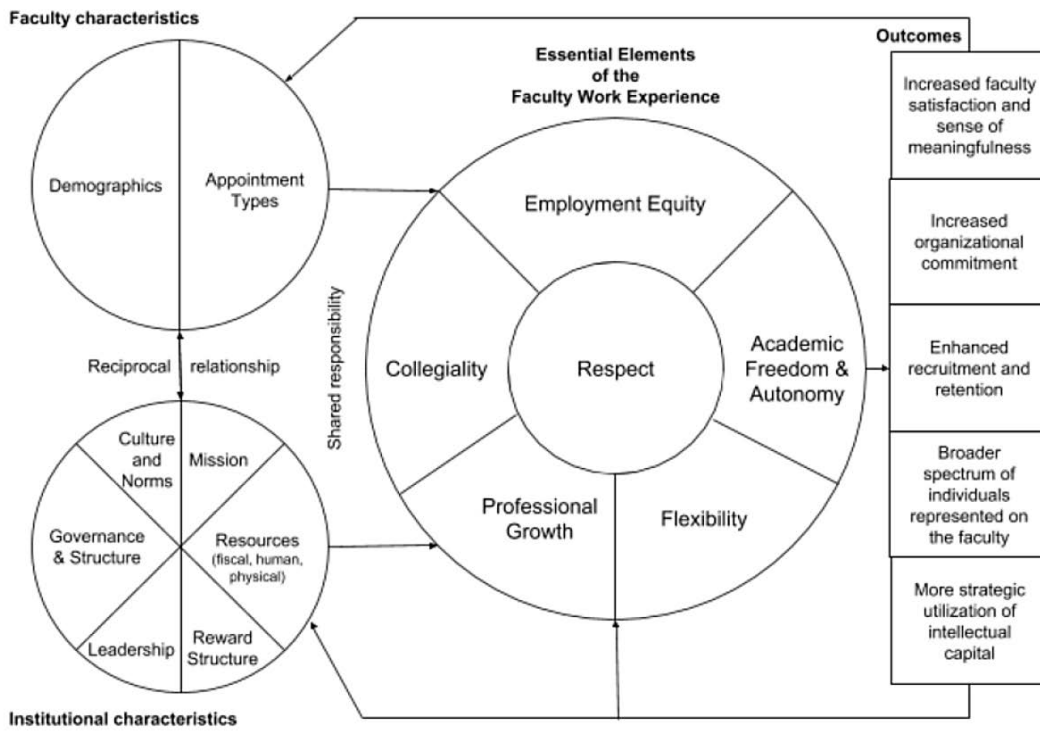


Figure 1. Programs in recruitment, promotion, and retention at the social level.

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].

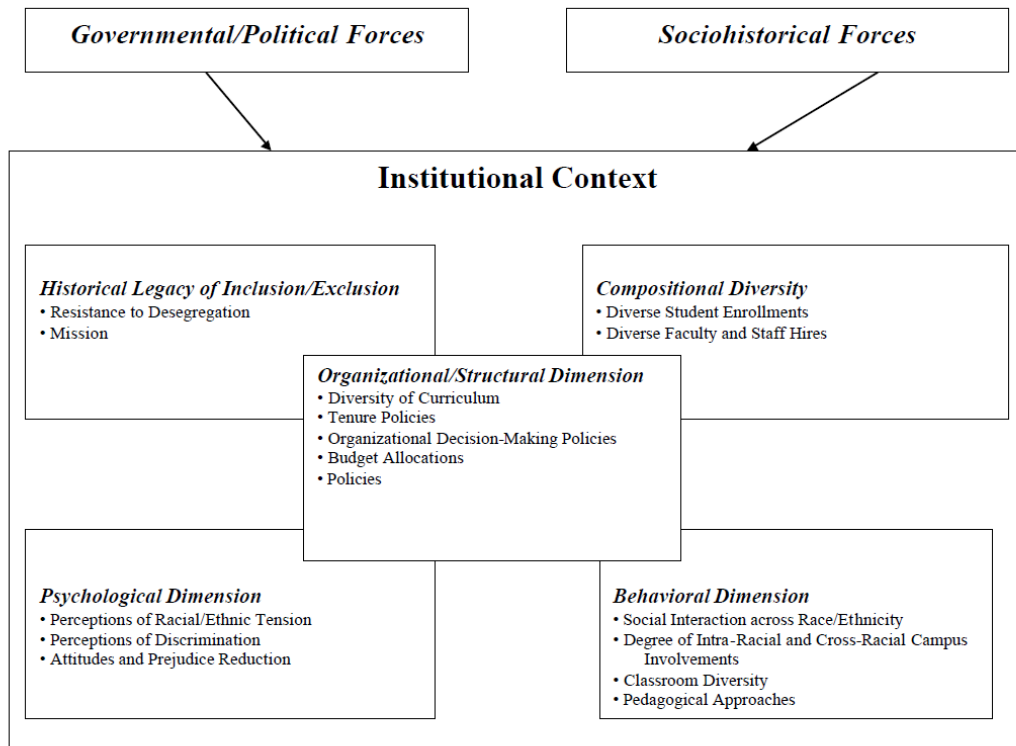
Gappa and colleagues advance a complex, research-informed framework for faculty thriving grounded in the insight that *respect*, both expressed and felt, is the bedrock of faculty thriving. Centering respect in their framework, they argue that the five “essential elements” of the faculty workplace—*employment 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: <https://www.aacu.org/publications-research/publications/making-diversity-work-campus-research-based-perspective>

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).

Figure 1. Campus climate frame work



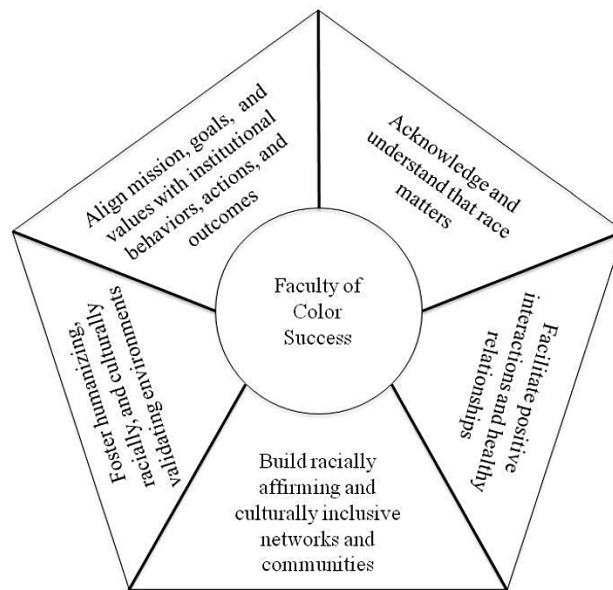
Wright-Mair, R. (2017). *A Phenomenological Exploration of How Campus Environments Shape the Success of Racially Minoritized Faculty at Predominantly White Institutions* (Ph.D., University of Denver). Retrieved from <http://search.proquest.com/docview/1930955505/abstract/C82DBA2989C3481APQ/1>

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 (reproduced below):



*Figure 1.1 Model for racially minoritized faculty success*

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: <http://www.aplu.org/library/2017-aplu-includes-summit-report/File>

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.

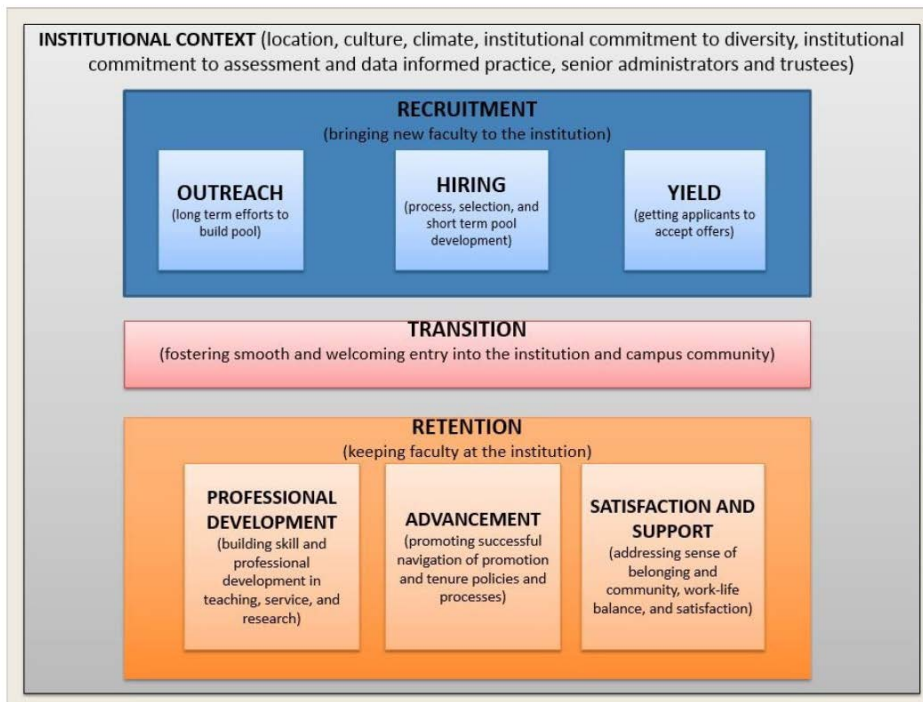


Figure 3. Rethinking Increasing Faculty Diversity as a Multidimensional Process: A Proposed Process



## *Barriers to faculty thriving*

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. <https://doi.org/10.1086/660756>

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 <https://escholarship.org/uc/item/6pr0b5jz>

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. <https://doi.org/10.1080/00221546.2009.11779031>

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., Louder, A., & Campbell, C. M. (2014). To Heaven or Hell: Sensemaking about Why Faculty Leave. *The Journal of Higher Education*, 85(5), 603–632. <https://doi.org/10.1080/00221546.2014.11777342>

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 prophecies 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. <https://doi.org/10.3102/00028312043004701>

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. <https://doi.org/10.1037/a0012837>

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. <https://doi.org/10.1080/00091380409605083>

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. <https://doi.org/10.1080/19428200.2018.1493182>

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. <https://doi.org/10.1177/0003122415596416>

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. <https://www.colorado.edu/eeer/research-areas/women-science/strategic-toolkit>

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. <https://doi.org/10.1371/journal.pone.0207316>

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. [https://doi.org/10.1016/S0140-6736\(18\)33213-6](https://doi.org/10.1016/S0140-6736(18)33213-6)

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.