COLUMBIA UNIVERSITY
Faculty of Arts and Sciences

Arts and Sciences Diversity Strategic Plan 2018-2023

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07/27/18

Overview

The Arts and Sciences Diversity Strategic Plan is organized around the guiding principles of **equality** and **excellence**. A primary purpose and benefit of pursuing diversity work within Arts and Sciences (A&S) is to address historical and current inequities that have limited the access and advancement of under-represented groups within higher education, including within A&S. Moreover, increasing the diversity (writ broadly) of scholarly groups increases intellectual richness, vibrancy, and innovation. Enhancing diversity in our faculty also fosters and models excellence and inclusion for all our students.

The Arts and Sciences Diversity Strategic Plan will guide efforts within A&S over the next five years in recruiting, advancing, and retaining an increasingly diverse faculty and broader research community. A critical component of this effort is developing and sustaining a climate of equity and inclusion in A&S.

In addition to providing a template for action with specific goals, the Arts and Sciences Diversity Strategic Plan is intended as a tool for communication and discussion. It will help to build a shared understanding of why having a diverse faculty and graduate student body matters within the context of A&S and will provide focus for departmental efforts to increase and sustain diversity and a climate of equity and inclusion. This plan is a living document to be reviewed each year. It will be updated and amended over time in response to changing needs and priorities as well as in response to identification of new and promising practices for increasing diversity and improving climate.

Process

In April 2018, Executive Vice President (EVP) and Dean of the Faculty of Arts & Sciences David Madigan appointed nine faculty members to a working group to develop recommendations for the Arts & Sciences Diversity Strategic Plan 2018- 2023. Working group membership is provided at the end of this document. These faculty members have considerable experience in A&S, University, and diversity-related service and/or scholarship. Members of the three recent A&S Policy and Planning Committee (PPC) Equity Committees were included on this committee: over the past two years these committees have assessed faculty experiences, distribution of resources and faculty workload, and the climate for inclusion, identifying patterns of inequity through interviews and data collection at the divisional levels. Cross-membership of those committees and this working group was done to integrate the findings of the equity studies with the development of a new five-year diversity strategic plan for A&S. Two members of the Office of the EVP served as ex officio members of the working group, the Associate Dean of Faculty Development and Diversity and the Chief Administrative and Academic Affairs Officer. The working group met in full and as subgroups in April and May 2018 to discuss issues and develop the recommendations set forth here. A draft of the A&S Diversity Strategic Plan 2018-2023 was developed in June and reviewed and edited by the group during the summer.

Background

Arts and Sciences first developed a Diversity Plan in 2011 in response to a request from the Office of the Provost. Earlier plans covered three-year time spans and were reviewed annually in a meeting with the Provost, the Vice Provost for Faculty Development and Inclusion, the Executive Vice President and Dean of the Faculty of Arts and Sciences, Divisional Deans, and the Associate Dean of Faculty Development and

Diversity. Such meetings focused on progress made and obstacles encountered in implementing the plan. These meetings also facilitated discussion around and accountability with respect to the goals and priorities of the plan.

The most recent Arts and Sciences Diversity Strategic Plan (2015-18) set forth the metric goals of achieving 35% representation of women and 10% representation of underrepresented minority (URM) faculty on the ladder-rank faculty by 2018.[1] Despite attention to and some modest increases in hiring faculty in these groups (Fig. 1), A&S fell somewhat short of the goal, with 32.7% representation of women and 9.6% underrepresented minority faculty in tenured and tenure-track positions in 2017[2]. Longer term trends show that progress has been slow over the last decade (Fig. 2). To support progress towards the stated metric goals, previous A&S Diversity Plans called for a variety of interventions to enhance hiring and retention of faculty from underrepresented groups. Gains from these interventions together with those proposed here are expected to yield more and faster progress over the next five years.
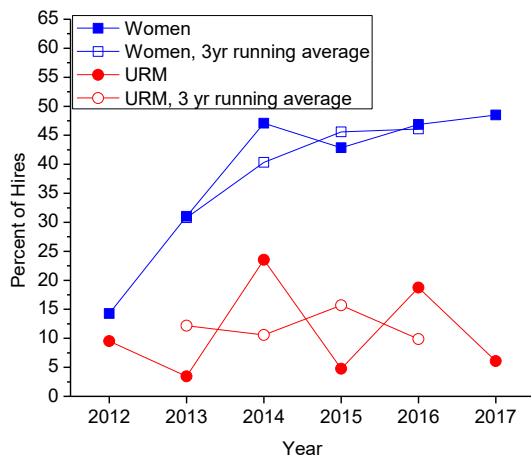
Figure 1. Percent hires of (blue) female and (red) URM faculty over the 2012 – 2017 period. Three-year running averages (open symbols) are also provided.
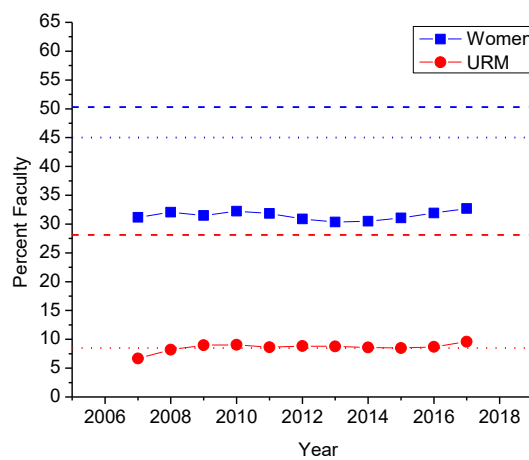
Figure 2. Percent (blue) female and (red) URM faculty over 2007-2017. A&S graduate student (dotted lines) and undergraduate student (dashed lines) percent population in 2017 are also provided.[2]

Indeed, we believe A&S faculty should mirror its vibrant student body, and we look towards the current 50% representation of women and 28% representation of underrepresented minorities in our undergraduate population as a long term goal. A realistic but still ambitious goal for the years covered by this strategic plan (2018 – 2023) is for A&S to consistently hire women and URM faculty at 50% and 25%, respectively, somewhat above the highest rate achieved in the past five years. Assuming a stable overall faculty size, this would mean hiring 60 women and 30 underrepresented minority ladder faculty over this period. *If all women and URM faculty currently in A&S were retained*, **this would result in an overall percentage of 43% women and 15% URM ladder rank faculty at the end of this period.** The dual goals of hiring consistently at a higher rate than in previous years *and* retaining all faculty in these categories are

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[1] In this document, URM refers to Black/African American; Hispanic/Latino; and Native American/Alaskan Native/Pacific Islander. In some departments, Asian faculty are also underrepresented with respect to the field's Ph.D. availability but these faculty are not included in the URM designation in this report.

[2] Data from the Vice Provost Diversity and Inclusion: Pipeline, 3/29/2018 report. Includes all who self-identified gender or race/ethnicity.

ambitious. Indeed, we note that over the five year period of 2012-2017, 60 women and 14 URM faculty were hired but there was a net increase of only 14 women and 4 URM faculty during that same time frame, indicating that many female and URM faculty left the university. **This highlights the interrelated challenges of hiring and retention as equally critical in increasing the number of women and underrepresented minority ladder rank faculty.** We further emphasize that while women and underrepresented minorities represent axes of our community's diversity, diversifying faculty more broadly and achieving a climate of equity and inclusion for other groups including but not limited to Asian, LGBTQ, and disabled members of our scholarly community remain key goals.

We believe A&S can, with coordinated effort and good leadership, meet the challenges of equity and a broadly inclusive climate. In response to the previous A&S Diversity Plans, the Faculty Development and Diversity Office in A&S was created in November 2015, with Susan Drange serving as Associate Dean of Faculty Development and Diversity. Activities organized by and run through the office have enhanced aspects of the hiring process: beginning in 2016, search committee members have been required to attend Faculty Search Committee Briefings; systems to track and provide aggregate demographic reports for all searches at the applicant, short list, and finalist stages compared to United States Ph.D. availability by field have been established, and reviews of this information by Chairs with Divisional Deans have been enacted. Additionally, in 2014 the Provost's Office published a guide to Best Practices in Faculty Hiring, and these practices have been implemented (though unevenly) across departments. Since adoption of the full set of structures and policies described above, the percent of female and URM faculty search finalists has increased. Given that the number of interviewed candidates from underrepresented groups is a strong predictor of offers made to candidates from such groups, these most recent interventions are expected to yield additional gains going forward.

A critical corollary to more aggressive hiring of women and underrepresented minorities is faculty retention. This can best be achieved by providing all faculty with opportunities for success and reasons to stay at Columbia. Innovations introduced since the last Diversity Strategic Plan include: mandated junior faculty mentoring plans in each A&S department; an expanded New Faculty Orientation; the Lenfest Junior Faculty Development Grant program; and a series of workshops to enhance new Department Chairs' understanding of their roles and responsibilities. Most recently, the Provost's office released two complements to the Guide to Best Practices in Faculty Hiring document entitled Guide to Best Practices in Faculty Mentoring, and a new Draft Guide to Best Practices in Faculty Retention, which address key ideas in mentoring and retention.

Several developments in A&S and at Columbia more broadly also make the university poised to make progress in coming years. In October 2017, President Bollinger announced a new Columbia-wide initiative dedicating $100M to increasing underrepresented groups on the faculty over the subsequent 5 years. Moreover, the PPC Equity Committees' work lays important groundwork for identifying climate issues that with attention and vigilance can be addressed in a manner likely to enhance faculty retention, particularly among underrepresented groups.

Summary of Goals & Priorities 2018-2023

In accordance with the ambitious goals of achieving 43% female and 15% underrepresented minority representation among ladder-rank faculty by 2023, we make recommendations in three broad categories.

1. **Structure and Accountability**
   Structural changes will help normalize the prioritization of diversity and inclusion in the culture of A&S. In particular, A&S should strengthen and increase the visibility of the Office for Faculty Development and Diversity, create a standing Faculty Diversity Advisory Council, and integrate diversity considerations into existing and new processes, including development of Departmental Diversity Strategic Plans.

2. **Diversity Recruitment**
   In addition to continued implementation of best practices around faculty searches, dedicated resources are necessary to increase the rate of hiring diverse faculty – such resources will not only allow for increased agility in recruitment but also allow piloting of promising programs, such as postdoctoral fellowships with a pathway to hiring.

3. **Inclusive and Equitable Climate**
   Arts and Sciences should enhance inclusion and equity in its departments through a variety of means that include training and information gathering and feedback, with the goals of increasing transparency, uniformity, and assistance for all faculty.

Recommendations

Specific actions and approaches in each of these three categories are enumerated below, and suggested methods for evaluation of progress are included in the Appendix. We note that although Diversity Recruitment, Hiring, and Retention form the critical core of this plan, we lead with structural recommendations as these provide the architecture to support implementation of hiring and retention recommendations over the next five years and beyond.

1) Structure and Accountability
   a) **Prioritize a commitment to diversity and equity in the search for new A&S leadership.**
   b) **Create a Diversity Advisory Council** composed of faculty members to advise the EVP and the Associate Dean of Faculty Development and Diversity on diversity- and climate-related initiatives.
      i) Such a structure was suggested in the previous A&S Diversity Strategic Plan but has not yet been implemented.
      ii) The Diversity Council will work with A&S to take up recommendations of the three equity committees established by the PPC, including but not limited to recommendations on bylaws, salary equity, distribution of resources, enforcing and strengthening existing rules on professional conduct, and institutionalizing regular surveys and reviews.
      iii) Council members may have an array of additional roles, including regular meetings with relevant members of the EVP's office, participation in faculty searches as diversity advocates, availability for (external to the home department) mentoring and/or discussion with faculty who would like to raise issues related to department climate.
      iv) Diversity Council members should be remunerated for this work.
   c) **Develop and publicize an A&S Diversity Mission Statement** that outlines the benefits of pursuing diversity around the principles of equality and excellence. The Diversity Advisory Council should play an active role in composing this statement.
   d) **Increase the visibility and staff support for the Office of Faculty Development and Diversity.**

     i)   Establish a direct reporting line to the EVP to increase interaction with the EVP and Divisional Deans.

     ii)   Add administrative support to increase the capacity of the office to add programs related to inclusion, equity, mentoring and improving department climate.

e) **Align A&S processes to consistently include diversity and inclusive climate elements** to increase and sustain focus on faculty and student diversity, advancement, retention and climate.

     i)   **Instructional Budget Statements** should include Departmental Diversity Strategic Plans (Section I.6.i) and review of past departmental efforts to diversify the faculty.

     ii)   **Academic Review Committee self-studies and reports** should include the department's past efforts to diversify the faculty and student body, the department's history and current standing in terms of equity and inclusion efforts and harassment and discrimination complaints among faculty, students and staff, as well as medium- and long-term plans by departments to enhance diversity where needed.

     iii) **Faculty Information Forms (FIF)** should ask faculty to explicitly note diversity-related mentoring and service. High levels of such service should be rewarded with a pool of TFRP allocations. A&S should implement an online FIF system to enable easier updating and analysis.

f) **Introduce new processes to strengthen the focus on diversity, inclusion, and broader climate issues.**

     i)   Introduce **Departmental Diversity Strategic Plans** and **Departmental Values Statements** by initially piloting development and implementation with 3 departments (one per division) that will act as models for other departments.

     ii)   **Institutionalize regular surveys and reviews** (e.g., every 5 years) of climate, workload, and satisfaction like those recently completed by the Divisional Equity Committees.

     iii) Establish an **Exit Interview Process** for capturing issues from faculty who leave.

2) Diversity Recruitment

a) **Enable more effective use of diversity funds by customizing programs for Arts & Sciences.**

     i)   We request the Office of the Vice Provost for Faculty Diversity to provide ≈ 1/3 of the funds currently allocated for Target of Opportunity and similar programs for increasing faculty diversity (e.g., supplemental funds for Standard Searches resulting in a diverse selectee) directly to A&S. This will:

          (a) Make the Target of Opportunity process in A&S more accommodating to differences in hiring timelines that exist across departments.

          (b) Allow flexibility in use of funds for:

               (i)   Dual career hiring for diverse candidates

               (ii) Piloting new promising practices to enhance diversity hiring

     ii)   Faculty diversity grows most in times of faculty expansion. Half of all Target of Opportunity diversity hires should be incremental and not substitutional to incentivize use of the program. Departments that have shown significant effort and/or progress on diversity searches and climate issues should be rewarded through faculty growth.

b) **Contribute to an enhanced pipeline** through more support for diversity-focused programs and funds at the graduate student and postdoctoral levels.

c) **Continue Implementation of Best Practices in Faculty Hiring.**

     i)   Update existing official A&S Standard Search Processes (SSEPs) developed in 2008 to be consistent with the practices cited in Columbia's Guide to Best Practices in Faculty Hiring and A&S current processes for equitable hiring.

    ii)   Develop and implement a set of guidelines for A&S Target of Opportunity searches so that these also utilize best practices for equity as employed in standard searches.

3) Inclusive and Equitable Climate

The framework of these recommendations are deeply informed by the PPC Equity Committees' work and by the principles outlined in Waltman and Hollenshead [3], which identified transparency, uniformity and assistance as guiding principles.

a) Work with Department Chairs to improve department climate
    i)   Offer workshops for chairs and others in leadership positions on understanding the benefits and antecedents of a positive department climate, as well as related topics such as Bystander Training.
    ii)   Provide an easy to implement, centralized survey tool for voluntary assessment of department climate.

b) Provide assistance for faculty career advancement
    i)   Actualize and publicize junior faculty mentoring plans. Ask that departments post their mentoring plans on department websites.
    ii)   Increase communication from the divisional and central level about diversity-related grants and fellowship opportunities to help bridge gaps in communication at the department level.
    iii)   Encourage mentoring across the whole career cycle, not just for junior faculty.

c) Enhance procedural fairness and uniformity
    i)   Develop a process for **merit promotions** to enhance salary equity, increase transparency and procedural fairness, and reduce reliance on "outside offers" as leverage for salary increases. In addition to enhancing equity and transparency, such a process will counteract differentials in gender and along other lines with respect to ability to seek and/or receive such offers.
    ii)   Establish systems to **track retention offers** and report on equity in retention offers across demographic groups.

Summary Statement

Becoming a more diverse and inclusive community is central to Arts and Sciences' research and teaching mission. This plan seeks to enable organizational and cultural change within Arts and Sciences to create a more diverse, welcoming and inclusive climate for all faculty and students. It sets metric goals for female and URM hiring over the next five years but aspires to longer-term, broader goals. Not only should the diversity of A&S faculty reflect the diversity of its student body but A&S should cultivate a climate of equity and inclusion that provides all members of the community an equal opportunity to thrive. These goals can only be achieved through systematic effort, a shared belief in the value of diversity, and long-term commitment within departments and Arts and Sciences' leadership.

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[3] Waltman, J. and Hollenshead, C. (2005). Creating a positive departmental climate: Principles for best practices, prepared for NSF ADVANCE at the University of Michigan.

Composition of the Working Group

Allison Busch, Associate Professor of Middle Eastern, South Asian and African Studies, Chair of the Working Group (Chair, April – May 2018)

Susan Drange, Associate Dean, Faculty Development and Diversity, Office of the EVP (ex officio)

Page Fortna, Harold Brown Professor of US Foreign and Security Policy

Ruben Gonzalez, Professor of Chemistry

Robert Gooding-Williams, M. Moran Weston/Black Alumni Council Professor of African American Studies

Ellie Hisama, Professor of Music

Jean Howard, George Delacorte Professor in the Humanities

Laura Kaufman, Professor of Chemistry, Chair of the Working Group (Chair, June-August 2018)

Fredrik Palm, Chief Administrative and Academic Affairs Officer, Office of the EVP (ex officio)

Valerie Purdie-Greenaway, Associate Professor of Psychology

David Schiminovich, Professor of Astronomy

Appendix: Evaluation Methodologies and Metrics

For each priority area in the Diversity Strategic Plan, metrics and methodologies for evaluation are suggested. Evaluation is embedded in the plan so that annual Strategic Plan review and potential updates come from an informed position and actions and interventions leading to positive change may be amplified while others may be modified.

Structure and Accountability

1. **Analyze IBS statements, ARC review self-reports, and Departmental Diversity Plans and Values Statements** to understand how departments are thinking about diversity and the various initiatives at the department level. Use this to share best practices across departments.
2. **Analyze FIFs** to observe patterns in diversity service work and mentoring, towards assigning TFRP credits.
3. **Interview department chairs** to assess how they are thinking about diversity, the usefulness of structural elements as well as the development process for diversity plans and values statements.
4. **Interview or survey search committee chairs, department chairs and divisional deans** to assess the effectiveness of the Office for Faculty Development and Diversity.

Diversity Recruiting

1. Continue to **analyze the diversity of applicant pools, short lists, finalist lists, and offers** by search type by department and division and report back to search committee members and chairs. Compare these measures over time to see if recruitment efforts are drawing more diverse applicant pools and candidates offered positions.
2. **Compare the demographics of offers to yield** to see if we are failing to yield candidates from particular groups in greater proportions. Also compare offers to yield for Target of Opportunity offers.
3. **Analyze the usage and results of new programs** created using Target of Opportunity funds, e.g., diversity postdoctoral fellows or partner hire programs.
4. **Examine the composition of the faculty by group in 2017 vs. 2023** to see if goals have been met. Also compare these data to the Turnover Quotients in item 2 below.

Inclusive and Equitable Climate

1. **Analyze multiple years of climate survey results** (whether run by the Senate or A&S) by group to determine if positive change was achieved year over year. Group analysis should extend beyond women and URM faculty and include Asian, LGBTQ, and disabled faculty.
2. **Compare Turnover Quotients (TQ)** for all ladder faculty compared to URM and female faculty during the period of study. TQ figures could be derived for 2012 – 2017 and compared to the TQ figures for 2018 – 2023 to see if retention of women and URM faculty has increased.

    Turnover Quotient (TQ) is a percentage derived by dividing the net change in faculty (of a type) by the total number of new hires (of the same type) during the same period of time[4]. TQ for URM faculty 2012-2017 would be expressed as:

    $$\text{TQ URM} = \left[1 - \frac{(\text{URM fac 2017} - \text{URM fac 2012})}{\text{New URM hires}}\right] \times 100$$

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[4] Moreno et al. (2006). *The revolving door for underrepresented minority faculty in higher education*, a research brief from the James Irvine Foundation Campus Diversity Initiative Evaluation Project.

3. **Junior Faculty Mentoring** - Compare results from Junior Faculty Advisory Board (JFAB) mentoring surveys year to year to see if improvement is made.
4. **Analyze data on retention offers by group** to determine if groups receive offers at similar rates and of similar value in equitable proportions.
5. Once implemented, **analyze the results of merit promotion process** to determine level of use and equity in outcomes by group. After 5 years of implementation, analyze salary equity overall compared to before the program was implemented.
6. **Gather climate workshop surveys** to determine usefulness of program.
7. **Track usage of the survey tool** for departments to survey their own climates. Determine the effectiveness of the survey as a tool for organizational change based on feedback from department chairs.