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**University of California  
Berkeley**

**ACADEMIC AFFIRMATIVE ACTION  
PROGRAM FOR ACADEMIC EMPLOYEES**

**FOR THE PERIOD OF**

**September 2011 – August 2012**

**Prepared by UCB Chancellor's Office – The Faculty**

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Executive Order 11246  
**Affirmative Action Program for  
Minorities and Women**

Rehabilitation Act and Vietnam Era Veterans Readjustment Assistance Act  
**Affirmative Action Program for  
Individuals with Disabilities and Covered Veterans**

**University of California, Berkeley**

**September 1, 2011 – August 31, 2012**

**Parent Organization: University of California  
Employer Identification Number: 94-1539563**

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# ACADEMIC AFFIRMATIVE ACTION PROGRAM

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# INTRODUCTION

Federal regulations under Executive Order 11246, as amended, prohibit discrimination on the basis of race, color, sex, religion, or national origin and require federal contractors to take affirmative action to ensure equality of opportunity in all aspects of employment. Federal regulations under the Rehabilitation Act of 1973, as amended, the Vietnam Era Veterans Readjustment Assistance Act of 1974, as amended, prohibit discrimination on the basis of disability or covered veteran status, respectively, and require affirmative action to employ and advance in employment qualified individuals with disabilities and qualified covered veterans. This report provides the annual update of the Academic Affirmative Action Program for the following groups within the academic community at the University of California, Berkeley:

- Women and federally designated ethnic groups. Per federal regulations, the designated ethnic groups include Blacks (hereinafter referred to as African Americans), Hispanics, Asians or Pacific Islanders (referred to collectively as Asians), and American Indians or Alaskan Natives (referred to collectively as American Indians).
- Covered veterans. This group includes disabled veterans, Vietnam-era veterans, recently separated veterans, veterans who served on active duty in the U.S. military, ground, naval or air service during a war or in a campaign or expedition for which a campaign badge has been authorized and Armed Forces service medal veterans.
- Persons with disabilities. This group comprises qualified individuals with known disabilities.

Finally, this report includes information regarding compliance with the federal guidelines on discrimination because of religion or national origin.

The Academic Affirmative Action Program for women and minorities serves as a management tool designed to ensure equal employment opportunity. The program contains a diagnostic component which includes a number of quantitative analyses designed to evaluate the composition of the workforce and compare it to the composition of the relevant labor pools to identify discrepancies between the two by gender and ethnicity. Our affirmative action program also includes action-oriented programs designed to correct any identified problem areas and to achieve established goals and objectives.

This program has been prepared in conformance with regulations from the Office of Federal Contract Compliance Programs (OFCCP) within the US Department of Labor in an effort to implement certain executive orders and legislative acts requiring federal contractors to take affirmative action to ensure equal opportunity in employment. The programs and their respective governing regulations are as follows:

- The program for women and designated ethnic groups is governed by 41 Code of Federal Regulations (CFR), § 60-2, Subsection B (revised regulations approved November 3, 2000, and effective December 13, 2000) which implements Executive Order (EO) 11246, as amended by EO 11375 and EO 12086.
- The guidelines regarding religion and national origin are established by 41 CFR §60-50, which implements EO 11246, as amended by EO 11375 and EO 12086.

- The program for covered veterans, as described above, is governed by 41 CFR §60-250 and 60-300, which implements Section 402 of the Vietnam Era Veterans Readjustment Assistance Act of 1974, as amended.
- The program for persons with disabilities, is governed by 41 CFR §60-741, which implements §503 of the Rehabilitation Act of 1973, as amended.

In addition to its obligation as a federal contractor, the University of California, Berkeley is also obligated to uphold Article I, §31 of the California State Constitution as established by the California Civil Rights Initiative (Proposition 209).

## **TIME PERIOD COVERED BY THE PROGRAM**

### **Reporting Year: 2010 – 2011**

As part of UC Berkeley's ongoing audit process, we have conducted a thorough analysis of the following personnel matters for the 12-month year period from May 16, 2010 to May 15, 2011. Data made available by the Academic Personnel Office at UC Berkeley during one academic year are used in preparing the Academic Affirmative Action Program for the following year. This update assesses personnel activities, evaluates the composition of the workforce and identifies areas of underutilization of women and designated minorities, and establishes new goals for the upcoming academic year.

### **Program Year: 2011 – 2012**

The program for women and designated ethnic groups describes the action-oriented efforts to be made during the period of September 1, 2011 to August 31, 2012.

# COMMITMENT TO EQUAL EMPLOYMENT OPPORTUNITY/ AFFIRMATIVE ACTION

The University of California, Berkeley (University or UC Berkeley) is an equal opportunity employer.

It is the policy of UC Berkeley not to engage in discrimination against or harassment of any person employed by or seeking employment with the University on the basis of race, color, national origin, religion, sex, gender identity, pregnancy<sup>1</sup>, physical or mental disability, medical condition (cancer-related or genetic characteristics), genetic information (including family medical history), ancestry, marital status, age, sexual orientation, citizenship, or service in the uniformed services (as defined by the Uniformed Services Employment and Reemployment Rights Act of 1994).<sup>2</sup> UC Berkeley will continue to ensure that all personnel matters, including recruitment, selection, promotion, transfer, merit increase, salary, training and development, demotion, and separation, are in accordance with the University of California's commitment to equal opportunity.

University policy also prohibits retaliation against any employee or person seeking employment for bringing a complaint of discrimination or harassment pursuant to this policy. This policy also prohibits retaliation against a person who assists someone with a complaint of discrimination or harassment, or participates in any manner in an investigation or resolution of a complaint of discrimination or harassment. Retaliation includes threats, intimidation, reprisals, and/or adverse actions related to employment.

In addition, consistent with its obligations as a state and federal contractor and in conformance with University policy, UC Berkeley undertakes affirmative action for minorities and women, for persons with disabilities, and covered veterans.<sup>3</sup> UC Berkeley is committed to making every good faith effort toward achieving and maintaining a diverse workforce that is representative of the availability of qualified women and minorities. These efforts conform to all current legal and regulatory requirements, and are consistent with University standards of quality and excellence.

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<sup>1</sup> Pregnancy includes pregnancy, childbirth, and medical conditions related to pregnancy or childbirth.

<sup>2</sup> Service in the uniformed services includes membership, application for membership, performance of service, application for service, or obligation for service in the uniformed services.

<sup>3</sup> Covered veterans includes veterans with disabilities, recently separated veterans, Vietnam era veterans, veterans who served on active duty in the U.S. Military, Ground, Naval or Air Service during a war or in a campaign or expedition for which a campaign badge has been authorized, or Armed Forces service medal veterans.

# 1

## **RESPONSIBILITY FOR IMPLEMENTATION & DISSEMINATION OF POLICY**

### **RESPONSIBILITY FOR IMPLEMENTATION**

#### **Chancellor and Executive Vice Chancellor & Provost**

The ultimate responsibility for equal employment opportunity and affirmative action rests with the Chancellor and the Executive Vice Chancellor & Provost, subject to the authority and guided by the policies of the President of the University of California and its governing body, the Board of Regents. Chancellor Robert J. Birgeneau and Executive Vice Chancellor & Provost George W. Breslauer, as chief executive officers for UC Berkeley, have delegated programmatic responsibility for academic affirmative action to other principal officers.

#### **Vice Chancellor for Equity & Inclusion**

The Vice Chancellor-Equity and Inclusion Gibor Basri reports to the Chancellor and serves as the Chancellor's leading senior executive responsible for providing a holistic and integrated vision on all major equity and inclusion efforts to enhance the educational and research mission of the campus and to foster an environment that is welcoming and supportive for all students, faculty and staff. The campus has many excellent initiatives and active programs which the VC-E&I is expected to support, help shape and transform. Additionally, the VCE&I will develop and implement new initiatives and programs to provide focus and accountability for equity and inclusion across all aspects at UC Berkeley. Critical metrics of success will be measurable improvements in climate, recruitment, and retention of a diverse student body, faculty and staff workforce. The VCE&I employs an analyst, Art Gong, who is specifically tasked with gathering and organizing campus data relevant to the evaluation of progress in equity and inclusion. This analyst sits in the campus Office of Planning and Analysis.

#### **Vice Provost for the Faculty**

As the principal officer charged with oversight and management of all aspects of the academic personnel process for Senate and non-Senate faculty (and also all academic titles) on the UC Berkeley campus, Vice Provost for the Faculty Janet Broughton has been delegated approval for a range of actions, including managing academic compensation issues, developing and overseeing programs and policies dealing with faculty recruitment, development and retention. Vice Provost Broughton has responsibility for overseeing and coordinating compliance with equal opportunity and affirmative action regulations for academic employment matters.

#### **Associate Vice Provost for the Faculty**

As delegated by the Chancellor and Executive Vice Chancellor & Provost, Associate Vice Provost for the Faculty Angelica M. Stacy serves as the principal advisor to the Executive Vice Chancellor & Provost on non-discrimination and affirmative action matters involving all academic employees, and reports operationally to the Vice Provost for the Faculty.

Associate Vice Provost Stacy reviews personnel actions and enforces policies and procedures dealing with recruitment, selection, and appointment of prospective faculty members. The Associate Vice Provost also develops and recommends new initiatives designed to correct underutilization of women and minorities in academic positions; advises academic employees with concerns about equity, equal opportunity, or discrimination; and serves as the campus administration's liaison with the Academic Senate Committee on the Status of Women and Ethnic Minorities (SWEM) and affirmative action advocacy groups at departmental and campus levels.

### **Director – Data Initiatives**

Director of Data Initiatives Marc Goulden has primary responsibility for the development of the Academic Affirmative Action Program, including collection and evaluation of academic personnel data to monitor the results of the academic affirmative action program and identify problem areas. Director Goulden administers the collection of data for the reports maintained in the Academic Personnel System.

### **Director, Faculty Equity and Welfare**

The Director of Faculty Equity and Welfare, Karie Frasch, works under Associate Vice Provost Stacy and oversees the day-to-day operations of the Office for Faculty Equity and Welfare. Director Frasch analyzes policies, programs and issues that support the University in recruiting, appointing, and retaining a diverse faculty, including women and underrepresented minorities, as well as proposing new initiatives, programs, and practices to increase their representation. Director Frasch also supports Associate Vice Provost Stacy in reviewing personnel actions and procedures.

### **Director of Academic Personnel**

This position oversees the centralized academic human resource unit and provides staff support for the implementation of the Academic Affirmative Action Program. The director monitors academic personnel actions, advises and trains academic administrators, deans and department chairs on academic personnel matters, including the coordination of good faith efforts to recruit and retain a diverse academic workforce in departmental recruitment and search procedures.

### **Deans, Directors, Department Chairs, Unit Managers**

These academic administrators are responsible for ensuring that, at the department level, all academic personnel actions are conducted in accordance with established affirmative action practices and procedures. This responsibility includes reviewing annual information provided by the Director and Associate Vice Provost for the Faculty regarding underutilization of women and minorities in academic positions and developing strategies to ensure equal opportunity and non-discrimination in hiring, promotion, retention policies and compensation practices. Duties of these department supervisors include assisting the director of the faculty in the identification of problem areas and in the establishment of department goals and objectives, being actively involved in recruiting from minority and women's organizations, and performing periodic audits of hiring and promotion patterns to isolate impediments to the attainment of goals and objectives.

## **Berkeley Division of the Academic Senate Chair and Vice Chair**

The Berkeley Division of the Academic Senate embodies the University of California's tradition of shared-governance, that is, the concept that faculty should share in the responsibility for guiding the operation and management of the university. The chair and vice chair of the academic senate are responsible for representing ladder rank faculty by referring matters to officers or agencies of the academic senate and of the administration, as appropriate. In their capacity as leaders of the academic senate, the Chair and Vice Chair are responsible for coordinating the election and selection of academic senate committees and making a good faith effort to ensure nondiscrimination in its processes and policies.

## **Academic Senate Committee on Budget and Interdepartmental Relations (Budget Committee)**

The Budget Committee consists of nine appointed members of the Berkeley Division of the Academic Senate. Members of the Budget Committee are responsible for representing ladder rank faculty (via the Academic Senate) in academic appointment and promotion matters. The Budget Committee participates in the academic personnel process by offering advice and making recommendations to central administration (the Chancellor, Executive Vice Chancellor & Provost, and the Vice Provost for Faculty Affairs and Faculty Welfare) on all academic appointments, promotions and merit increases, and other matters related to the quality of the faculty. Guided by its mandate to maintain excellence of the faculty and to promote the equal treatment of faculty, the Budget Committee shares responsibility with senior management for ensuring equal employment opportunity and nondiscrimination in evaluation of applicants, interviewing, hiring and promotion decisions.

## **Academic Senate Committee on the Status of Women and Ethnic Minorities (SWEM)**

The Committee on the Status of Women and Ethnic Minorities (SWEM) consists of at least five senate members appointed from the Berkeley Division of the Academic Senate Committee on Committees, and two student members, and the Associate Vice Provost for the Faculty, ex officio as a voting member. SWEM promotes departmental efforts to achieve equality for women and minorities. Its core functions include: 1) stimulating and aiding all departments in strengthening their efforts to foster and achieve equality of opportunity for women and minorities; 2) conducting continuous review of all problems concerning the status of women and ethnic minorities at UC Berkeley; and 3) reporting to the Academic Senate annually on the progress of the campus in achieving equality of opportunity for women and minorities.

## INTERNAL DISSEMINATION OF POLICY

The University broadly communicates its non-discrimination and affirmative action policies internally by:

- Distributing the Academic Affirmative Action Program to the Chancellor, Executive Vice Chancellor & Provost, assistant and associate chancellors, vice chancellors, assistant and associate vice chancellors, vice provosts, associate and assistant provost, associate and assistant vice provost and all deans and briefs these individuals on problem areas.
- Arranging special meetings with the Chancellor's Cabinet, management and supervisory personnel to explain the intent of the policy, the Chancellor and Executive Vice Chancellor and Provost's commitment to the policy, and individual responsibilities for effective implementation.
- Reporting on academic affirmative action to the full Berkeley Division of the Academic Senate.
- Including the policy in the Academic Personnel Manual (APM); Personnel Policies for Staff Members and Personnel Policies for Senior Managers.
- Incorporating nondiscrimination and affirmative action clauses in all collective bargaining agreements for academic employees, and reviewing all contractual provisions to ensure that they are nondiscriminatory.
- Posting the policy on all departmental bulletin boards.
- Explaining the policy and strategies for successful affirmative action recruiting in meetings with academic search committees for ladder-rank faculty recruitments.
- Making current academic employees aware of the existence of UC Berkeley's Office for Faculty Equity and Welfare and the benefits and resources available to them.
- Publishing UC Berkeley's equal employment/affirmative action policy statement in the General Catalog and the *Daily Californian* (a daily student newspaper).
- Providing a yearly contribution to the Diversity Accountability Report for the Office of the President. This report is publically available.
- Maintaining a web presence for diversity, with a link on the UC Berkeley homepage.

In addition, Chancellor Birgeneau reaffirms the campus commitment to affirmative action in a letter issued to the campus community via electronic mail and the letter appears in the listing of administrative memos on the campus website. The Chancellor expresses his strong support for affirmative action in numerous campus statements and publications. Copies of the Academic Affirmative Action Program are available on the website of the Office for Faculty Equity and Welfare.

## **EXTERNAL DISSEMINATION OF POLICY**

UC Berkeley communicates its non-discrimination and affirmative action policies externally by:

- Including a consolidated statement in all advertising and other outreach publicity.
- Incorporating the equal opportunity/affirmative action policy statement into all purchase orders and subcontracts covered by Executive Order 11246 as amended.
- Working cooperatively with other University of California campuses and community organizations to participate in job fairs and other recruiting activities at which UC Berkeley's affirmative action policies are publicized.
- Displaying photographs of faculty, staff, and students, women, minorities, and people with disabilities in campus publications.

In addition, Chancellor Birgeneau makes known his support for affirmative action to achieve an inclusive environment and equal employment opportunity in statements made in public forums locally, nationally, and internationally.

## 2

# ORGANIZATIONAL PROFILE OF THE ACADEMIC COMMUNITY

Reference: 41 CFR § 60–2.11.

The academic community is composed of individuals who engage in teaching or research, or hold academic positions that directly support these activities. The academic community includes all ladder-rank and equivalent faculty, and those non-ladder rank academic personnel employed half-time, temporary or full-time. An organizational profile has been developed to provide an overview of the structure of this employment community and its ethnic and gender composition. For a detailed analysis of the non-academic or staff community see the Staff Affirmative Action Plan.

As of May 15, 2011, the University of California, Berkeley employed 6321 employees with an academic title at its establishment. UC Berkeley organizes its academic workforce by Schools or Colleges and Divisions. Most Schools and all Colleges and Divisions comprise individual departments.

Pursuant to 41 CFR §60–2.11, we have provided below (presented in Table A) an organizational profile representing the Academic Community effective May 15, 2011.

**Table A: ORGANIZATIONAL PROFILE OF THE ACADEMIC WORKFORCE  
AS OF 05/15/2011**

UNIT		WORKFORCE														Grand Total		
		Men:							Women:									
		Wht	Afr	His	Asn	AI	Unk	Total	Wht	Afr	His	Asn	AI	Unk	Total			
Executive Vice Chanc. & Provost (EVC&P)	Vice Chancellor - Equity & Inclusion																	
	Assist Vice Prov Undergrad Ed							0	1	1							2	2
	Ctr Educational Partnerships	4	11	7				22	5	4	12	8		1		30	52	
	Professional Development Program			1	1			2									0	2
	Young Musicians Program	7	3				1	11	6		1	1				8	19	
	Subtotal VC Equity & Inclusion	11	14	8	1	1	0	35	12	5	13	9	0	1		40	75	
	Vice Chancellor - Research																	
	Administrative Units	3					1	4	1			1				2	6	
	Museum & Field Stations																	
	Berk. Nat. His. Mus. Admin.							0	1							1	1	
	Blue Oak Reserve	1						1								0	1	
	Botanical Garden							0	1							1	1	
	Gump Research Field Station	2						2								0	2	
	Hearst Mus. Of Anthropol.	1						1	1							1	2	
	Mus of Entomology	4						4	2		1					3	7	
	Mus of Paleontology	1						1								0	1	
	Mus of Vertebrate Zoology	9	1			1		11	7		2	1				10	21	
	University/Jepson Herbaria	7				1		8	1					1		2	10	
	Subtotal: Museum & Field	25	1	0		2	0	28	13	0	3	1	0	1		18	46	
	Research Units																	
	Africa Studies Ctr							0		1						1	1	
	Archaeological Res Facility	1		1				2								1	2	
	Cal Inst for Energy & Environ	2			1		3	6	2					1		3	9	
	Ctr Environ Design Research	5	1		1		1	8	1			3				4	12	
	Center Integrative Planetary	5	1			2		8						1		1	9	
	CITRIS	1						1								0	1	
	Ctr for Emerg & Neglected Dis					1		1	2							2	3	
	Deep Underground Sci & Eng Lab	1					1	2								0	2	
	Energy Biosciences Institute	23				11		40	12		1	2		11		26	66	
	Helen Wills Neuroscience Inst	23		1		10		42	14			2		14		30	72	
	History of Sci & Technology							0						1		1	1	
	Inst East Asian Studies	2	1					3	1			4				5	8	
	Inst of Bus & Econ Research	8		1				9	6		2	3				11	20	
	Inst of Cognitive Studies							0				1		1		2	2	
	Inst of Governmental Studies	5						5	4							4	9	
	Inst of Human Development							0	6							6	6	
	Inst of Industrial Relations	2					2	4	10	1	1	5				17	21	
	Inst of Personality & Soc Res							0	2							2	2	
	Inst of Urban & Regional Devel	2				1		3						1		1	4	
	Inst Study of Social Change	3						3	2							2	5	
	Inst Transportation Studies	56	1	2		23		86	8		2		1		11	97		
	Institute International Stud	2						2	4							4	6	
	Institute of European Studies							0	1							1	1	
	Institute of the Environment						1	1								0	1	
	Latin Am Studies Ctr for							0			1					1	1	
	Miller Inst Basic Research	14		1		6		25	6			1		1		8	33	
	Nanosci & Nanoeng. Inst	1		1		3		5	1			1				2	7	
QB3 Institute	57	1	4		39	1	123	29	1	1	22		19		72	195		
Radio Astronomy Lab	9					3	12						1		1	13		
Slavic & East Euro Studies	1						1								0	1		
South Asian Studies							0				1				1	1		
Space Sciences Laboratory	76		4		15		99	14		1	7		1		23	122		
Survey Research Ctr	1						1				1				1	2		
Theoretical Astrophysics Ctr	3				2		7								0	7		
UC Transportation Ctr							0				1				1	1		
Subtotal: Research Units	303	5	15		115	1	499	125	3	8	55	0	53		244	743		
Vice Chancellor - Student Affairs																		
All Sections	25	1	2		4		32	58	1	4	8	1	2		74	106		

**Table A: ORGANIZATIONAL PROFILE OF THE ACADEMIC WORKFORCE  
AS OF 05/15/2011**

		Men:							Women:							Grand Total
		Wht	Afr	His	Asn	AI	Unk	Total	Wht	Afr	His	Asn	AI	Unk	Total	
VP Academic Affairs & Fac Welfare																
	Energy & Resources Grp	3		1			1	5	1			1			2	7
	Faculty Equity Office							0	1						1	1
	Subtotal: Academic Affairs	3	0	1	0	0	1	5	2	0	0	1	0	0	3	8
VP Tchng, Lrng, Acad Plan & Facil																
	Immediate Office	1						1							0	1
	Athletic Study Center							0	3						3	3
	Osher Lifelong Learning Inst	7			1		6	14	2				2		4	18
	Student Learning Ctr	3			2			5		2	1				3	8
	Summer Sessions	2			1			3	2						2	5
	University Extension	331	7	18	81	1	20	458	337	18	24	48	2	10	439	897
	Subtotal: Tchng, Lrng, Acad Plan	344	7	18	85	1	26	481	344	20	25	48	2	12	451	932
VP Divisionwide Prov & Expense																
	College of Natural Resources	10	1		1			12	3						3	15
	Statewide Programs	5	1					6							0	6
	Subtotal: Divisionwide	15	2	0	1	0	0	18	3	0	0	0	0	0	3	21
<b>Subtotal All Senior Executive areas:</b>		<b>729</b>	<b>30</b>	<b>44</b>	<b>208</b>	<b>3</b>	<b>88</b>	<b>1102</b>	<b>558</b>	<b>29</b>	<b>53</b>	<b>123</b>	<b>3</b>	<b>69</b>	<b>835</b>	<b>1937</b>
University Library		30	1	3	5		2	41	33	2	3	12		2	52	93
Central Campus																
	UCOP Control Ops Loc J	1						1							0	1
	Ctrl Ops General Accounting	2						2	2						2	4
	Ctrl Ops Payroll	5	1		1			7	6				1		7	14
	Assoc. VC Budget & Resource Plan	1						1							0	1
	Exec Vice Chanc & Prov Dep	2						2	4	1			2		7	9
	Graduate Division	2						2	3						3	5
	Subtotal: Central Campus	13	1	0	1	0	0	15	15	1	0	0	0	3	19	34
College of Chemistry																
	Dean's Office, College of Chemistry	3		1	1		1	6	2						2	8
	Chemical Engineering	23	1	2	18		1	45	4		1	4		3	12	57
	Chemistry	66	3	4	28		8	109	24		3	16		4	47	156
	Subtotal: Chemistry	92	4	7	47	0	10	160	30	0	4	20	0	7	61	221
College of Engineering																
	Dean's Office, College of Engineering		1		1			2	1					1	2	4
	Bioengineering	14			5		1	20	7			1			8	28
	Civil and Envir Engn	34		4	5	1		44	6		1			1	8	52
	Earthquake Engin Res Ctr	4			1			5	3			1			4	9
	Electrical Engn & Comp Sci	66	1	4	21		9	101	3		1	3		2	9	110
	Engineering Research	82	1	4	67		12	166	11	1		11		3	26	192
	Industrial Engn & Oper Rsch	12			3		1	16	2			2		1	5	21
	Inst for Environ Sci & Engineer	3					1	4				3			3	7
	Materials Science & Engn	10		2	3			15	1			2			3	18
	Mechanical Engineering	27		3	14			44	4			1			5	49
	Nuclear Engineering	11		1	2			14	1						1	15
	Subtotal: Engineering	263	3	18	122	1	24	431	39	1	2	24	0	8	74	505

**Table A: ORGANIZATIONAL PROFILE OF THE ACADEMIC WORKFORCE  
AS OF 05/15/2011**

		Men:						Women:						Grand Total		
		Wht	Afr	His	Asn	AI	Unk	Total	Wht	Afr	His	Asn	AI		Unk	Total
College of Envir Design																
	Architecture	23		2	2		7	34	11			2		7	20	54
	City & Reg Planning	8	1	1			3	13	8		2	1			11	24
	Envir. Design Dean's Office	1						1	2						2	3
	Landscape Arch & Env Pln	14	1	1	1		5	22	9					2	11	33
	Subtotal: Envir Design	46	2	4	3	0	15	70	30	0	2	3	0	9	44	114
College of L & S - Arts and Humanit.																
	Dean's Office, College of (L&S)	2	1		1			4	2	1	1	1			5	9
	Art Practice	6		1	1		1	9	6	1		2		1	10	19
	Berkeley Language Ctr							0	1						1	1
	Buddhist Studies	1					1	2							0	2
	Classics	11		1			1	13	4					2	6	19
	Comparative Literature	4		2				6	5		1			1	7	13
	East Asian Lang & Cul	7	1	1	3			12	1			27			28	40
	English	27	3	2	4		1	37	28	4		4		3	39	76
	Film and Media	3						3	6			1		1	8	11
	French	6			1		1	8	15			1			16	24
	German	9					2	11	8					1	9	20
	History of Art	6						6	7	1	1	3		2	14	20
	Italian Studies	4						4	6					1	7	11
	Music	37	4	1	4		4	50	35	1		9		3	48	98
	Near Eastern Studies	11			2			13	11					2	13	26
	Philosophy	12		1				13	7					1	8	21
	Rhetoric	7	1		1			9	7					1	8	17
	Scandinavian Languages	3					1	4	8					1	9	13
	Slavic Languages & Lit	6			1		1	8	11					2	13	21
	South & Southeast Asian Stud	4			3		2	9	3			10		1	14	23
	Spanish & Portuguese	3		2		1		6	8		4			6	18	24
	Theater, Dance, & Perf	8		1	1			10	10	3	1	3			17	27
	Subtotal: Arts & Humanities	177	10	12	22	1	15	237	189	11	8	61	0	29	298	535
L & S - Biological Sciences																
	Cancer Research Lab	3			3			6	6			5		1	12	18
	Electron Microscope Lab	1						1							0	1
	Integrative Biology	34	2	1	1		13	51	16					12	28	79
	Molecular Cell Biology	95	1	7	34		23	160	62		3	39		17	121	281
	Physical Education	5			3			8	2			2			4	12
	Subtotal: Biological Sciences	138	3	8	41	0	36	226	86	0	3	46	0	30	165	391
L & S - Physical Sciences																
	Astronomy	23			4		3	30	3			1			4	34
	Berkeley Seismological Lab	2			2			4	2						2	6
	Earth & Planetary Science	35		1	8	1	2	47	11			4		1	16	63
	Mathematics	57		1	5		8	71	10			1		1	12	83
	Physical Sc Dean's Off	1						1	3						3	4
	Physics	76			27		7	110	6		1	2			9	119
	Statistics	19			2			21	5		1	5		1	12	33
	Subtotal: Physical Sciences	213	0	2	48	1	20	284	40	0	2	13	0	3	58	342

**Table A: ORGANIZATIONAL PROFILE OF THE ACADEMIC WORKFORCE  
AS OF 05/15/2011**

	Men:							Women:							Grand Total	
	Wht	Afr	His	Asn	AI	Unk	Total	Wht	Afr	His	Asn	AI	Unk	Total		
<b>L &amp; S - Social Sciences</b>																
African American Studies		12				1	13		3		1			4	17	
Anthropology	16			2		1	19	14			4			18	37	
Bain Research Group							0				2			2	2	
Demography	2						2	1					2	3	5	
Economics	29		4			4	37	5					1	6	43	
Ethnic Studies	1		8	5	2	2	18	2		7	10	2		21	39	
Gender Women's Studies							0	7		2	3			12	12	
Geography	8			3		1	12	1			3			4	16	
History	38	1	3			1	43	21	3	1	3			28	71	
Linguistics	10						10	9						9	19	
Political Science	31		1	7		3	42	10		1			1	12	54	
Psychology	31	1	2	4			38	42	1	2	6			51	89	
Sociology	20	2	1	1		1	25	11	1	2	1		1	16	41	
Subtotal: Social Sciences	186	16	19	22	2	14	259	123	8	15	33	2	5	186	445	
<b>College of Natural Resources</b>																
Dean's Office, CNR	5	1	1			1	8	14	1				1	5	21	29
Agriculture & Res Econ Pol	21						21	8						8	29	
Envir, Sci, Pol & Mgmt	49	1	9	12		3	74	34	1	1	10	1	1	48	122	
Nutritional Science & Tox	15		1	5		1	22	12			4			16	38	
Plant & Microbial Biology	35		1	12		20	68	27	1	4	12		11	55	123	
Subtotal: CNR	125	2	12	29	0	25	193	95	3	5	26	2	17	148	341	
<b>School of Business</b>																
All sections	123	1	9	23		7	163	34	2		6			42	205	
<b>School of Journalism</b>																
All sections	18	2	3	2		1	26	15		3			1	19	45	
<b>School of Information</b>																
All sections	19			4		2	25	5			1			6	31	
<b>School of Education</b>																
All sections	37	7		3		8	55	58	9	6	8		15	96	151	
<b>School of Law</b>																
All sections	121	5	3	6		14	149	94	6	7	9		10	126	275	

**Table A: ORGANIZATIONAL PROFILE OF THE ACADEMIC WORKFORCE  
AS OF 05/15/2011**

		Men:							Women:							Grand Total
		Wht	Afr	His	Asn	AI	Unk	Total	Wht	Afr	His	Asn	AI	Unk	Total	
School of Optometry																
Dean's Office, School of Optometry		38	1	3	17		4	63	15			18			33	96
Optometry Clinic		33		2	18			53	24			14		2	40	93
Subtotal: School of Optometry		71	1	5	35	0	4	116	39	0	0	32	0	2	73	189
School of Public Health																
All sections		86	3	4	21	1	11	126	102	9	15	21		6	153	279
School of Public Policy																
All sections		20	1	3			1	25	4						4	29
School of Social Welfare																
All sections		14	1	3	2			20	23	3	1	1		1	29	49
Undergraduate Division																
College Writing Program		2			1		1	4	12	1		1			14	18
Intl & Area Stud Tchg Prgm		11			1		1	13	5			3		2	10	23
ROTC Military Affairs		7	2	2	1		2	14	1	3	1	1		6	20	
Undergrad Interdisc Studies		20		1	4		3	28	14	1	1	1	1	3	21	49
Subtotal: Undergraduate Div		40	2	3	7	0	7	59	32	5	2	6	1	5	51	110
<b>Grand Total all EVC &amp; P areas:</b>		<b>2561</b>	<b>95</b>	<b>162</b>	<b>651</b>	<b>9</b>	<b>304</b>	<b>3782</b>	<b>1644</b>	<b>89</b>	<b>131</b>	<b>445</b>	<b>8</b>	<b>222</b>	<b>2539</b>	<b>6321</b>

### 3

## JOB GROUP ANALYSIS

Reference: 41 CFR § 60–2.12

### Academic Job Group Analysis

Pursuant to 41 CFR § 60–2.12, for purposes of affirmative action analyses, we have clustered UC Berkeley academic employees into “job groups,” listing all job titles in each job group and the percentage of minorities and women in each job group. To form the basis of the job group analysis, jobs with academic titles with similar content (duties and responsibilities), wage rates, and opportunities (training, promotion, pay and mobility) have been combined and organized to form various job groups. We have a total of eight clustered academic job groups (Cluster A-H), which are further sorted into corresponding job groups, presented in Table B. The Academic Personnel data management system codes corresponding with job titles for each group are shown parenthetically. The table identifies two clustered Senate faculty titles, forming seventeen job groups respectively (tenured faculty and tenure track faculty). These seventeen job groups are based primarily upon major academic disciplines. The subsequent six clusters comprise the non-Senate academics (lecturers, academic administrators, librarians, and other teaching titles, researchers, clinical professors, and university extension specialists). The Chancellor of UC Berkeley is included in the affirmative action plan of the UC Office of the President.

Moreover, we have been mindful of the need to keep job groups sufficiently large to make for meaningful statistical analyses. Although some job groups contain fewer than fifty employees, recommended as a minimum by regulations, the distinctions among lecturers, senate faculty, between tenured and tenure-track, field of specialization, and among academic units, are critical for meaningful analysis. Appointments at the tenured level draw from different potential applicant populations than appointments at the tenure-track (untenured) level. Furthermore, the availability of women and minorities varies greatly from one major academic discipline to another, as represented by the academic job group distinctions.

Finally, while we have considered different job groupings not reflected here, we have rejected those alternatives because they do not make a substantial difference and the job groups we have developed do not mask any potential under-selection of minorities or women. A detailed listing of every job title within each job group is on file in the Office for Faculty Equity and Welfare and is available upon request.

### Academic Workforce: Job Group

The academic workforce comprises those persons employed in academic titles (except those titles requiring student status) by UC Berkeley on May 15, 2011. Please see Table B.

**Tenured Ladder and Equivalent Rank Faculty:** This cluster comprises the associate and full professor ranks, agronomist (tenured), and supervisor of physical education (tenured) titles separated into job groups. Individuals holding these titles are responsible for teaching, creative work (e.g. research, scholarship, artistic activity), and University and public service.

**Tenure-Track Ladder and Equivalent Rank Faculty:** This cluster comprises the assistant professor and acting assistant professor of law ranks, and the assistant agronomist titles. The initial appointment rank is determined by such factors as the quality and quantity of research, teaching, other relevant experience, and public service.

**Lecturers:** Individuals holding this title (including those with security of employment) are responsible for teaching, but not for research. Hiring into this title is determined by departmental teaching needs for a given academic semester or year.

**Clinical Professors:** This cluster comprises faculty who primarily serve as instructors in a clinical setting in the Schools of Optometry, Public Health and the College of Letters and Science, Social Sciences Division.

**Non Ladder Rank Faculty (Non-Senate):** A variety of academic titles compose this cluster to designate those who are invited to become a part of the campus community on a limited basis as teachers and/or researchers.

**Librarians:** The career and potential-career librarians who staff UC Berkeley's system of libraries are responsible for professional service, but not for teaching or research.

**Researchers:** Individuals holding these titles are responsible for research, but not for teaching. The several titles in this group have been aggregated into two levels: a senior level (researchers, associate researchers, specialists, and associate specialists) and a junior level (postgraduate researchers, assistant researchers, assistant specialists, and junior specialists).

**Academic Administrators:** Individuals in these titles are responsible for the administration of academic units. Included within this single academic administrator group are assistant and associate deans, academic coordinators, and other individuals responsible for the administration of academic units.

Table B:      **JOB GROUPS  
                  WITHIN THE ACADEMIC WORKFORCE**

**SENATE FACULTY JOB GROUPS**

<b>Cluster A</b>	<b>TENURED LADDER AND EQUIVALENT RANK FACULTY</b>
	<b>Job Group</b> (CTO 010/040/530)
	1A: College of Chemistry
	2A: College of Engineering
	3A: College of Environmental Design
	4A: College of Natural Resources
	5A: College of Letters and Science - Division of Arts and Humanities
	6A: College of Letters and Science - Division of Biological Sciences
	7A: College of Letters and Science - Division of Physical Sciences
	8A: College of Letters and Science - Division of Social Sciences
	9A: School of Business
	10A: School of Education
	11A: School of Information
	12A: School of Journalism
	13A: School of Law
	14A: School of Optometry
	15A: School of Public Health
	16A: School of Public Policy
	17A: School of Social Welfare

<b>Cluster B</b>	<b>TENURE-TRACK LADDER AND EQUIVALENT RANK FACULTY</b>
	<b>Job Group</b> (CTO 011/114//531)
	1B: College of Chemistry
	2B: College of Engineering
	3B: College of Environmental Design
	4B: College of Natural Resources
	5B: College of Letters and Science - Division of Arts and Humanities
	6B: College of Letters and Science - Division of Biological Sciences
	7B: College of Letters and Science - Division of Physical Sciences
	8B: College of Letters and Science - Division of Social Sciences
	9B: School of Business
	10B: School of Education
	11B: School of Information
	12B: School of Journalism
	13B: School of Law
	14B: School of Optometry
	15B: School of Public Health
	16B: School of Public Policy
	17B: School of Social Welfare

Table B:      **JOB GROUPS  
                  WITHIN THE ACADEMIC WORKFORCE**

**NON-SENATE FACULTY JOB GROUPS**

<b>Cluster C</b>	<b>LECTURERS</b>
	<b>Job Group</b> (CTO 210/221/225/357)
	1C: College of Chemistry
	2C: College of Engineering
	3C: College of Environmental Design
	4C: College of Natural Resources
	5C: College of Letters and Science - Division of Arts and Humanities
	6C: College of Letters and Science - Division of Biological Sciences
	7C: College of Letters and Science - Division of Physical Sciences
	8C: College of Letters and Science - Division of Social Sciences
	9C: School of Business
	10C: School of Education
	11C: School of Information
	12C: School of Journalism
	13C: School of Law
	14C: School of Optometry
	15C: School of Public Health
	16C: School of Public Policy
	17C: School of Social Welfare

<b>Cluster D</b>	<b>CLINICAL PROFESSORS</b>
	<b>Job Group</b>
	1D: Clinical Professors (CTO 317/341)

<b>Cluster E</b>	<b>NON LADDER RANK FACULTY</b>
	<b>Job Group</b>
	1E: Adjunct Professors (CTO 335)
	2E: Miscellaneous Faculty Titles (CTO 927/928)
	3E: Professors in Residence (CTO 311)
	4E: University Extension Faculty (CTO 828)
	5E: Visiting Professors/Researchers (CTO 323/543)

Table B:      **JOB GROUPS  
                  WITHIN THE ACADEMIC WORKFORCE**

**OTHER ACADEMIC JOB GROUPS**

**Cluster F      LIBRARIANS**

**Job Group**

1F:      Academic Librarians (CTO 621/627)

**Cluster G      RESEARCHERS**

**Job Group**

1G:      Continuing Education Specialists (CTO 827)  
2G:      Cooperative Extension (CTO 728/729)  
3G:      Postdoctoral Scholars (CTO 487)  
4G:      Professional Researchers (CTO 541/542/566/581/729)  
5G:      Project Scientists/Specialists (CTO 551/557)

**Cluster H      ACADEMIC ADMINISTRATORS**

**Job Group**

1H:      Academic Administrators (CTO S21/S24/S31/S46/S56/S61)

# 4

## AVAILABILITY ANALYSIS, UTILIZATION & PLACEMENT GOALS

Reference: 41 CFR § 60-2.14,  
§ 60-2.15, § 60-2.16(a)

### AVAILABILITY

Per federal regulations, “availability” estimates the percentages of minorities and women available for employment in each identified job group. “The purpose of the availability determination is to establish a benchmark against which the demographic composition of the contractor’s incumbent workforce can be compared in order to determine whether barriers to equal employment opportunity may exist within particular job groups.” 41 CFR § 60-2.14(a).

Recent federal regulations make clear that two factors must be considered in determining availability. The two factors are noted below, along with an explanation of how they are applied to UC Berkeley’s job groups.

#### Factor 1:

The percentage of women and designated ethnic minorities with requisite skills in the reasonable recruitment area from which the contractor usually seeks, or could reasonably seek, employees to fill the positions in question.

Geographically, the “reasonable recruitment area” of an academic search is national (and international) for most academic positions. A national recruitment area is necessary in order to yield the strongest, most diverse pool of qualified applicants. The “requisite skills” for an academic position normally mean completion of the Ph.D. There are some disciplines in which a medical doctorate, juris doctorate or master’s degree is the terminal degree, such as the Masters of Fine Arts (M.F.A.).

Factor 1 is the most appropriate and only factor to use for all but two clusters of job groups; researchers and academic administrators are the exception.

#### Factor 2:

The percentage of designated ethnic minorities or women among those promotable, transferable, and trainable within the contractor’s organization.

Because academic job titles all required extremely specific academic preparation and a high level of skill, the availability of minorities and women having the requisite skill in an area in which the contractor can reasonably recruit is the dominant factor for determining the availability of academic employees.

## **ESTIMATES OF ACADEMIC AVAILABILITY**

To determine availability for tenured faculty data all research doctorate degrees awarded within the United States by academic discipline, sex and ethnicity are compiled over a fifteen year period from 1989-2003; availability data for tenure-track faculty were compiled over the next five year period, 2004-2008 (data are drawn from the Survey of Earned Doctorates). These two combined time spans of data provide an appropriate benchmark to estimate potential pools of applicants for positions at the tenure and tenure-track ranks.

For the School of Journalism, availability data were based on the National Center for Education Statistics, IPEDS Completion Survey, 1995-1998 and 2000-2008 (the only years of data that we could retrieve). Availability estimates were compiled based on degrees awarded limited to doctor's degree and first professional degree.

For the School of Law availability data was taken from the Association of American Law Schools Statistical Report on Law Faculty 2008-2009 (<http://www.aals.org/>).

Availability data for tenured faculty in the School of Optometry were drawn from the National Center for Education Statistics, IPEDS Completion Survey, 1987, 1989, 1990-2008 and included doctor's degree and first professional degree awarded in Optometry.

Availability estimates for researchers, lecturers, and other academic appointees are problematic because of the changing needs of staffing from year to year. For example, lecturer appointments are often based on short-term teaching needs for particular courses in a department, and appointments of researchers vary with funding. Lecturers are, however, likely drawn from the same pools as tenure-track faculty and thus their availability estimates are the same as tenure-track faculty.

For clusters comprised of clinical professors, adjunct faculty, non ladder rank faculty and researchers (Clusters D-G), availability estimates were taken from the Survey of Earned Doctorates and weighted by the job groupings disciplinary breakdown at UC Berkeley.

Considering the more nuanced roles for those individuals with titles in the Continuing Education Specialist, Academic Administrator, and Librarian Job Groups, availability estimates were pooled from the National Center for Education Statistics, IPEDS Completion Survey, 1977, 1979, 1981, 1985, 1987, 1989-2009. For academic administrators, a terminal degree is generally required for these high level academic administrative positions; therefore these data were compiled by doctor's degree and first professional degrees in all fields. Continuing education specialists, however, do not generally require a terminal degree so availability estimates were compiled by all master's degrees in Education. For Librarians, the data was compiled to include individuals who received either a doctor's degree, first professional degree, or a master's degree in Library Science.

## **UTILIZATION ANALYSIS**

The campus conducts an analysis of all major job groups in academic employment to determine whether minorities or women are currently being underutilized in any job group.

Underutilization is defined as having fewer minorities or women in a particular job group than would reasonably be expected given their availability in the job market.

The utilization analysis for ladder rank tenured and tenure-track faculty and lecturers is conducted for each of the seventeen job groups. In cases where the total incumbency for a particular job group is less than three individuals (i.e. Table C: 12B, 17B, 14C), no data are shown because of the extremely small aggregate number of incumbents.

The utilization analyses for the clusters of clinical professors, non ladder rank faculty, librarians, researchers and academic administrators are conducted by campus aggregate of title designation.

A utilization analysis is conducted by comparing the percentages of incumbents of each job group with the established availability data to determine in which job groups women and members of designated ethnic groups may be underutilized as listed in Table C. If the percentage of women and ethnic minorities employed in a particular job group is less than would reasonably be expected, given the availability percentage in that particular job group, by any percentage difference, a condition of underutilization is noted by a shaded cell in the underutilization analysis, see Table D. It is important to note that when small numbers of availability are involved, these percentages may reflect a utilization or underutilization of one person. When underutilization is identified, placement goals are established and set equal to the availability figures noted in Table C.

The declaration of underutilization, or need for a placement goal, is not evidence of discrimination or an indication of a lack of good faith effort to address affirmative action concerns. Underutilization is based on an estimate of availability and actual numbers which may not be 100% accurate. A goal based on availability is not a quota which must be met, but a target for focusing good faith affirmative action efforts.

It is important to note that in the above job groups in many of the organizational units, the number of employees is so small that the underutilization determination is not statistically significant. However, underutilization is declared, nevertheless, to encourage departments to continue making good faith efforts.

## **PLACEMENT GOALS BY JOB GROUP**

Placement goals are recruitment goals and form a guide for recruitment activity throughout the affirmative action program year. We set our annual percentage goal equal to availability for all underutilized job groups and will make good faith efforts to recruit a broad and inclusive pool of qualified applicants including women and minorities. Placement goals have been established where underutilization has been identified using the "any difference rule." The annual percentage placement goals established for underutilized job groups are set forth in Table E.

UC Berkeley's placement goals are directed to achieve a level of gender and ethnic representation equal to availability in all job groups. The establishment of a placement goal does not amount to an admission of impermissible conduct. It is neither a finding of discrimination nor a finding of a lack of good faith affirmative action efforts. These are not rigid and inflexible quotas to measure performance; rather placement goals demonstrate our effort to encourage every good faith attempt to make all aspects of our academic affirmative action program succeed.

Table C: ACADEMIC WORKFORCE UTILIZATION  
AS OF 05/15/2011

Cluster A	TENURED LADDER AND EQUIVALENT RANK FACULTY	Total Incumbency	Gender:	Ethnicity:				Total Minorities	Unk
			Women	Afr Am	Hisp	Asian	Am Ind		
<b>Job Group</b>									
1A.	Chemistry	45	13.3%	2.2%	8.9%	8.9%	0.0%	20.0%	4.4%
	Availability/ Goals		29.6%	2.9%	3.6%	13.4%	0.4%		
	Underutilization		Yes	Yes	No	Yes	Yes		
2A.	Engineering	191	12.0%	0.5%	5.2%	20.9%	0.0%	26.7%	0.0%
	Availability/ Goals		17.4%	2.8%	3.1%	20.7%	0.3%		
	Underutilization		Yes	Yes	No	No	Yes		
3A.	Environmental Design	46	41.3%	2.2%	8.7%	8.7%	0.0%	19.6%	4.3%
	Availability/ Goals		41.0%	3.3%	3.2%	12.4%	0.6%		
	Underutilization		No	Yes	No	Yes	Yes		
4A.	Natural Resources	90	27.8%	0.0%	5.6%	10.0%	0.0%	15.6%	1.1%
	Availability/ Goals		42.1%	3.2%	3.5%	7.7%	0.5%		
	Underutilization		Yes	Yes	No	No	Yes		
5A.	Arts and Humanities	186	43.0%	2.2%	4.3%	7.0%	0.0%	13.4%	0.5%
	Availability/ Goals		52.7%	3.0%	5.7%	4.6%	0.4%		
	Underutilization		Yes	Yes	Yes	No	Yes		
6A.	Biological Sciences	76	18.4%	1.3%	0.0%	11.8%	0.0%	13.2%	3.9%
	Availability/ Goals		44.5%	2.4%	3.9%	13.2%	0.3%		
	Underutilization		Yes	Yes	Yes	Yes	Yes		
7A.	Physical Sciences	125	12.8%	0.0%	0.0%	11.2%	0.0%	11.2%	1.6%
	Availability/ Goals		22.2%	1.7%	2.9%	12.2%	0.3%		
	Underutilization		Yes	Yes	Yes	Yes	Yes		
8A.	Social Sciences	222	33.8%	5.9%	6.8%	11.7%	0.0%	24.3%	0.9%
	Availability/ Goals		53.5%	5.1%	5.0%	5.4%	0.6%		
	Underutilization		Yes	No	No	No	Yes		
9A.	Business	52	17.3%	0.0%	3.8%	13.5%	0.0%	17.3%	3.8%
	Availability/ Goals		36.6%	5.8%	2.7%	9.4%	0.5%		
	Underutilization		Yes	Yes	No	No	Yes		
10A.	Education	28	42.9%	14.3%	7.1%	0.0%	0.0%	21.4%	3.6%
	Availability/ Goals		64.0%	11.4%	4.8%	2.8%	0.8%		
	Underutilization		Yes	No	No	Yes	Yes		
11A.	Information	7	14.3%	0.0%	0.0%	14.3%	0.0%	14.3%	0.0%
	Availability/ Goals		35.8%	6.4%	2.8%	13.1%	0.3%		
	Underutilization		Yes	Yes	Yes	No	Yes		
12A.	Journalism	6	33.3%	16.7%	16.7%	0.0%	0.0%	33.3%	0.0%
	Availability/ Goals		53.3%	7.1%	2.5%	3.7%	0.4%		
	Underutilization		Yes	No	No	Yes	Yes		
13A.	Law	50	32.0%	2.0%	4.0%	8.0%	0.0%	14.0%	2.0%
	Availability/ Goals		36.0%	8.3%	4.2%	4.7%	0.6%		
	Underutilization		Yes	Yes	Yes	No	Yes		
14A.	Optometry	14	21.4%	0.0%	0.0%	14.3%	0.0%	14.3%	0.0%
	Availability/ Goals		50.4%	2.4%	5.9%	16.2%	0.4%		
	Underutilization		Yes	Yes	Yes	Yes	Yes		
15A.	Public Health	41	39.0%	7.3%	7.3%	2.4%	0.0%	17.1%	0.0%
	Availability/ Goals		67.7%	7.8%	4.1%	10.4%	0.3%		
	Underutilization		Yes	Yes	No	Yes	Yes		
16A.	Public Policy	13	7.7%	0.0%	7.7%	0.0%	0.0%	7.7%	0.0%
	Availability/ Goals		48.6%	10.4%	3.0%	6.0%	0.5%		
	Underutilization		Yes	Yes	No	Yes	Yes		
17A.	Social Welfare	10	30.0%	0.0%	10.0%	10.0%	0.0%	20.0%	0.0%
	Availability/ Goals		71.7%	12.6%	5.2%	4.5%	0.8%		
	Underutilization		Yes	Yes	No	No	Yes		
Subtotal 1A-17A:		1202	26.7%	2.5%	4.8%	11.2%	0.0%	18.6%	1.4%

Table C: ACADEMIC WORKFORCE UTILIZATION  
AS OF 05/15/2011

Cluster B	TENURE-TRACK LADDER AND EQUIVALENT RANK FACULTY	Total Incumbency	Gender:		Ethnicity:				Total Minorities	Unk
			Women		Afr Am	Hisp	Asian	Am Ind		
<b>Job Group</b>										
1B.	Chemistry	7	85.7%		0.0%	0.0%	42.9%	0.0%	42.9%	28.6%
	Availability/ Goals		33.8%		3.9%	4.9%	11.6%	0.2%		
	Underutilization		No		Yes	Yes	No	Yes		
2B.	Engineering	23	26.1%		0.0%	4.3%	34.8%	0.0%	39.1%	4.3%
	Availability/ Goals		22.5%		3.9%	4.0%	18.3%	0.3%		
	Underutilization		No		Yes	No	No	Yes		
3B.	Environmental Design	8	25.0%		12.5%	0.0%	0.0%	0.0%	12.5%	37.5%
	Availability/ Goals		45.8%		3.4%	4.0%	12.4%	0.0%		
	Underutilization		Yes		No	Yes	Yes	No		
4B.	Natural Resources	22	45.5%		4.5%	9.1%	9.1%	4.5%	27.3%	9.1%
	Availability/ Goals		50.6%		3.9%	4.2%	6.7%	0.6%		
	Underutilization		Yes		No	No	No	No		
5B.	Arts and Humanities	38	47.4%		7.9%	5.3%	15.8%	0.0%	28.9%	10.5%
	Availability/ Goals		53.5%		3.7%	6.6%	5.7%	0.4%		
	Underutilization		Yes		No	Yes	No	Yes		
6B.	Biological Sciences	19	31.6%		0.0%	5.3%	10.5%	0.0%	15.8%	10.5%
	Availability/ Goals		48.6%		3.2%	5.4%	11.8%	0.3%		
	Underutilization		Yes		Yes	Yes	Yes	Yes		
7B.	Physical Sciences	13	23.1%		0.0%	0.0%	15.4%	0.0%	15.4%	7.7%
	Availability/ Goals		27.5%		2.5%	3.8%	9.6%	0.2%		
	Underutilization		Yes		Yes	Yes	No	Yes		
8B.	Social Sciences	38	42.1%		2.6%	10.5%	7.9%	2.6%	23.7%	5.3%
	Availability/ Goals		57.1%		5.8%	6.3%	6.2%	0.6%		
	Underutilization		Yes		Yes	No	No	No		
9B.	Business	21	28.6%		0.0%	9.5%	23.8%	0.0%	33.3%	0.0%
	Availability/ Goals		40.2%		8.3%	4.0%	10.3%	0.5%		
	Underutilization		Yes		Yes	No	No	Yes		
10B.	Education	7	85.7%		14.3%	14.3%	14.3%	0.0%	42.9%	0.0%
	Availability/ Goals		66.9%		13.7%	5.8%	3.4%	0.8%		
	Underutilization		No		No	No	No	Yes		
11B.	Information	6	50.0%		0.0%	0.0%	33.3%	0.0%	33.3%	0.0%
	Availability/ Goals		36.6%		8.3%	3.5%	12.8%	0.5%		
	Underutilization		No		Yes	Yes	No	Yes		
12B.	Journalism									
	Availability/ Goals									
	Underutilization									
13B.	Law	14	42.9%		21.4%	7.1%	14.3%	0.0%	42.9%	7.1%
	Availability/ Goals		36.0%		8.3%	4.2%	4.7%	0.6%		
	Underutilization		No		No	No	No	Yes		
14B.	Optometry	3	33.3%		0.0%	0.0%	33.3%	0.0%	33.3%	0.0%
	Availability/ Goals		60.8%		3.0%	6.2%	24.2%	0.5%		
	Underutilization		Yes		Yes	Yes	No	Yes		
15B.	Public Health	6	100.0%		33.3%	0.0%	0.0%	0.0%	33.3%	0.0%
	Availability/ Goals		72.7%		10.4%	4.3%	12.8%	0.2%		
	Underutilization		No		No	Yes	Yes	Yes		
16B.	Public Policy	3	33.3%		33.3%	0.0%	0.0%	0.0%	33.3%	0.0%
	Availability/ Goals		52.2%		13.0%	2.4%	5.0%	0.9%		
	Underutilization		Yes		No	Yes	Yes	Yes		
17B.	Social Welfare									
	Availability/ Goals									
	Underutilization									
Subtotal 1B-17B:		228	42.1%		5.7%	6.1%	16.2%	0.9%	28.9%	7.9%

Table C: ACADEMIC WORKFORCE UTILIZATION  
AS OF 05/15/2011

Cluster C	LECTURERS	Total Incumbency	Gender:	Ethnicity:				Total Minorities	Unk
			Women	Afr Am	Hisp	Asian	Am Ind		
<b>Job Group</b>									
1C.	Chemistry	12	50.0%	0.0%	0.0%	16.7%	0.0%	16.7%	16.7%
	Availability/ Goals		33.8%	3.9%	4.9%	11.6%	0.2%		
	Underutilization		No	Yes	Yes	No	Yes		
2C.	Engineering	27	18.5%	0.0%	3.7%	14.8%	3.7%	22.2%	7.4%
	Availability/ Goals		22.5%	3.9%	4.0%	18.3%	0.3%		
	Underutilization		Yes	Yes	Yes	Yes	No		
3C.	Environmental Design	37	37.8%	0.0%	5.4%	5.4%	0.0%	10.8%	24.3%
	Availability/ Goals		45.8%	3.4%	4.0%	12.4%	0.0%		
	Underutilization		Yes	Yes	No	Yes	No		
4C.	Natural Resources	7	57.1%	0.0%	0.0%	0.0%	0.0%	0.0%	28.6%
	Availability/ Goals		50.6%	3.9%	4.2%	6.7%	0.6%		
	Underutilization		No	Yes	Yes	Yes	Yes		
5C.	Arts and Humanities	175	69.1%	2.9%	2.9%	22.9%	0.6%	29.1%	13.7%
	Availability/ Goals		53.0%	3.7%	6.9%	5.7%	0.4%		
	Underutilization		No	Yes	Yes	No	No		
6C.	Biological Sciences	25	40.0%	4.0%	0.0%	20.0%	0.0%	24.0%	4.0%
	Availability/ Goals		48.6%	3.2%	5.4%	11.8%	0.3%		
	Underutilization		Yes	No	Yes	No	Yes		
7C.	Physical Sciences	14	7.1%	0.0%	0.0%	28.6%	0.0%	28.6%	0.0%
	Availability/ Goals		27.5%	2.5%	3.8%	9.6%	0.2%		
	Underutilization		Yes	Yes	Yes	No	Yes		
8C.	Social Sciences	74	52.7%	6.8%	9.5%	14.9%	2.7%	33.8%	9.5%
	Availability/ Goals		57.1%	5.8%	6.3%	6.2%	0.6%		
	Underutilization		Yes	No	No	No	No		
9C.	Business	90	23.3%	3.3%	3.3%	11.1%	0.0%	17.8%	3.3%
	Availability/ Goals		40.2%	8.3%	4.0%	10.3%	0.5%		
	Underutilization		Yes	Yes	Yes	No	Yes		
10C.	Education	15	80.0%	6.7%	6.7%	0.0%	0.0%	13.3%	13.3%
	Availability/ Goals		66.9%	13.7%	5.8%	3.4%	0.8%		
	Underutilization		No	Yes	No	Yes	Yes		
11C.	Information	5	0.0%	0.0%	0.0%	40.0%	0.0%	40.0%	20.0%
	Availability/ Goals		36.6%	8.3%	3.5%	12.8%	0.5%		
	Underutilization		Yes	Yes	Yes	No	Yes		
12C.	Journalism	30	53.3%	0.0%	13.3%	3.3%	0.0%	16.7%	6.7%
	Availability/ Goals		60.3%	9.0%	3.2%	4.3%	0.6%		
	Underutilization		Yes	Yes	No	Yes	Yes		
13C.	Law	92	39.1%	2.2%	2.2%	4.3%	0.0%	8.7%	10.9%
	Availability/ Goals		36.0%	8.3%	4.2%	4.7%	0.6%		
	Underutilization		No	Yes	Yes	Yes	Yes		
14C.	Optometry								
	Availability/ Goals								
	Underutilization								
15C.	Public Health	31	64.5%	3.2%	3.2%	12.9%	0.0%	19.4%	12.9%
	Availability/ Goals		72.7%	10.4%	4.3%	12.8%	0.2%		
	Underutilization		Yes	Yes	Yes	No	Yes		
16C.	Public Policy	6	0.0%	0.0%	33.3%	0.0%	0.0%	33.3%	16.7%
	Availability/ Goals		52.6%	12.4%	3.0%	5.2%	0.3%		
	Underutilization		Yes	Yes	No	Yes	Yes		
17C.	Social Welfare	26	65.4%	15.4%	7.7%	0.0%	0.0%	23.1%	3.8%
	Availability/ Goals		75.0%	15.9%	7.5%	5.0%	0.8%		
	Underutilization		Yes	Yes	No	Yes	Yes		
Subtotal 1C-17C:		666	48.3%	3.3%	4.5%	13.4%	0.6%	21.8%	10.7%

Table C: ACADEMIC WORKFORCE UTILIZATION  
AS OF 05/15/2011

Cluster D CLINICAL PROFESSORS		Total Incumbency	Gender:	Ethnicity:				Total Min.	Unk
			Women	Afr Am	Hisp	Asian	Am Ind		
<b>Job Group</b>									
1D.	Clinical Professors	163	46.6%	1.2%	3.1%	26.4%	0.0%	30.7%	3.7%
	Availability/ Goals		52.8%	3.5%	5.5%	13.6%	0.4%		
	Underutilization		Yes	Yes	Yes	No	Yes		

Cluster E NON LADDER RANK FACULTY		Total Incumbency	Gender:	Ethnicity:				Total Min.	Unk
			Women	Afr Am	Hisp	Asian	Am Ind		
<b>Job Group</b>									
1E.	Adjunct	176	33.0%	1.1%	2.3%	9.7%	0.0%	13.1%	5.7%
	Availability/ Goals		50.4%	6.6%	4.5%	10.2%	0.4%		
	Underutilization		Yes	Yes	Yes	Yes	Yes		
2E.	Miscellaneous Titles	394	48.0%	10.7%	9.1%	9.1%	0.5%	29.4%	10.9%
	Availability/ Goals		48.8%	5.9%	4.7%	6.0%	0.5%		
	Underutilization		Yes	No	No	No	No		
3E.	In Residence	15	13.3%	6.7%	0.0%	6.7%	0.0%	13.3%	6.7%
	Availability/ Goals		28.1%	3.7%	3.3%	17.5%	0.3%		
	Underutilization		Yes	No	Yes	Yes	Yes		
4E.	University Extension	972	46.2%	2.7%	4.4%	13.8%	0.3%	21.2%	4.5%
	Availability/ Goals		42.9%	5.8%	4.5%	7.5%	0.5%		
	Underutilization		No	Yes	Yes	No	Yes		
5E.	Visiting	154	30.5%	1.9%	6.5%	13.0%	0.0%	21.4%	18.8%
	Availability/ Goals		46.7%	6.6%	4.8%	8.8%	0.4%		
	Underutilization		Yes	Yes	No	No	Yes		
Subtotal 1E-5E:		1711	43.5%	4.3%	5.4%	12.2%	0.3%	22.2%	7.4%

Cluster F LIBRARIANS		Total Incumbency	Gender:	Ethnicity:				Total Min.	Unk
			Women	Afr Am	Hisp	Asian	Am Ind		
<b>Job Group</b>									
1F.	Librarian	101	58.4%	3.0%	6.9%	17.8%	1.0%	28.7%	2.0%
	Availability/ Goals		80.0%	4.4%	3.7%	2.9%	0.4%		
	Underutilization		Yes	Yes	No	No	No		

Table C: ACADEMIC WORKFORCE UTILIZATION  
AS OF 05/15/2011

Cluster G		Total Incumbency	Gender:	Ethnicity:				Total Min.	Unk
RESEARCHERS			Women	Afr Am	Hisp	Asian	Am Ind		
<b>Job Group</b>									
1G.	Continuing Education	47	83.0%	4.3%	12.8%	8.5%	0.0%	25.5%	4.3%
	Availability/ Goals		75.6%	8.6%	5.2%	1.8%	0.5%		
	Underutilization		No	Yes	No	No	Yes		
2G.	Cooperative Extension	12	16.7%	8.3%	0.0%	8.3%	0.0%	16.7%	0.0%
	Availability/ Goals		41.0%	2.6%	3.5%	3.2%	0.5%		
	Underutilization		Yes	No	Yes	No	Yes		
3G.	Postdoctoral	1062	36.1%	1.3%	3.5%	29.5%	0.1%	34.4%	17.3%
	Availability/ Goals		40.7%	4.1%	4.7%	12.2%	0.3%		
	Underutilization		Yes	Yes	Yes	No	Yes		
4G.	Professional	327	25.1%	1.5%	2.8%	22.3%	0.3%	26.9%	4.6%
	Availability/ Goals		37.9%	3.9%	3.7%	14.1%	0.3%		
	Underutilization		Yes	Yes	Yes	No	No		
5G.	Project Scientist	575	51.8%	1.2%	4.5%	25.4%	0.3%	31.5%	12.5%
	Availability/ Goals		33.2%	3.2%	3.2%	9.4%	0.4%		
	Underutilization		No	Yes	No	No	Yes		
Subtotal 1G-6G:		2023	39.7%	1.4%	3.9%	26.5%	0.2%	32.0%	13.5%

  

Cluster H		Total Incumbency	Gender:	Ethnicity:				Total Min.	Unk
ACADEMIC ADMINISTRATORS			Women	Afr Am	Hisp	Asian	Am Ind		
<b>Job Group</b>									
1H.	Academic Administ.	121	52.1%	5.8%	5.0%	12.4%	0.0%	23.1%	5.8%
	Availability/ Goals		42.9%	5.8%	4.5%	7.5%	0.5%		
	Underutilization		No	No	No	No	Yes		





Table D: UNDERUTILIZATION

**RESEARCHERS**

**JOB GROUP**

- 1G:** Continuing Education
- 2G:** Cooperative Extension
- 3G:** Postdoctoral
- 4G:** Professional Researcher
- 5G:** Project Scientist

<b>SEX:</b>	<b>ETHNICITY:</b>			
Women	Afr Am	Hisp	Asian	Am Ind

**ACADEMIC ADMINISTRATORS**

**JOB GROUP**

- 1H:** Academic Administrat.

<b>SEX:</b>	<b>ETHNICITY:</b>			
Women	Afr Am	Hisp	Asian	Am Ind

Table E: PLACEMENT GOALS

**TENURED LADDER AND EQUIVALENT RANK FACULTY**

JOB GROUP	SEX:	ETHNICITY:			
	Women	Afr Am	Hisp	Asian	Am Ind
1A: Chemistry	29.6%	2.9%		13.4%	0.4%
2A: Engineering	17.4%	2.8%			0.3%
3A: Environmental Design		3.3%		12.4%	0.6%
4A: Natural Resources	42.1%	3.2%			0.5%
5A: Arts and Humanities	52.7%	3.0%	5.7%		0.4%
6A: Biological Sciences	44.5%	2.4%	3.9%	13.2%	0.3%
7A: Physical Sciences	22.2%	1.7%	2.9%	12.2%	0.3%
8A: Social Sciences	53.5%				0.6%
9A: Business	36.6%	5.8%			0.5%
10A: Education	64.0%			2.8%	0.8%
11A: Information	35.8%	6.4%	2.8%		0.3%
12A: Journalism	53.3%			3.7%	0.4%
13A: Law	36.0%	8.3%	4.2%		0.6%
14A: Optometry	50.4%	2.4%	5.9%	16.2%	0.4%
15A: Public Health	67.7%	7.8%		10.4%	0.3%
16A: Public Policy	48.6%	10.4%		6.0%	0.5%
17A: Social Welfare	71.7%	12.6%			0.8%

**TENURE-TRACK LADDER AND EQUIVALENT RANK FACULTY**

JOB GROUP	SEX:	ETHNICITY:			
	Women	Afr Am	Hisp	Asian	Am Ind
1B: Chemistry		3.9%	4.9%		0.2%
2B: Engineering		3.9%			0.3%
3B: Environmental Design	45.8%		4.0%	12.4%	
4B: Natural Resources	50.6%				
5B: Arts and Humanities	53.5%		6.6%		0.4%
6B: Biological Sciences	48.6%	3.2%	5.4%	11.8%	0.3%
7B: Physical Sciences	27.5%	2.5%	3.8%		0.2%
8B: Social Sciences	57.1%	5.8%			
9B: Business	40.2%	8.3%			0.5%
10B: Education					0.8%
11B: Information		8.3%	3.5%		0.5%
12B: Journalism					
13B: Law					0.6%
14B: Optometry	60.8%	3.0%	6.2%		0.5%
15B: Public Health			4.3%	12.8%	0.2%
16B: Public Policy	52.2%		2.4%	5.0%	0.9%
17B: Social Welfare					

Table E: PLACEMENT GOALS

**LECTURERS**

**JOB GROUP**

<b>1C:</b>	Chemistry
<b>2C:</b>	Engineering
<b>3C:</b>	Environmental Design
<b>4C:</b>	Natural Resources
<b>5C:</b>	Arts and Humanities
<b>6C:</b>	Biological Sciences
<b>7C:</b>	Physical Sciences
<b>8C:</b>	Social Sciences
<b>9C:</b>	Business
<b>10C:</b>	Education
<b>11C:</b>	Information
<b>12C:</b>	Journalism
<b>13C:</b>	Law
<b>14C:</b>	Optometry
<b>15C:</b>	Public Health
<b>16C:</b>	Public Policy
<b>17C:</b>	Social Welfare

<b>SEX:</b>	<b>ETHNICITY:</b>			
<b>Women</b>	<b>Afr Am</b>	<b>Hisp</b>	<b>Asian</b>	<b>Am Ind</b>
	3.9%	4.9%		0.2%
22.5%	3.9%	4.0%	18.3%	
45.8%	3.4%		12.4%	
	3.9%	4.2%	6.7%	0.6%
	3.7%	6.9%		
48.6%		5.4%		0.3%
27.5%	2.5%	3.8%		0.2%
57.1%				
40.2%	8.3%	4.0%		0.5%
	13.7%		3.4%	0.8%
36.6%	8.3%	3.5%		0.5%
60.3%	9.0%		4.3%	0.6%
	8.3%	4.2%	4.7%	0.6%
72.7%	10.4%	4.3%		0.2%
52.6%	12.4%		5.2%	0.3%
75.0%	15.9%		5.0%	0.8%

**CLINICAL PROFESSORS**

**JOB GROUP**

<b>1D:</b>	Clinical Professors
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<b>SEX:</b>	<b>ETHNICITY:</b>			
<b>Women</b>	<b>Afr Am</b>	<b>Hisp</b>	<b>Asian</b>	<b>Am Ind</b>
52.8%	3.5%	5.5%		0.4%

**NON LADDER RANK FACULTY**

**JOB GROUP**

<b>1E:</b>	Adjunct Professor
<b>2E:</b>	Miscellaneous Titles
<b>3E:</b>	In Residence
<b>4E:</b>	University Extension
<b>5E:</b>	Visiting

<b>SEX:</b>	<b>ETHNICITY:</b>			
<b>Women</b>	<b>Afr Am</b>	<b>Hisp</b>	<b>Asian</b>	<b>Am Ind</b>
50.4%	6.6%	4.5%	10.2%	0.4%
48.8%				
28.1%		3.3%	17.5%	0.3%
	5.8%	4.5%		0.5%
46.7%	6.6%			0.4%

**LIBRARIANS**

**JOB GROUP**

<b>1F:</b>	Academic Librarian
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<b>SEX:</b>	<b>ETHNICITY:</b>			
<b>Women</b>	<b>Afr Am</b>	<b>Hisp</b>	<b>Asian</b>	<b>Am Ind</b>
80.0%	4.4%			

Table E: PLACEMENT GOALS

**RESEARCHERS**

**JOB GROUP**

- 1G:** Continuing Education
- 2G:** Cooperative Extension
- 3G:** Postdoctoral
- 4G:** Professional Researcher
- 5G:** Project Scientist

<b>SEX:</b>	<b>ETHNICITY:</b>			
<b>Women</b>	<b>Afr Am</b>	<b>Hisp</b>	<b>Asian</b>	<b>Am Ind</b>
	8.6%			0.5%
41.0%		3.5%		0.5%
40.7%	4.1%	4.7%		0.3%
37.9%	3.9%	3.7%		
	3.2%			0.4%

**ACADEMIC ADMINISTRATORS**

**JOB GROUP**

- 1H:** Academic Administrat.

<b>SEX:</b>	<b>ETHNICITY:</b>			
<b>Women</b>	<b>Afr Am</b>	<b>Hisp</b>	<b>Asian</b>	<b>Am Ind</b>
				0.5%

## **ANALYSES OF ACADEMIC PERSONNEL PROCESSES TO IDENTIFY AND CORRECT PROBLEM AREAS**

41 CFR 60-2.17

### **Selection Process**

The Office for Faculty Equity and Welfare and individual academic units are responsible for monitoring faculty selection procedures for adverse impact and for ensuring only job-related nondiscriminatory criteria are used in selecting faculty members. From the inception of the recruitment process, through the various stages of candidate selection, recruitment materials are submitted for review and approval by the Office for Faculty Equity and Welfare to ensure nondiscrimination.

At UC Berkeley, each academic appointment requires not only a high level of academic preparation, but also an exclusive level of achievement in research in specialized areas of study. Because the qualifications for each position are so specific, analyzing applicant flow data yields little, if any, useful information for affirmative action planning. As an alternative, UC Berkeley employs an individualized case-by-case review of each academic selection in order to ensure that equal opportunity and non-discrimination requirements are met in each case.

Upon completion of the search and selection of a final candidate, a Search Report is filed with the Office for Faculty Equity and Welfare. The Office for Faculty Equity and Welfare reviews and approves all proposed appointments prior to final authorization to hire for all academic appointments. If problem areas are identified, they are addressed immediately on an individualized basis and corrections are made before the appointment is finalized.

### **Promotion and Advancement**

At UC Berkeley, promotion from assistant to associate professor and associate to full professor are key points in the career of ladder-rank faculty. Accordingly, we use logistic regression to analyze advancement rates of faculty by race/ethnicity and gender, controlling for issues of broad discipline, start year of current rank, and age.

Our findings indicate that among assistant professors who began their positions from 7/1/1992-7/1/2001 (a 10 year cohort), minorities (including Native Americans, African Americans, and Hispanics) were not statistically less likely (at the  $p < .10$  level) than whites to eventually become associate professors (by 2011). Minorities were, however, significantly less likely ( $p < .05$ ) than whites (assistant professors hired from 7/1/1992 to present) on a year-to-year basis to advance to associate professors (thus they were in aggregate slower in achieving tenure). Using a more finely-grained race/ethnicity indicator, African Americans were less likely than whites on a year-to-year basis to advance to associate professor ( $p < .10$ —there were too few Native Americans among the faculty to analyze their advancement rates relative to whites). Although Asian

American assistant professors were less likely than whites to advance to associate professor both over time and on a year-to-year basis, the differences were not statistically significant at the  $p < .10$  level. Women assistant professors relative to men assistant professors were statistically similar in overall likelihood of becoming associate professors (in this case women were less likely than men to eventually achieve tenure, but not at a statistically different rate). They were, however, statistically less likely on a year-to-year basis to advance to associate professor ( $p < .05$ ); thus they were slower in achieving tenure.

From associate to full professor (among associate professors who began their positions from 7/1/1992-7/1/2001—a 10 year cohort), minorities were eventually less likely to advance from associate to full professor, but not at a significantly different level. On a year-to-year basis, minorities were less likely to advance from associate to full professor, but this difference was not again statistically significant. Using the more finely-grained race/ethnicity indicator, African Americans were significantly less likely than whites overall ( $p < .10$ ) and on a year-to-year basis ( $p < .05$ ) to advance to from associate to full professor. In contrast, Hispanics were significantly more likely than whites to become full professor overall ( $p < .10$ ), but their year-to-year advancement rates to full professor were similar to whites (again, there were too few Native Americans among the faculty to analyze their advancement rates relative to whites). Asian Americans, in contrast, were more likely than whites on a year-to-year basis to advance to full professor, but the difference was not statistically significant. Women were fairly similar to men in their overall advancement rates from associate to full professor, but were less likely than men to advance to full professor on a year-to-year basis ( $p < .10$ ).

We have been analyzing data from the UC Berkeley faculty climate survey (spring 2009) and have recently developed recommendations that should help faculty in regard to advancement issues (see [http://vpaafw.chance.berkeley.edu/Images/Faculty\\_Climate\\_Survey\\_Report\\_2011.pdf](http://vpaafw.chance.berkeley.edu/Images/Faculty_Climate_Survey_Report_2011.pdf)).

### **Compensation Analyses**

The Academic Personnel Office analyzes salaries of academic employees in all job groups. This analysis compares the average salary of women with that of men and the average salary of members of each minority group with that of the majority group. Any disparities are subjected to more sophisticated analyses in consultation with the Office for Faculty Equity and Welfare, the Vice Provost for the Faculty and the Director of Data Initiatives.

### **Separations**

There are a number of reasons that ladder-rank faculty separate from employment at UCB. These voluntary or involuntary separations include death or disability, a negative tenure decision, external job offers, retirement, family reasons, or a desire to pursue a different career/life path. As part of our efforts to assure equity, we use logistic regression to analyze rates of separation among UCB ladder-rank faculty, examining whether separation rates among various racial/ethnic groups and women and men were similar or different. In this analysis, we control for broad discipline, faculty rank, year of possible separation, and age.

Based on yearly separation rates over an eight-year period, AY 2003-04—2010-11 (including the most recent year of available separation data), Native Americans and Asian Americans were more likely than whites to separate, but the difference was not statistically significant. African Americans and Hispanics were less likely than whites to separate, but neither of these differences were statistically significant. Women faculty were less likely than men faculty to separate, but the difference was not statistically significant.

In an attempt to differentiate between separations that were possibly due to a negative tenure decision and those that were due to retirement and/or age-related health patterns and the other aforementioned issues, we undertook three additional analyses of separation rates among (1) UCB faculty under age 60, (2) all tenured UCB faculty, and (3) UCB faculty who were tenured and under age 60. There were too few Native Americans to conduct any of these three additional analyses (i.e. we were not able to compare their separation rates to those of whites). There were no statistically significant differences observed between the separation rates of African Americans and whites in these three additional analyses. In additional analyses 1, 2, and 3, Asian Americans were more likely than whites to separate but the differences were not statistically significant. In contrast, however, Hispanics were less likely to separate than were whites in additional analyses 1 and 2, but the differences were not statistically significant. In all three additional analyses, women were less likely than men to separate, but the differences were not statistically significant except for analysis number 3 ( $p < .10$ ).

Our recent UCB faculty climate survey report explores issues of faculty separation and retention in greater detail (see [http://vpaafw.chance.berkeley.edu/Images/Faculty\\_Climate\\_Survey\\_Report\\_2011.pdf](http://vpaafw.chance.berkeley.edu/Images/Faculty_Climate_Survey_Report_2011.pdf)).

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## INTERNAL AUDIT AND REPORTING SYSTEMS

### INTERNAL AUDIT AND REPORTING SYSTEMS

41 CFR 60-2.17(d)

The Academic Personnel Office (APO) maintains records of hiring, promotion, terminations, and merit increases for all academic employees. APO has primary responsibility for the design and collection of academic data and the Director for Data Initiatives provides affirmative action reports and summaries to be reviewed by the Vice Provost for the Faculty and the Associate Vice Provost for the Faculty to ensure that women and minorities are treated on a fair and equitable basis in all academic personnel transactions. Reports produced by the Director for Data Initiatives enable the administrators with responsibility for implementing affirmative action programs and policies to assess the results of past actions, analyze trends for the future and examine the appropriateness of identified problems and solutions. Availability data and goals for academic personnel actions are reviewed and updated annually. Consideration is also given to any new, relevant laws, guidelines, regulations, and court decisions. The Associate Vice Provost for the Faculty and the Vice Provost for the Faculty review each individual personnel case for appointment or promotion of ladder rank faculty. The Associate Vice Provost for the Faculty reports regularly to the Executive Vice Chancellor and Provost and to the Vice Provost for the Faculty regarding affirmative action progress and problem areas. Periodic reports are presented to deans, department chairs and senior management.

## DEVELOPMENT AND EXECUTION OF ACTION-ORIENTED PROGRAMS

41 CFR 60-2.17(c)

Each year considerable effort is directed toward developing and refining action-oriented programs and procedures that support UC Berkeley's affirmative action goals. Some produce results in the near-term, while others require a long-term commitment to see results. The campus creates plans and executes programs that support and enrich the diversity of the current campus community and ensure that a diverse population will feed into the community in the future. UC Berkeley is continually looking for ways to support the goal of meeting its affirmative action objectives both now and in the future.

### ACADEMIC RECRUITMENT AND RETENTION INITIATIVES

#### Postdoctoral Programs

The **Chancellor's Postdoctoral Fellowship Program for Academic Diversity** was instituted to increase participation of postdoctoral students at the University of California at Berkeley, including women and minorities. Originally established in 1979, to date approximately 23% of former fellows have accepted an academic position at the University of California. The program provides postdoctoral fellowships, research opportunities, mentoring and guidance in preparation for academic career advancement. The program currently solicits applications from individuals committed to careers in university research and teaching, and whose life experience, research or employment background will contribute significantly to academic diversity and excellence at the University. Awards are made to applicants who show promise for tenure-track appointments at UC Berkeley. The fellowship is for one academic year, in residence in the bay area, with the potential for renewal for an additional year upon demonstration of academic productivity and participation in the program events.

#### Recruitment and Selection

The Associate Vice Provost for the Faculty reviews all academic position descriptions to ensure that requirements are reasonable, job-related and non-discriminatory. Notices of academic job openings are advertised widely and significant efforts are made to contact ethnic minority or women's organizations and professional networks. For each authorized search, departments must prepare a search plan, which includes (1) a copy of the proposed advertising text, (2) a list of the publications or other locations where the ad will be placed, (3) a description of other search activities such as conferences, mailing lists, or minority organizations, (4) the names of the faculty members who are on the departmental search committee, and (5) a description of the role of the departmental equity advisor. Each departmental search plan must be reviewed and approved by for the Office of Faculty Equity and Welfare before the search may commence.

The Associate Vice Provost for the Faculty working in concert with the Vice Chancellor for Equity and Inclusion notifies departments of areas of underutilization in their organizational unit. The Associate Vice Provost for the Faculty is available to work with department chairs and search committees to develop and improve efforts to recruit qualified women and minority

applicants for academic positions. At a workshop held each fall for deans and department chairs, the Associate Vice Provost for the Faculty presents a session and leads a discussion of affirmative action practices. The Academic Senate Committee on the Status of Women (SWEM) also reaches out to departments to assist them in recruitment of women and minorities, and to support junior faculty in tenure-track positions. The Chancellor and Executive Vice Chancellor & Provost promote affirmative action and the recruitment of women and minorities, both on campus and through their participation in professional association and community meetings. The Vice Chancellor E&I maintains a structure of departmental "Equity Advisors"; professors in each department who attend yearly workshops and lunches, are the conduit for information between departments and the VC E&I, and who help departments construct and implement strategic planning on equity and inclusion that is in concert with the campus Strategic Plan.

### **Academic Support**

The **Chancellor's Award for Advancing Institutional Excellence** reflects UC Berkeley's commitment to excellence and equal opportunity in every facet of its mission. Teaching, research, professional and public contributions that promote diversity and equal opportunity are essential to maintaining UC Berkeley's preeminence as a world-class academic institution. The Chancellor's Award for Advancing Institutional Excellence acknowledges meritorious achievement by faculty in pursuit of the University's mission to create an inclusive environment that serves the needs of our increasingly diverse state. This award recognizes senate faculty members who have successfully demonstrated a commitment to excellence by providing leadership in research, education and public service in building an equitable and diverse learning environment. A \$10,000 grant is presented annually to distinguished faculty members at UC Berkeley based on distinctive contributions and auspicious success in enhancing diversity and equal opportunity.

The University offers the **Regents Junior Faculty Fellowships**, which are awards made to approximately twelve junior faculty per year. These fellowships provide summer salary awards for junior faculty of grants averaging \$5,000. In addition, the Berkeley Division of the Academic Senate Committee on Research offers a competitive **Junior Faculty Research Grant** award program, with grants ranging from \$2,000 to \$10,000.

Through a gift from prominent alumnus, junior faculty at Berkeley may also apply for an award from the **Hellman Family Faculty Fund**, up to a maximum of \$50,000; the average award is about \$30,000. The purpose of the Hellman Family Faculty Fund is to support substantially the research of promising assistant professors who show capacity for great distinction in their research. Recognizing that junior faculty are often well-funded when first hired, and that problems arise in 2-3 years when start-up funding is exhausted and before first grants are obtained, to be eligible for an award, assistant professors will normally be expected to have served at least two years at that rank. The expectation is that through research funded by the Hellman Family Faculty fund, assistant professors will be able to conduct research leading to tenure and become more competitive for externally funded grants.

### **Promotion and Advancement**

The University sponsors a variety of programs to support women and minority junior faculty in their career development and promotion to tenure. Each fall, the Vice Provost for the Faculty, the

Director for Academic Personnel and the Associate Vice Provost for the Faculty hold a pre-tenure workshop for assistant professors. The session includes a presentation on the tenure review process and extensive training on how to prepare their case for tenure review. The Associate Vice Provost for the Faculty meets with junior faculty and provides a wide range of assistance from that office. It should be noted that all of these programs are open to all junior faculty. The Vice Chancellor E&I has begun a more structured program of faculty mentoring.

The Chancellor, Executive Vice Chancellor & Provost, the Vice Chancellor for Equity and Inclusion, and the Associate Vice Provost for the Faculty make it a practice to meet with all groups representing any segment of the University community. In recent years, meetings have been held at the request of different groups including, but not limited to, Chicano/Latino, African American, American Indian and Lesbian, Gay, Bisexual and Transgender (LGBT) and female faculty. They also meet annually with groups such as the Academic Senate Committee on the Status of Women and Ethnic Minorities (SWEM), the Association of Academic Women, and the Black Faculty and Staff Association. The Chancellor also hosts informal discussion meetings periodically with groups of faculty, particularly women and minorities, to hear their concerns and establish open lines of communication with the administration.

## **CHANCELLOR'S COMMITTEES**

### **Chancellor's Advisory Committee on Dependent Care (CACDC)**

The mission of the Chancellor's Advisory Committee on Dependent Care (CACDC) is to promote a work environment for faculty, staff and non-Senate academics that enhances their ability to meet job related responsibilities and responsibilities to children, elders, partners and others. CACDC does this by advising the Chancellor and other campus administrators on strategies, practices, programs, policies and benefits that further this goal. Since its creation, the committee's numerous accomplishments have had a wide impact on the well being of university employees. The Campus has received several awards for its efforts in addressing work/life issues.

## **RESEARCH AND TEACHING INITIATIVES**

### **Berkeley Diversity Research Initiative (BDRI)**

The Berkeley Diversity Research Initiative (BDRI) focuses on racial and ethnic diversity, supporting research into the nature of multi-cultural societies and the ways in which such societies - at the local, state, national, and international levels - might flourish. One major goal is to generate a more nuanced understanding of similarities and differences among multi-cultural societies and an identification of factors that contribute to their success. Another goal is to generate specific prescriptions for changes in policy and practice that are likely to draw upon the strengths and assets of a diverse community and reduce ethnic/racial disparities that are of concern to the State of California and the nation. The anticipation is that BDRI will generate research that draws upon a broad range of disciplines on the UC Berkeley campus.

The process of realizing the BDRI vision is based upon the solicitation of proposals from faculty members and academic units throughout the campus with an initial focus on new faculty FTE. The ultimate goal is for the new faculty to collaborate with existing faculty across a wide range

of disciplines on the campus and to develop research themes that will grow, flourish, and eventually mature into research and instructional programs.

This effort has now expanded into the **Haas Diversity Research Center**, continuing an academic initiative that has a demonstrated record of attracting diverse candidates to faculty positions. This initiative has recently received gifts allowing it to start three new faculty clusters (in addition to the existing three) and to hire a faculty director; seven of the new hires will also hold endowed Chairs which provide resources to the chairholder, a graduate student, and the Center. A total of 11 new faculty hires will be filled in this program.

### **UC Family Friendly Edge**

The UC Faculty Family Friendly Edge is an initiative designed to develop and implement a comprehensive package of innovative work-family policies and programs for ladder-rank faculty in the UC system. The Faculty Family Friendly Edge will promote the recruitment and retention of the best and the brightest, help all members of the university community achieve their fullest potential as scholars and teachers, and greatly contribute to the continued excellence of the University of California.

The principal investigators for this project are UC Berkeley's Mary Ann Mason, former Dean of the Graduate Division, and Angelica Stacy, Associate Vice Provost for the Faculty. The University of California is now embarking upon an era of unparalleled new faculty hires. With the research and policy initiatives made possible by this multi-year grant from the Sloan Foundation, the University will be better able to attract the world's best young scholars and to foster greater professional achievement and fuller family lives for all faculty throughout the entire system.

## **ORGANIZED RESEARCH UNITS**

### **Center for Latino Policy Research (CLPR)**

The Center for Latino Policy Research (CLPR) was founded in response to the research and policy challenges of limited educational and economic opportunities facing the Latino/Chicano population. CLPR sponsors research efforts that have a direct policy impact on the Latino/Chicano population in the United States.

The current research foci of CLPR are in the areas of higher education access, migration, and political/civic participation. To this end, CLPR provides training and research opportunities for faculty, undergraduate, and graduate students; disseminates policy-relevant research publications; and conducts outreach meetings for campus faculty and administrators, public officials, non-profit agencies, advocacy groups, and the general public.

### **Center for Race and Gender**

The Center for Race and Gender is an interdisciplinary research and community outreach center dedicated to fostering explorations of race and gender and their intersections. It is virtually unique within the academic community in its focus on both race and gender. Its aim is to foster collegial support and exchange among faculty and students throughout the university and between the university and nearby communities of color. Among other activities, the Center

develops research projects and organizes working groups, conferences, colloquia, and workshops on topics relevant to issues of race and gender. It forms links with community groups and research centers at other universities. It supports development of outside funding for research projects for publication and dissemination of research findings. The Center aspires to make a meaningful contribution to discussions of issues and policies affecting women and men of color at the national and international levels.

### **Institute for the Study of Societal Issues (ISSI)**

The Institute for the Study of Societal Issues's (ISSI) research and training focuses on the multiple ways that social change processes socially construct and transform the categories of race, ethnicity, class, and gender. ISSI researchers use a combination of qualitative and quantitative social science research methods to undertake empirical investigations into critical social issues facing the nation, with a particular emphasis on the conditions of urban inequality and the potential for effective reform in California and western cities. Over the years, research projects at ISSI have helped to establish new research agendas and fields of study in the social sciences, and key findings have influenced academic research, public debate and social policy. In addition to its research activities, ISSI sponsors the Graduate Field Research Training Program. For more than three decades, the program (formerly known as the Institute for the Study of Social Change) has provided an interdisciplinary research and training environment as a complement to graduate programs in the social sciences and professional schools.

### **The Chief Justice Earl Warren Institute on Law and Social Policy (Warren Institute)**

The Chief Justice Earl Warren Institute on Law and Social Policy (formerly known as the Chief Justice Earl Warren Institute on Race, Ethnicity and Diversity) is a multidisciplinary, collaborative venture to produce research, research-based policy prescriptions, and curricular innovation on issues of racial and ethnic justice in California and the nation. The Institute's mission is to engage the most difficult topics related to civil rights, race and ethnicity in a wide range of legal and public policy subject areas, providing valuable intellectual capital to public and private sector leaders, the media and the general public, while advancing scholarly understanding. Central to its methods will be concerted efforts to build bridges connecting the world of research with the world of civic action and policy debate so that each informs the other, while preserving the independence, quality and credibility of the academic enterprise.

In addition to research and policy work, education and training are part of the Institute's mission. The Institute seeks to promote curriculum innovation at UC Berkeley, and actively involves professional and graduate students as research assistants, student fellows, and through a student advisory committee. As it expands, the Institute will fashion programs to provide non-degree training and technical assistance to policymakers, journalists, business and nonprofit leaders, and community leaders.

### **Center for Studies in Higher Education (CSHE) – Speaker Series**

The Center for Studies in Higher Education (CSHE) was established in 1956 as the first research institute in the United States devoted to the study of systems, institutions, and processes of higher education. The CSHE's mission is to produce and support multi-disciplinary scholarly perspectives on strategic issues in higher education, to conduct relevant policy research, to promote the development of a community of scholars and policymakers engaged in policy-oriented discussion, and to serve the public as a resource on higher education. CSHE brings to

this discussion several distinct perspectives: a national and international and comparative focus; a focus on higher education policy issues unique to California and its different tiers of education; a focus on the specific strategic issues important to the University of California.

### **American Cultures**

The American Cultures requirement is a UC Berkeley requisite, the one course that all undergraduate students at the University need to take and pass in order to graduate. The requirement was instituted in 1991 to introduce students to the diverse cultures of the United States through a comparative framework. Courses are offered in more than forty departments in many different disciplines at both the lower and upper division level. A recent initiative by the Vice Chancellor for E&I has funded expansion of this program to develop 30 new courses, each of which will have a community engagement component.

A UC Berkeley faculty committee determines which courses satisfy the requirement. Faculty members from many departments teach American Cultures courses, but all courses have a common framework. The courses focus on themes or issues in United States history, society, or culture; address theoretical or analytical issues relevant to understanding race, culture, and ethnicity in American society; take substantial account of groups drawn from at least three of the following: African Americans, indigenous peoples of the United States, Asian Americans, Chicano/Latino Americans, and European Americans; and are integrative and comparative in that students study each group in the larger context of American society, history, or culture. These courses focus upon how the diversity of America's constituent cultural traditions have shaped and continue to shape American identity and experience. This is a new approach that responds directly to the problem encountered in numerous disciplines of how better to present the diversity of American experience to the diversity of American students whom we now educate. The American Cultures Center provides resources for faculty and students on American Cultures.

## **ACADEMIC DEPARTMENTS**

### **African American Studies**

The field of African American Studies is new and developing. The department has managed to establish itself at the forefront of the intellectual development of the field with its emphasis on the African Diaspora and the cultures, patterns of social organization, political economies, life conditions, etc. of various African-based societies and communities in the Caribbean, Latin America, the United States, Europe, and other areas of the world. In addition to the development of African American Studies as a coherent and innovative discipline, departmental efforts are focused on fundamental reformulations of the theories, frameworks and methods employed for understanding race and ethnicity.

The Ph.D. program is the culmination of the department's renewed focus on the nearly one billion people of African descent scattered across several regions of the world. The focus on Africa and the African Diaspora allows the use of comparative frameworks for the understanding of the specific realities of persons of African descent wherever they may find themselves.

The department sponsors a "Frontiers in African Diaspora Studies" lectures series, co-sponsored by several departments and units on campus. Jointly with the Department of Ethnic Studies and

the Center for the Study of American Cultures, the department organized a Berkeley Diaspora Studies Colloquium designed to develop our understanding of African Diaspora and diasporic identity. The colloquium, in its third year, has provided an opportunity to members of faculty and graduate students from several departments at Berkeley to present their most recent work on African Diaspora to the campus community and, particularly, to scholars sharing similar intellectual and research interests.

### **Ethnic Studies (Asian-American, Chicano/Latino, Native American)**

The Department of Ethnic Studies (ES) encourages the comparative study of racialization in the Americas, with a focus on the histories, literatures, and politics of Asian Americans, Chicanos/Latinos, Native American Indians, and African Americans.

Scholarly concerns in ES are explicitly linked to the development of a social practice. Inquiries into the nature of racial, ethnic, and gender inequality are informed by a commitment to social change and social justice.

The undergraduate programs in Asian American, Chicano/Latino, and Native American Studies (along with the Department of African American Studies) investigate the social, political, and cultural factors that shape the core groups' formation and transformation. Research on these specific core groups lays the foundations for the overall comparative project of ES. As one of the oldest programs focusing on race and ethnicity, the Ethnic Studies Department is committed to understanding more deeply the multiple meanings of racial diversity in the Americas.

### **Gender & Women's Studies**

The Department of Gender & Women's Studies offers interdisciplinary perspectives on the formation of gender and its intersections with other relations of power, such as sexuality, race, class, nationality, religion, and age.

The undergraduate program is designed to introduce students to women's studies, focusing on gender as a category of analysis and on the workings of power in social and historical life. The department offers an undergraduate major and minor. It also houses an undergraduate minor in Lesbian, Gay, Bisexual, and Transgender studies, a program whose courses overlap productively with feminist studies. Faculty in the department collaborate with an extensive group of extended faculty through the Designated Emphasis in Women, Gender and Sexuality, which provides graduate students across campus with a site for trans-disciplinary learning and teaching. The department is now in the process of developing a Ph.D.-granting Graduate Group in Transnational Feminist Studies, which will involve faculty from a range of departments. The department fosters connections with scholars in feminist and sexuality studies throughout the campus by cross-listing courses, collaborating in research, and participating in the Gender Consortium, which links research and teaching units that focus on gender.

## **ADMINISTRATIVE UNITS**

### **Campus Climate and Compliance Office (CCAC)**

The Campus Climate and Compliance Office (CCAC) monitors and evaluates campus efforts to meet requirements under 1972 federal legislation which prohibits all forms of sex (Title IX) and race (Title VI) discrimination in educational institutions that receive federal funding.

The CCAC provides opportunities to faculty, staff and students, for education and training regarding issues of discrimination, equity, and the impacts of discrimination and unequal treatment on department and campus climate. CCAC has the responsibility to implement procedures for providing prompt and effective responses to complaints of hostile work/academic environment, sexual or racial harassment, or other discrimination concerns. Further, the office has oversight responsibility to initiate, coordinate or conduct investigations into claims of violations of campus policy in all areas covered under Title IX and Title VI law. The scope of this responsibility is campuswide covering faculty, staff and students.

### **Vice Chancellor – Equity and Inclusion**

Created as a result of a recommendation from a broad-based campus committee to the Chancellor, and formulated by a high-level faculty/administrative committee, this new Cabinet level official has responsibility for strategic planning for all components of the campus community on issues of equity and inclusion. The VC works with faculty, students, and staff to implement action and institutional change in three broad areas: 1) Responsive Research, Teaching, and Public Service, 2) Expanded Pathways for Access and Success, and 3) an Engaging and Healthy Campus Climate. The Division of Equity and Inclusion has units working with faculty, students, and staff, but is not the collection point for all such activities (since this must be everybody's task). The VC organizes various means of campus input, promotes strategic planning and policies, carries out planning and assessment activities, and provides connections between the various communities. This office is the primary point of contact to systemwide, state, and national organizations.

### **Office for Faculty Equity and Welfare (OFEW)**

Created by the determination of a campus committed to diversity, the Office for Faculty Equity and Welfare (OFEW) has a leadership role to develop, monitor and communicate the guidelines, policies, procedures and new initiatives that will encourage diverse hiring. The most vital goal of OFEW is to address the barriers that prevent full participation of women and ethnic minority faculty. OFEW seeks to accomplish this through progressive hiring practices, the research and development of supportive policies and dissemination of findings, consistent monitoring and improvement of merit reviews and promotions, and through building stronger community links to encourage retention.

OFEW also seeks to increase retention of that talent by ensuring that faculty at UC Berkeley are proactively supported professionally and in their personal lives, no matter what their gender or ethnicity. Developing research studies and initiatives on hiring, retention and promotion that have and will continue to provide significant insights into the issues our faculty face on their career paths are key functions of the office.

In addition, the Associate Vice Provost for the Faculty works in coordination with the designated Title IX compliance officer overseeing cases concerning faculty charged with sexual discrimination and harassment, and monitors the resolution of complaints. OFEW also works in coordination with the Office of Academic Personnel to interpret and implement academic policies and procedures. Also, the Academic Senate offers several resources to assist faculty in the resolution of conflicts on campus.

## **SUPPORT OF COMMUNITY ACTION PROGRAMS**

Senior level administrators, deans, department chairs, staff and faculty at UC Berkeley have always been actively involved in the local community through membership in many community action programs, offering both financial support and contributions of time and expertise. Faculty are involved in academic organizations and caucuses in all fields devoted to the promotion of women and minorities in university teaching and research. The Chancellor frequently speaks in public venues in support of affirmative action efforts. The achievements of minority and women faculty and staff are frequently featured in campus publications.

In recent years, the Chancellor and the Campus have taken a leadership position in response to policy changes in the State of California that have limited affirmative action in education and hiring. The Vice Chancellor for Equity and Inclusion has made more and wider community involvement a high strategic goal for the campus.

# COMPLIANCE WITH SEX DISCRIMINATION GUIDELINES

41 CFR Part 60-20

## Compliance with Sex Discrimination Guidelines

University of California, Berkeley employment policies and practices comply with the laws and regulations prohibiting sex discrimination, including the Equal Pay Act, the Pregnancy Discrimination Amendments to Title VII, the EEOC Guidelines on Sexual Harassment and the OFCCP Sex Discrimination Guidelines. The University also conforms to all nondiscriminatory regulations concerning recruitment and advertising.

## Job Policies and Practices

It is the policy of the University of California, Berkeley not to discriminate against employees or applicants for employment on the basis of sex in any of its policies, procedures, or practices. All individuals have equal opportunity for any job for which they are qualified, regardless of their sex. UC Berkeley recruits individuals of both sexes for all jobs; sex is not a bona fide occupational qualification for any jobs at UC Berkeley. No job advertisements for positions at UC Berkeley express a preference for one sex. Written personnel policies clearly indicate that they apply to employees of both sexes, and that discrimination on the basis of sex is not allowed. Employees and applicants of both sexes have an equal opportunity to any available position they are qualified to fill. Wages, hours, conditions of employment, pensions, recreational programs, and all other employee benefits will continue to be administered on an equal basis, regardless of sex. UC Berkeley makes no distinction between married and unmarried applicants or employees; or between those with or without young children. Retirement benefits are equal for both sexes. Appropriate and comparable physical facilities are available for both sexes. Women are not penalized in their conditions of employment because they require leave for childbearing. Both sexes are informed of the availability of applicable leaves for family situations. There is no mandatory retirement age, and no distinction made between men and women in terms of retirement choices. Sex is not a factor in determining seniority for indefinite layoff or reduction in time. UC Berkeley makes a significant effort to recruit women to apply for jobs in areas where they are underutilized. Both men and women are eligible for training programs and benefits, including management or leadership training programs.

## Sexual Harassment

The Campus Climate and Compliance (CCAC) Office is responsible for ensuring the University provides an environment for faculty, staff and students that is free from discrimination and harassment on the basis of sex. The CCAC Office has the specific responsibility for providing prompt and effective responses to all complaints of sex discrimination or harassment for faculty, staff and students. Any member of the University community may report conduct that may

constitute sexual harassment under this policy. In addition, supervisors, managers, and other designated employees are responsible for taking whatever action is necessary to prevent sexual harassment, to correct it when it occurs, and to report it promptly to the Title IX Compliance Coordinator (Sexual Harassment Officer) or other appropriate official designated to review and investigate sexual harassment complaints. An individual also may file a complaint or grievance alleging sexual harassment under the applicable University complaint resolution or grievance procedure. The CCAC Office works in collaboration with the system-wide Office of the President, offering both online and in person workshops to fulfill requirements under California State law to provide two hours of sexual harassment prevention education every two years to faculty, managers and supervisors. Further, the Office provides opportunities to staff employees and students, for education regarding issues of discrimination, equity, and the impacts of discrimination and unequal treatment on department and classroom climate.

# 9

## **COMPLIANCE WITH GUIDELINES ON DISCRIMINATION BECAUSE OF RELIGION OR NATIONAL ORIGIN**

41 CFR Part 60-50

Personnel policies and procedures for academic and staff employees comply with the federal Guidelines on Discrimination Because of Religion or National Origin, prohibiting discrimination because of religion or national origin. In implementing UC Berkeley's commitment to equal employment opportunity, the University does not discriminate against or permit harassment of an individual employed or seeking employment with the University on the basis of several factors, including religion and national origin. The Campus communicates its obligation to provide equal employment opportunity without regard to religion or national origin to all employees, including deans, department chairs, directors, managers, and supervisors. The Campus strives to accommodate employee requests for time off for religious reasons. Managers and supervisors who make employment decisions are informed of the University's equal opportunity and nondiscrimination policy and the need to make reasonable accommodations to the religious observances and practices of employees or prospective employees. Such accommodation is made if there will be no undue hardship on the conduct of business. The Campus notifies recruitment sources to refer all potential qualified candidates, regardless of religion or national origin.

## COMPLIANCE WITH FEDERAL REGULATIONS ON INDIVIDUALS WITH DISABILITIES AND COVERED VETERANS

41 CFR 60-250

41 CFR 60-300

41 CFR 60-741

In compliance with Section 503 of the Rehabilitation Act of 1973 and the Vietnam Era Veterans Readjustment Assistance Act of 1974 (“VEVRAA”), the University has developed this combined Academic Affirmative Action Program for individuals with disabilities and covered veterans, in accordance with OFCCP regulations. The Academic Affirmative Action Program for individuals with disabilities and covered veterans serves as a working document for taking affirmative action to employ and advance in employment qualified individuals with disabilities and covered veterans.<sup>4</sup> Provisions that are unique for ensuring equal employment opportunity for individuals with disabilities and covered veterans are set forth in this section of the program. In some instances when general provisions governing equal employment opportunity and affirmative action encompass women, minorities, individuals with disabilities, and covered veterans, the provisions appear in earlier sections of the Academic Affirmative Action Program. In particular, policies on nondiscrimination and affirmative action applicable to women, minorities, individuals with disabilities, and covered veterans are set forth on page iii under section captioned “Commitment to Equal Employment Opportunity/Affirmative Action;” and the processes for disseminating, internally and externally, equal employment opportunity and affirmative action policies and information applicable to women, minorities, individuals with disabilities, and covered veterans are set forth in the earlier section captioned “Responsibility for Implementation & Dissemination of Policy.” The employee and applicant information systems discussed in Chapter 6 include mechanisms to collect, maintain and report information required by Sections 60-250.44(h), 60-300.44(h) and 60-741.44(h) of the regulations about covered veterans and individuals with disabilities.

**Definitions.** The following definitions are applicable to this program:

"Individual with a disability", means any person who has a “physical or mental impairment, that substantially limits one or more of the major life activities of such individual. “Disability” also includes having a “record of” such an impairment, or being “regarded as” having such impairment. The definition provided comports with the regulatory definition.

"Qualified individual with a disability" means an individual with a disability as defined above who: (1) has the requisite skills, experience, education and other job-related requirements of the position the individual holds or desires and (2) is able to perform the essential functions of a particular job, either with or without reasonable accommodation.

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<sup>4</sup> This affirmative action program may be complemented by the University’s actions, policy, and procedures that address provisions of the California Fair Employment and Housing Act.

"Covered veteran" means a disabled veteran, recently separated veteran, veteran of the Vietnam era, veteran who served on active duty in the U.S. military, ground, naval or air service during a war or in a campaign or expedition for which a campaign badge has been authorized, or Armed Forces service medal veteran.

"Recently separated veteran" means any veteran during the three year period beginning on the date of such veteran's discharge or release from active duty in the U.S. military, ground, naval or air service.

"Disabled veteran" means (1) a veteran of the U.S. military, ground, naval or air service who is entitled to compensation (or who, but for the receipt of military retired pay, would be entitled to compensation) under laws administered by the Secretary of Veterans Affairs or (2) a person who was discharged or released from active duty because of service-connected disability.

"Qualified disabled veteran" means a disabled veteran as defined above who has the ability to perform the essential functions of a particular position, with or without reasonable accommodation to his or her disability.

"Veteran of the Vietnam era" means a person who: (1) Served on active duty for a period of more than 180 days and was discharged or released there from with other than a dishonorable discharge, if any part of such active duty occurred: (i) In the Republic of Vietnam between February 28, 1961, and May 7, 1975; or (ii) Between August 5, 1964, and May 7, 1975, in all other cases; or (2) Was discharged or released from active duty for a service-connected disability if any part of such active duty was performed: (i) In the Republic of Vietnam between February 28, 1961, and May 7, 1975; or (ii) Between August 5, 1964, and May 7, 1975, in all other cases.

"Armed Forces service medal veteran" means any veteran who, while serving on active duty in the U.S. military, ground, naval or air service, participated in a United States military operation for which an Armed Forces service medal was awarded pursuant to Executive Order 12985.

## **Equal Employment Opportunity and Affirmative Action Policy**

To provide equal employment and advancement opportunities to all individuals, employment decisions at the University are based on merit, qualifications and talent. The University does not discriminate in employment opportunities, promotion, or practices on the basis of race, color, religion, sex, national origin, ancestry age, disability, family care status, veteran status, marital status, sexual orientation or any other characteristic as protected by law.

UC Berkeley will not engage in discriminatory practices against any employee or applicant for employment because of physical or mental disability, or because the person is a covered veteran, in regard to any position for which the employee or applicant for employment is qualified. The Campus will take affirmative action to employ at all levels and will advance in employment and otherwise treat qualified individuals with disabilities and covered veterans without discrimination in all employment practices including recruitment, appointment, promotion, merit increase, salary and renewal of appointment.

## **Review of Personnel Processes**

The University ensures that its personnel processes provide for careful, thorough and systematic consideration of the job qualifications of applicants and employees with known disabilities or who are known covered veterans for job vacancies filled either by hiring or promotion, and for all training opportunities offered or available.

The University also ensures that its personnel processes do not stereotype disabled persons or covered veterans in a manner which limits their access to jobs for which they are qualified.

Recruitment. Employment practices are reviewed periodically to determine whether personnel programs provide the required affirmative action for employment and advancement of covered veterans and individuals with disabilities. All recruitment plans are reviewed to assure that advertising and other efforts are made to reach out to qualified candidates, including covered veterans and individuals with disabilities.

Annual Program Updating and Reporting. The academic affirmative action program for individuals with disabilities and covered veterans is reviewed and updated annually.

Grievance and Appeal Procedure. Employees who allege that they have been discriminated against because of their status as an individual with a disability or a covered veteran have access to redress through campus complaint resolution procedures established in accordance with the applicable personnel policy of the personnel program or labor agreement. Complaint resolution meetings are held in accessible locations and, if necessary, interpreters or adaptive devices are provided.

## **PHYSICAL AND MENTAL QUALIFICATIONS**

The University periodically reviews all physical and mental job qualification standards for academic positions with unit managers to ensure that, to the extent qualification standards tend to screen out qualified individuals with disabilities or qualified disabled veterans, they are job-related for the position in question and consistent with business necessity and the safe performance of the job.

The Associate Vice Provost for the Faculty assists the Executive Vice Chancellor & Provost in providing guidance and assistance to the deans, directors, and department chairs in the implementation of affirmative action policy and procedures. This includes monitoring and enforcement of search and selection procedures, investigating and making recommendations regarding appeals and complaints, and implementing all aspects of affirmative action.

## **REASONABLE ACCOMMODATION AND FACILITY ACCESSIBILITY**

Wherever possible, reasonable accommodation is made to the known physical and mental limitations of all otherwise qualified applicants and employees who are disabled veterans or individuals with disabilities, unless such accommodation would impose a demonstrable hardship on the conduct of business.

Employees may contact the following at any time to request an accommodation or address a disability related concern:

The University Health Services Employee Rehabilitation Program employs two full-time vocational rehabilitation counselors to help departments in attaining medical clarification, and assist current disabled employees to remain on the job with reasonable accommodation or help in the re-employment of such employees. The types of accommodations implemented include: granting medical leaves of absence, graduated return to work scheduling, provision of assistive devices, task restructuring, and work area modification. Funds are available and procedures are in place to provide (1) interpreters for deaf employees and applicants, and (2) adaptive devices for disabled or disabled veteran employees and applicants. Other services include counseling, advising, and tracking transitional return to work, reviewing medical separation requests, providing workshops and training in disability management for employees involved in the full range of HR processes (recruitment, screening, selection, promotion, disciplinary, and related processes).

The office of Academic Compliance and Disability Standards (ACADS) supports the academic community in meeting its responsibilities under various campus policies. Assistant Provost for Academic Compliance and Disability Standards Sarah Hawthorne is responsible for assisting the campus in meeting its obligations with respect to persons with disabilities. The federal Americans with Disabilities Act (ADA) of 1990 and other federal and state laws, as well as the University of California Guidelines Applying to Nondiscrimination on the Basis of Disability require that persons with disabilities have equal opportunity to enjoy campus programs, activities, and benefits.

The Disability Resolution Officer is the initial campus contact person for individuals seeking to resolve a disability-related concern or problem. This includes faculty and other academics with disabilities wanting support and assistance in obtaining accommodation from their department. In addition, the disability resolution officer responds to allegations of discrimination on the basis of disability, and when appropriate, investigates such allegations including failure to accommodate. The disability resolution officer also provides information about other disability-related campus services and programs, such as parking for persons with disabilities.

Vocational rehabilitation counselors are trained in methods of job modification, knowledgeable about resources and adaptive devices available for the disabled or disabled veterans, and provide consultation to departments when needed to determine if accommodation is reasonable.

Over the last three decades, the University has extensively modified campus grounds, buildings, and other facilities to improve access for people with disabilities as part of an ongoing process that continues to the present. The Campus Access Guide, containing information about the access features of most, campus buildings, can be found online on the campus webpage or at: <http://acads.chance.berkeley.edu/CAG/index.shtml>.

## **HARASSMENT**

Per federal guidelines, the University has developed and implemented procedures to ensure that employees are not harassed because of their race, color, religion, sex, national origin, ancestry, age, disability, sexual orientation or veteran status. The University has a guide entitled “Berkeley Campus Procedures for Responding to Reports of Sexual Harassment,” and for reports of retaliation related to reports of sexual harassment.

## **RESPONSIBILITY FOR IMPLEMENTATION AND DISSEMINATION OF POLICIES**

Ultimate responsibility for the effective implementation of all aspects of the UC Berkeley Academic Affirmative Action Program for the employment of covered veterans and individuals with disabilities rests with the Chancellor. As noted above, the Chancellor has delegated responsibility for implementation to other senior officers including the Executive Vice Chancellor and Provost, Vice Provost for the Faculty, Associate Vice Provost for the Faculty, Assistant Provost for Academic Compliance and Disability Standards, the Title IX officer, and to deans, directors, and department chairpersons for the units under their jurisdiction. This responsibility includes: 1) dissemination of policy, and programs (a) internally to current academic personnel and (b) externally to those who are or might be candidates for positions; 2) review of proposed academic personnel actions for compliance with affirmative action policies and procedures; and 3) maintenance of records of individual employment actions in a manner that will enable response to federal review or inquiry.

Deans, directors, department chairs, and unit managers have the responsibility for implementation of equal employment opportunity and affirmative action within their departments by assuring that all personnel actions are administered in accordance with applicable personnel policies or labor agreements. The academic staff hiring process on the Berkeley campus is decentralized. The responsibility for making a good-faith effort in ensuring equal employment opportunity, therefore, lies with the deans, directors, department chairs, and unit managers on the campus. All applicants who have been offered employment are invited to self-identify their status as an individual with a disability or covered veteran after a job offer is made and prior to the beginning of employment. After a faculty hiring decision is made, the department/unit is required to submit a search report to the Associate Vice Provost for the Faculty which requires that job-related reasons be provided for both selection and non-selection of all applicants interviewed.

### **Internal dissemination of policies**

This Program for Individuals with Disabilities and Covered Veterans is disseminated with the Academic Affirmative Action Program. Internal dissemination of equal employment opportunity and affirmative action policies and information is described on page 1-4.

## **External dissemination of policies**

This Program has been announced to the California Employment Development Department; the California Department of Rehabilitation; organizations of and for individuals with disabilities; veteran service organizations; the Department of Veterans' Affairs Regional Offices; educational institutions which participate in training of the disabled; college placement offices; and other local, state, and national organizations.

External dissemination of equal employment opportunity and affirmative action policies and information is described in detail on page 1-5.

## **Training**

The Vice Chancellor for Equity and Inclusion, the Vice Provost for the Faculty, the Associate Vice Provost for the Faculty, and the Director of Academic Personnel develop training materials and monitor academic personnel actions, training of academic administrators, deans and department chairs, and coordination of good faith efforts in departmental recruitment and search procedures. The Assistant Provost of Academic Compliance & Disability Standards provides regular advice to campus academic administrators and supervisors on the standards applicable to procedures to ensure that those procedures do not result in discrimination on the basis of disability when a unit is recruiting, screening, selecting, promoting, or disciplining. The Assistant Provost is frequently invited to provide training to individual units upon request, and information is available onsite to all academic departments with respect to resources available about disability compliance requirements.

## **Employee Development**

Known covered veterans and individuals with disabilities have had the opportunity to participate in all University sponsored educational, training, recreational and social activities. Class enrollment forms specify that participants can indicate a need for accommodations. Employees signing up for training and development programs should follow their department training guidelines.

## **Invitation to self-identify**

All applicants who are offered employment and who believe themselves covered by the definitions of individual with disability or disabled veteran are given the opportunity to self-identify voluntarily after a job offer is made and prior to when employment begins. Employees may also voluntarily self-identify at any time they choose. The information is confidential and is used and released only in accordance with applicable Federal and State laws and University policies. There is no adverse treatment if an applicant or employee chooses not to identify. The information is used by the director of data initiatives in monitoring the effectiveness of the academic affirmative action program for individuals with disabilities and covered veterans.

If an applicant or employee is seeking reasonable accommodation, the department of the employee, the hiring department, or academic affairs may (1) require the applicant or employee

to provide proper documentation covering the claim of disabled or disabled veteran status and/or (2) require the applicant or employee to undergo an evaluation at the expense of the unit making the request under certain narrowly prescribed circumstances. Such medical information is confidential and is released only in accordance with applicable Federal and State laws and regulations and University policy.