

# AAU Advisory Board on Racial Equity in Higher Education

## Report

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## Introduction

### **Mission Statement**

In 2021, the Association of American Universities formed an Advisory Board on Racial Equity in Higher Education. Co-chaired by University of Minnesota President Joan Gabel, Rutgers University President Jonathan Holloway, and University of Rochester President Sarah Mangelsdorf, the board conducted its work through four different subgroups, each tasked with studying promising practices and communicating potential strategies to mitigate structural barriers to equity in different aspects of the life of leading research universities.

These strategies touch on every aspect of work and life at research universities, ranging from student and faculty recruitment and retention, campus climate, university and departmental governance, and institutional aid to a host of other aspects of university business at both the undergraduate and graduate levels. They are attached as appendices to this report, organized by subject area. Understanding the variety of AAU institutions, these strategies have been designed to be adaptable to widely differing campus contexts in order to help each individual institution evaluate them for potential use on their campuses. When possible, the strategies are accompanied by practical implementation ideas and resources.

To maintain the distinctive characters of our respective campuses while concurrently contributing to collective outcomes, this report describes tools, techniques, and practices under each focus area around which the Advisory Board organized our work. Although we organized the strategies around these focus areas, we note their interconnectedness. And finally, we

expect that individual campuses will evaluate and adapt these resources to their unique environments.

### **Organization of Strategies**

This report was prepared over the course of the 2021-22 academic year and the strategies described are in use at the present time. We recognize, however, that innovation in strategies to promote racial equity will continue and that new ideas will be generated. We will revisit these strategies and new ones with our Chief Diversity Officers periodically and will share promising practices with our members. Although this report reflects a moment in time, AAU members share an abiding commitment to racial equity.

**APPENDIX A:** Undergraduate Education and Recruitment

**APPENDIX B:** Graduate Student and Faculty Recruitment

**APPENDIX C:** Faculty Advancement and Tenure

**APPENDIX D:** Campus Infrastructure and Climate

### **Measuring Progress**

The Advisory Board determined that finding ways to assist institutions in measuring their progress and being transparent with results over time were central to our task. In **Appendix E**, we offer a range of suggested survey instruments that allow for functional comparisons, shared vocabulary, and a platform for sharing best practices while providing flexibility and adaptability to multiple campus environments. We remain available and committed to assist institutions across the AAU membership in evaluating the usefulness of particular strategies for their respective campuses.

## Appendix A: Undergraduate Education and Recruitment

The Advisory Board collected the strategies listed below for consideration by member institutions in the area of Undergraduate Education and Recruitment. (Please note that specific program examples provided, while appropriate for their respective campuses, should be evaluated for a member institution's own campus context, including laws applicable to it.)

### *Institutional Aid and Cost Transparency:*

- **STRATEGY 1: Monitor the cost of attendance for undergraduates at your institution, including costs beyond tuition.** *Potential practices to help accomplish this include:*
  - Exploring other ways for students to cover supplemental costs that they may incur (e.g., open educational resources, cost of books, fee waivers, cost of other required instructional materials).
  - **EXAMPLE:** [OER Commons](#), which is a public digital library of open educational materials and resources.
  
- **STRATEGY 2: Maximize availability of institutional grants, including allocating available grants based on financial need and minimizing student borrowing for college costs.** *Potential practices to help accomplish this include:*
  - Considering different funding models for student financial aid, such as applying institutional aid first before federal or outside grants.
  - Ensuring a student's grant aid is not reduced by the amount of private scholarships received.
  - Allowing undocumented students to qualify for in-state tuition and institutional grants.
  
- **STRATEGY 3: Plan and thoroughly disclose financial aid packages through graduation rather than on an annual basis to better assist students in knowing the costs of their education experience rather than the cost of only their first year.** *Potential practices to help accomplish this include:*
  - Clearly distinguishing grants and scholarships from loans in financial aid offer letters, net price calculators, and all other communications about financial aid. Ensure that communications about aid meet federal guidelines and other recommended best practices and identify contact information for students and parents to ask questions. Ensure that students and families know the implications of using loans to pay college costs.
  - Providing students with an itemized list of fees and charges related to the cost of attendance. Ensure that this disclosure accounts for *all* costs associated with attendance used to calculate eligibility for need-based financial aid, including the actual cost of living and other costs of fully engaging in the college experience.
  - Streamlining the processes for applying for financial aid and appealing financial aid awards. Review entrance and exit counseling for student loans and financial aid advising for incoming and current students to ensure they are aware of college costs, financial aid programs, implications of loans and student employment, how to repay them, and other financial aid resources.

- **STRATEGY 4: Facilitate students’ access to funds that provide for basic needs and co-curricular activities as well as cover emergency situations.** *Potential practices to help accomplish this include:*
  - Establishing programs that offer grants to cover basic needs, such as food assistance and case management for students experiencing food and housing insecurity. Coordinate with financial aid to disperse student funds that assist with covering basic needs. Such a program could include donations of excess/unused dining credits to benefit students experiencing food insecurity.
  - Creating special emergency grant programs for students experiencing other kinds of extraordinary financial hardships. Evaluate the distribution of funds to understand who is receiving assistance and ensure the people who need the most assistance are actually receiving it.
  
- **STRATEGY 5: Encourage the development of work-study opportunities, on- and off-campus employment, and other employment that helps advance students’ career goals and interests, and help students find these opportunities.** *Potential practices to help accomplish this include:*
  - Allowing undergraduate research opportunities to qualify as work-study to prevent students from having to choose between participating in research or working a job that qualifies as work-study.
  - Creating funds, where available, that provide compensation for low-income students to participate in research efforts and that enable low-income students to participate in unpaid career-related internships.

### *Recruitment, Retention, and K-12 Partnerships*

- **STRATEGY 6: Consider an undergraduate application evaluation process that enables multiple perspectives to be taken into consideration when reviewing a student’s application. This includes the use of holistic admission practices, as well as considering going test optional or eliminating standardized test scores.**
  
- **STRATEGY 7: Establish a program or targeted strategy that may be of particular interest to underrepresented and low-income students who apply to and attend your institution. Proactively target information about the program to potentially eligible students.** *Potential examples include:*
  - **EXAMPLE A:** The [HAIL scholarship](#) at the University of Michigan provides four-year tuition assistance to low-income students from Michigan public high schools without requiring them to fill out the FAFSA.
  - **EXAMPLE B:** The [Young Scholars Program](#) at The Ohio State University
  - **EXAMPLE C:** The [Morrill Scholarship Program \(MSP\)](#) at The Ohio State University
  - **EXAMPLE D:** The [Stamps Scholarship](#) at the University of Illinois Urbana-Champaign
  - **EXAMPLE E:** The [Posse Program](#)

- STRATEGY 8: Encourage faculty and staff to partner with local schools and communities to co-create and implement university supported programs that address educational inequities and support post-secondary pathways.** Target partnerships to underserved communities to prepare students regardless of whether they are likely to apply to or attend your institution. The goal is to support post-secondary pathways for students in our communities. *Potential examples include:*

  - EXAMPLE A:** [The Justice Scholars Institute](#) partners with the College in High School program at the University of Pittsburgh to support students in underserved high schools by providing access to university courses for college credit, which are offered with a number of other strategic programs to support students' post-secondary interests.
  - EXAMPLE B:** [Wolverine Pathways](#) at the University of Michigan is a free, year-round college readiness program for 7<sup>th</sup> through 12<sup>th</sup> grade students who live in Detroit or within the boundaries of select school districts in Michigan.
  - EXAMPLE C:** The [National Education Equity Lab](#) delivers online university courses for college credit at no cost, as well as mentoring and support for high school students.
- STRATEGY 9: Establish a cohort program or campus center that may be of particular interest to underrepresented and low-income students to support their successful transition to undergraduate coursework by helping them acclimate to campus, access campus resources, and develop a close-knit community with peers.** Continue to provide programming and resources throughout students' undergraduate career, especially during the first and third years (when, statistically, the greatest retention variations occur). *Potential example:*

  - EXAMPLE:** [Penn First Plus](#) serves as a hub for students who are first in their families to pursue a bachelor's degree or are from modest financial circumstances.

### *Inclusive Pedagogy*<sup>1</sup>

- STRATEGY 10: Enable campus teaching centers to provide resources on inclusive pedagogy to ensure faculty are well-supported in their work to create inclusive classrooms that advance the learning of all students regardless of race or ethnicity.** *Potential practices to help accomplish this include:*

  - Establishing faculty professional development programs focused on inclusive pedagogy (**EXAMPLES:** [The University of Chicago Center for Teaching and Learning's program on Inclusive Pedagogy](#), Pedagogy, and [Yale University's Poorvu Center for Teaching and Learning, Inclusive Teaching Strategies](#)).

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<sup>1</sup> McNair, Tia Brown, Estela Mara Bensimon, and Lindsay Malcom-Piqueux. 2020. *From Equity Talk to Equity Walk: Expanding Practitioner Knowledge for Racial Justice in Higher Education*. Hoboken, NJ: Jossey-Bass.

- Employing mechanisms such as revised syllabi, revised course policies, or a midterm evaluation to help faculty successfully incorporate inclusive pedagogy strategies into the curriculum (**EXAMPLE:** The University of Southern California Center for Urban Education created a syllabus review guide as a tool to promote racial and ethnic equity).
  - Providing resources to department chairs, faculty mentors, and tenure review committees on how to understand and evaluate critical student evaluations from faculty who are implementing inclusive teaching strategies, course content, and syllabi content.
  - Establishing a cohort-based faculty mentoring program to help faculty develop inclusive classrooms, including course content and syllabi. Encourage faculty members participating in the program to mentor future cohort members.
- **STRATEGY 11: Establish professional development opportunities for graduate student instructors on inclusive pedagogy.** *Potential example:*
    - **EXAMPLE:** [The University of Michigan Center for Research on Learning & Teaching](#) created a learning community for graduate student instructors that focuses on topics such as challenges to authority when teaching race and ethnicity courses, managing difficult dialogues around racial inequity, and challenges and rewards of teaching about race and ethnicity in predominantly white classrooms.
- **STRATEGY 12: As a part of the campus interview process for new faculty, consider having prospective candidates present an inclusive teaching module or lecture for a class, or ask candidates to discuss their ideas about making their courses inclusive.**

### *Advisement and Career Development for Undergraduate Students*

- **STRATEGY 13: Equip faculty advisors with [proactive advising](#) models to ensure students stay on the path toward graduation and skill attainment. These models should employ the use of data to help keep students on track.** *Potential example:*
  - **EXAMPLE:** [Georgia State University](#) employs data successfully in advising students.
- **STRATEGY 14: Create opportunities for students to advance their career knowledge, skills, and understanding of post-college career paths.** These might include co-ops, internships, entrepreneurship, global experiences, civic pathways, research, high-impact practices, and other opportunities. *Potential practices to help accomplish this include:*
  - Connecting students with paid opportunities and funding to offset costs incurred while participating in career-related positions, such as covering expenses associated with summer internships.
  - Providing opportunities to encourage underrepresented students to participate in research (**EXAMPLE:** The Big Ten Academic Alliance's [Summer Research Opportunities Program](#)).

- Building university and industry partnerships that can help students identify career opportunities (**EXAMPLE:** The [JPMorgan Chase & Co. Initiative](#) at The Ohio State University).
- Creating an alumni industry inventory by academic major and area of study that allows students to see the careers an institution's alumni pursued, facilitating connections with alumni who are working in their field of interest.

## Appendix B: Graduate Student and Faculty Recruitment

The Advisory Board collected the strategies listed below for consideration by member institutions in the area of Graduate Student and Faculty Recruitment. (Please note that specific program examples provided, while appropriate for their respective campuses, should be evaluated for a member institution's own campus context, including laws applicable to it.)

### *Diversifying Graduate Enrollment, Experience, and Retention*

- **STRATEGY 15: Develop programs that may be of particular interest to underrepresented junior and senior undergraduate students to help them prepare for graduate and doctoral studies through involvement in research, mentoring, professional development, and other activities.** *Potential examples:*
  - **EXAMPLES:** The [Meyerhoff Scholars Program](#) at the University of Maryland Baltimore County, which has been replicated at the [University of North Carolina Chapel Hill](#) and on other campuses.
    - If your institution already has such a program/programs, evaluate how to improve and expand it/them as well as ensure they are institutionalized in a place that is well-supported and funded.
    - If your institution does not have the funds or resources to establish a large program, consider programs on a smaller scale (e.g., the NSF program and Research Experiences for Undergraduates (REU)) and encourage faculty to include undergraduate students in research and provide mentoring.
  
- **STRATEGY 16: Develop a bridge program or summer experience program that may be of particular interest to underrepresented students to encourage pursuit of graduate studies.** *Potential example:*
  - **EXAMPLE:** [Columbia University's Bridge to the PhD Program in STEM](#) provides intensive research, academic, and mentoring experience for post-baccalaureates of all backgrounds to strengthen their graduate school applications and prepare to transition to PhD programs.
  
- **STRATEGY 17: Foster and formalize partnerships between AAU and non-AAU institutions, such as HBCUs, HSIs, tribal colleges, AANAPISIs, and other MSIs, to diversify graduate student admissions and enrollment.** *Potential examples:*
  - **EXAMPLE A:** The [Fisk-Vanderbilt Master's-to-PhD Bridge Program](#).
  - **EXAMPLE B:** The dual engineering PhD degree program at [Carnegie Mellon University and Howard University](#).
  - **EXAMPLE C:** The [University of Michigan School of Engineering's](#) dual-degree partnership with the Atlanta University Center Consortium (Clark Atlanta University, Morehouse College, and Spelman College).
  - **EXAMPLE D:** The [SPIRE Postdoctoral Fellowship Program at the University of North Carolina Chapel Hill](#) partners with four of North Carolina's MSIs.
  - **EXAMPLE E:** Columbia University's [Columbia HBCU Fellowship Program](#) for current HBCU seniors or recent graduates.



- **STRATEGY 18: Provide professional development opportunities for faculty and other involved individuals on, and implement holistic and inclusive admissions practices in, the graduate student admissions process.** This would include encouraging and incentivizing the use of intentional admissions metrics that are valid predictors of success, and considering in particular, non-traditional measures of success.
- **STRATEGY 19: Encourage academic departments and graduate schools to host events that may be of particular interest to prospective and admitted students from underrepresented groups.** Examples include an in-person or virtual welcome weekend that provides opportunities for students to meet with faculty members, learn about faculty research, talk about the graduate school experience with current students, and form a close-knit cohort with other prospective students.
- **STRATEGY 20: Seek feedback from current and former students on their graduate school experiences, as well as prospective students who did not enroll, to improve recruitment and retention practices and develop a plan of action on how to respond to climate concerns within the graduate student population.**
- **STRATEGY 21: Provide sufficient financial support for graduate students from low-income families for the entirety of their enrollment in the graduate program; some options include extra stipend support for students to conduct research, financial support to free them from teaching duties, or extra time on the back end of their fellowship packages so that they can focus on and complete their dissertations in a timely fashion.**
- **STRATEGY 22: Develop resources for an office in the graduate school that focuses on the well-being of graduate students and to include the experiences of graduate students from underrepresented groups; this office could sponsor programming on graduate student success, professional development, community building, and other resources.** *Potential examples:*
  - **EXAMPLE A:** The [Office of Graduate Student Equity and Excellence \(GSEE\)](#) at the University of Washington Graduate School.
  - **EXAMPLE B:** The [award-winning UNC Graduate School Diversity and Student Success \(DSS\) Program](#) at the University of North Carolina at Chapel Hill.
- **STRATEGY 23: Provide faculty with professional development programs on mentoring and different mentorship models, including cross-racial mentorship, and incentivize dedicated, effective mentorship through an annual faculty mentor award.** *Potential example:*
  - **EXAMPLE:** Graduate schools could adapt the [National Center for Faculty Development and Diversity \(NCFDD\)](#) to the graduate-student context.
- **STRATEGY 24: Develop a program that may be of particular interest to postdoctoral students from underrepresented groups to provide professional development, mentoring, and community-building.** Such a program could focus on connecting students with faculty members who have job duties and roles that match, or are at least similar to, their professional goals and include cohorts of postdoctoral students, goal

setting, milestone tracking, and community building among the cohort members.

*Potential example:*

- **EXAMPLE:** The [SPIRE Postdoctoral Fellowship Program at the University of North Carolina Chapel Hill](#).

### ***Diversifying Faculty Recruitment and Retention***

- **STRATEGY 25: Provide support and guidance to faculty search committees to ensure the pool of candidates is diverse.** *Potential practices to help accomplish this include:*
  - Considering policies that will help make your institution more attractive and welcoming to faculty members from underrepresented groups. Encourage the use of inclusive job search criteria, job advertisements, and hiring rubrics. (EXAMPLE: The [University of California, Berkeley](#), created the “DEIB” rubric for search committees to use for assessing candidate contributions to diversity equity, inclusion, and belonging. The rubric can be adapted to specific searches, such as by department or discipline expertise.)
  - Encouraging data collection to better understand trends in hiring practices.
- **STRATEGY 26: Consider policies and practices applicable to all that may be of particular interest to faculty from underrepresented groups.** *These may include:*
  - Mortgage lines to fill positions.
  - Cluster hiring.
  - Reallocating research to emerging and interdisciplinary fields.
  - Family leave policies.
- **STRATEGY 27: Enable abundant mentoring and networking opportunities for faculty members to engage with colleagues within their department as well as throughout the institution.** These could include events like monthly luncheons for faculty members. These mentoring and networking opportunities might be of particular interest to faculty from underrepresented groups.
- **STRATEGY 28: Administer a “stay survey” among faculty to understand what is keeping faculty members at your institution and to inform recruitment efforts.** Deans and department chairs should respond to these data, as well as data from faculty exit surveys.

## Appendix C: Faculty Advancement and Tenure

The Advisory Board collected the strategies listed below for consideration by member institutions in the area of Faculty Advancement and Tenure. (Please note that specific program examples provided, while appropriate for their respective campuses, should be evaluated for a member institution's own campus context, including laws applicable to it.)

### *Tenure and Promotion Policies*

- **STRATEGY 29: Adopt an equity-based mindset in tenure and promotion considerations that focuses on providing everyone with the resources they need to be successful (to mitigate the impact of differential valuing on the tenure and promotions process).**

*Potential practices to help accomplish this include:*

- Decreasing reliance on student evaluations as indicators of teaching ability and quality.
  - Including peer evaluations or evaluations by campus teaching centers as additional indicators of teaching effectiveness.
  - Ensuring that departmental evaluations capture DEI issues related to pedagogy, how faculty members manage their courses, and course content.
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- **STRATEGY 30: Bring equity and transparency together in the tenure-and-promotion process by documenting the time faculty devote to citizenship and leadership, recognizing the inherent value of service as opposed to discounting service as “labor.”**  
*Potential practices to help accomplish this include:*
    - Ensuring that candidates are not penalized for taking service-based leave, such as for fellowships.
    - Establishing a leadership position to manage citizenship and leadership, as well as equitable workloads, across faculty. If a leadership position is not established, ensure that faculty citizenship and leadership and equitable workloads are tracked, measured, and rewarded.
    - Creating a pathway to promotion that values citizenship and leadership as an integral part of the process and ensure that it is appropriately weighted in tenure-and-promotion policies and reviews. The pathway could be documented in written form and codified in a provost's office, or in concert with a faculty senate.
    - Collecting qualitative and quantitative data to increase transparency and acknowledging what processes are working in tenure-and-promotion reviews. For example, a provost's office may annually want to conduct exit interviews with a selection of school-wide promotion and tenure committees and deans to understand and gauge how individual units are considering citizenship and leadership factors in the tenure-and-promotion process.
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- **STRATEGY 31: Broaden the academic work that is recognized in the tenure-and-promotion process while maintaining the highest standards in teaching and research/scholarship. Value action-oriented, equity-based, and interdisciplinary scholarship as well as traditional metrics to measure impact. This includes:**
    - Scholarship focused on underrepresented populations.
    - Community-based research.

- Team-based scholarly work.
- Scholarship that measures the impact of policy in practice, among other forms of academic work.
- **STRATEGY 32: Provide guidance and tools to tenure-review committee members that emphasize equity and justice issues.** *These resources may include:*
  - Educating tenure review committees on ways to address systemic biases and minimize bias in review. Ensure the committee is able to recognize implicit bias, especially in review letters, and to address it accordingly.
  - Including a clear description of what information the review committee is trying to collect in evaluators' tenure review letter invitations.
  - A tenure-and promotion-toolkit (e.g., guidance on letter writing, summary of the institution's DEI values as they relate to tenure and promotion) for external reviewers as well as members of the committee.
- **STRATEGY 33: Appoint tenure-and-promotion committees that broadly reflect faculty members' discipline, research, teaching, and citizenship and leadership to achieve better understandings of the candidates and fuller pictures of all their accomplishments.** This includes ensuring that interdisciplinary research and faculty are represented (to not only include field expertise, but also to acknowledge multiple fields and review).
- **STRATEGY 34: In the event a tenure case is unsuccessful, institutions should consider a systematic review of the tenure timeline, yearly evaluations, and documents to gather and operationalize any lessons learned.** *This review could include:*
  - Data points, information from committees, and conversations with leadership to understand the decision.
  - Strategies to address any gaps in the system that influenced the result.
- **STRATEGY 35: Create a periodic review period (such as every 8-10 years) to review tenure-and-promotion policies and processes, to ensure they are equity-focused.** *This review could include:*
  - Evaluating policies and procedures in strategic and hiring plans.
  - Examining shared governance and policies between university and departments.
  - Addressing how the politics of race, racial bias, and racially disparate experiences and outcomes can influence policies and practices at all levels of the tenure-and-promotion process.
- **STRATEGY 36: Provide early and continuous investment in faculty development (research funding, professional development, teaching support, as well as resources for community engagement).** *Potential examples:*
  - **EXAMPLE A:** The [Summer Institute on Tenure and Professional Advancement \(SITPA\)](#) at Duke University is a two-year program that facilitates the successful transition from junior faculty status to tenured associate professor. The program is open to those from underrepresented groups or who otherwise support the diversity missions of their institutions.
  - **EXAMPLE B:** [Harvard](#) provides manuscript workshop grants for tenure-track faculty to bring experts to campus to review and offer guidance on in-progress manuscripts.

- **EXAMPLE C:** The [Institute for Citizens and Scholars Career Enhancement Fellowship Program](#), formerly the Woodrow Wilson National Fellowship Foundation, provides a sabbatical grant for six months or one year to help increase the presence of junior faculty members and other faculty members of color.
- **STRATEGY 37: Develop fellowships or competitive awards that have both service and research components and provide time as well as incentives for that work.** These could include course buyouts that release faculty members from course instruction as a reward for devoting time to citizenship and leadership.

### *Faculty Culture and Climate*

- **STRATEGY 38: Commit to building an inclusive intellectual life for faculty within their department or center through providing seminars, lectures, invited guests, and other programming.**
- **STRATEGY 39: Provide strategic, robust orientation and professional development programs for new faculty regardless of the stage of their career to ensure they are supported both professionally and personally – including providing resources for new faculty in acclimating to the community surrounding the institution. Continually evaluate institutional onboarding practices to determine if they can be improved or reintroduced at later stages in faculty members’ careers.** *Potential example:*
  - **EXAMPLE:** Harvard’s Faculty of Arts and Sciences holds the [New Faculty Institute \(NFI\)](#) each August. The NFI is a two-day orientation for new faculty in the FAS that overviews Harvard resources, workshops on teaching and course development, and information on topics such as undergraduate curriculum and mentoring.
- **STRATEGY 40: Commit to using data and other sources of information to identify the factors impacting faculty culture and climate. Evaluate DEI and racial equity issues in these analyses.** *Potential strategies include:*
  - Conducting an assessment or climate survey (campus-wide and/or department-wide) to measure faculty culture and climate.
  - Considering more organic and timely methods to measure climate.
  - Establishing a service and emotional labor inventory for faculty in partnership with HR.
  - Creating a faculty [Equity Scorecard](#) to examine campus data, policies, and practices.
  - Reviewing faculty exit survey data to determine your institution’s retention challenges.
- **STRATEGY 41: Encourage proactive retention conversations between faculty and department chairs, especially during annual reviews.**

## Mentoring

- **STRATEGY 42: Encourage and support faculty members in developing mentoring networks in their research area and with individuals they think would be a good fit.** *Potential practices to help accomplish this include:*
  - Establishing a formal mentoring program to assist with developing these networks, but also encouraging organic development of mentorship networks (i.e., informally) because cross-department mentorships may make sense in some cases.
  - Mentoring networks should include professional track/contingent faculty, as they can have unique needs or challenges, and senior and associate professors.
  - **EXAMPLE:** The [University of Maryland at College Park](#) has a peer network group focused on faculty diversity that promotes the retention, advancement, agency, and professional growth of faculty of color.
- **STRATEGY 43: Encourage an AAU-wide mentorship pool or mentorship hotline for faculty to connect with mentors at other AAU institutions. Provide an AAU-wide award for faculty members who choose to participate.**
- **STRATEGY 44: Provide university-wide incentives and/or awards for faculty members who agree to mentor other faculty and participate in mentorship training.** *Potential practices to help accomplish this include:*
  - Ensuring that mentorship expectations are clear and mentors are held accountable.
  - Establishing a university-wide award with a sizeable monetary prize for mentorship and service. (**EXAMPLE:** [Columbia University](#) provides a \$35,000 faculty award for mentorship and service at commencement.)
- **STRATEGY 45: Develop clear processes and mechanisms that allow mentoring relationships to grow and change based on an individual's needs.** *Potential practices to help accomplish this include:*
  - Establishing guidelines to best maintain the professionalism of a formal mentoring program at your institution.
  - Providing support for interdisciplinary, cross-departmental, and cross-collegiate mentorship opportunities in case there are instances where faculty would feel more comfortable discussing particular topics with individuals who may not be in their academic units.
  - Highlighting reciprocity of mentoring relationships by developing processes for individuals to leave a relationship, such as leaving relationships that could be labeled as toxic.
  - Creating a mentorship scorecard as a tool to improve mentoring relationships and mentorship programs at your institution.
  - **EXAMPLE:** The [mutual mentoring model](#) at the University of Massachusetts-Amherst.

## Appendix D: Campus Infrastructure and Climate

The Advisory Board collected the strategies listed below for consideration by member institutions in the area of Campus Infrastructure and Climate. (Please note that specific program examples provided, while appropriate for their respective campuses, should be evaluated for a member institution's own campus context, including laws applicable to it.)

### Infrastructure

- **STRATEGY 46: Prioritize the creation of a strategic planning process, or execution of an existing one, that includes diversity, equity, and inclusion goals, a clear plan to allocate resources, and systems for accountability.** *Potential practices to help accomplish this include:*
  - Determining whether the plan will be an individual DEI strategic plan or integrated with the institution's overall strategic plan.
  - Committing to making the DEI strategic priorities or formal plan public, including progress made and goals achieved.
  - Identifying funding needs specific to DEI initiatives and establishing a funding infrastructure and budget as part of the planning process.
  
- **STRATEGY 47: Create an annual campus diversity report that reviews and audits existing policies, seeks contribution and assistance from various departments in developing equitable policies to guide DEI work, and establishes accountability for carrying out DEI work. Leaders should discuss these reports with supervisors during the annual performance review process.** *Potential practices to help to accomplish this include:*
  - At minimum, an institution-wide annual report should be created. The creation of unit- and department-level annual reports should also be encouraged.
  - Engaging departments for community discussion on the institution-wide report to reaffirm that DEI work is a shared commitment and responsibility of everyone at the institution.
  
- **STRATEGY 48: Establish a clear and close relationship between your institution's Chief Diversity Officer and President/Chancellor, as well as other executive and administrative leaders in academic affairs, student affairs, human resources, alumni relations, and external relations.** *Potential practices to help accomplish this include:*
  - Ensuring that the Chief Diversity Officer's work is strategically aligned with that of the President/Chancellor and Provost.
  - Coordinating between unit-based diversity officers and those who are responsible for large constituencies between undergraduate students, graduate students, faculty, and staff to mitigate duplicative efforts and maximize positive impacts.
  - Empowering the Chief Diversity Officer with adequate and accessible funds, along with additional resources to deploy toward advancing DEI efforts that combat bias and address issues of social inequity and justice.

- **STRATEGY 49: Incorporate DEI considerations and goals into performance and merit evaluations across all units, including executive and administrative leadership positions, to ensure everyone on campus is held accountable for DEI work.**

### *Governance*

- **STRATEGY 50: Ensure that institutional governance structures – including board governance, faculty governance, staff governance, student governance, and alumni – include a diverse set of voices.** Consider including students’ voices and feedback in governing bodies, such as including students on advisory boards.
- **STRATEGY 51: Enhance the diversity of the Board of Trustees or similar governing body.** *Potential practices to help accomplish this (acknowledging that there are wide variety of methods by which members of governing boards are appointed across AAU and that thus some of the following may not be possible for all member institutions) include:*
  - Committing to enhancing the diversity of the governing body by ensuring *multiple* people from diverse backgrounds (i.e., people of color, women, LGBTQ+, people living with disabilities, international, first-generation, variety of class backgrounds, and other identities) are members of the Board or relevant governing body.
  - Considering an external evaluation through a consulting firm and community participation as a means to increase diversity and inclusive practices in the board activities.
  - Ensuring that Board committees reflect the diversity of the campus and community as well as prioritize DEI work.
  - Orienting Boards on the institution’s DEI commitments and priorities. Provide institutional DEI updates to the Board in a cadence that advances the work.
  - Considering the establishment of DEI Board committee and/or assigning members to existing DEI-related committee(s).
- **STRATEGY 52: Establish a Board evaluation process as a means of improvement and to assess how well Boards are doing on DEI efforts.**
- **STRATEGY 53: Consider establishing ongoing Board professional development on DEI issues, including providing a DEI manual or an in-person workshop, as well as adequate resources, for the Board to understand the institutional commitment to DEI and criteria to be considered when funding DEI efforts.**

### *Campus Climate and Community Safety*

- **STRATEGY 54: Administer a university-wide climate survey (i.e., students, faculty, and staff) on inclusion, safety, and other equity-related issues or conduct an audit of existing sources of qualitative information to understand and identify climate issues on your campus.** *Potential practices to help accomplish this include:*



- Convening campus leaders to review campus climate survey results and implementing changes accordingly.
  - Providing mental health services and related support for students, faculty, and staff.
  - Providing protections and individual support for faculty and scholars who conduct research and teach on topics related to diversity, equity, and inclusion.
- **STRATEGY 55: Formalize a process of collecting data and information on campus policing and what your campus police department is doing to address community safety. (e.g., number of crimes and rate of solving crimes)** *Potential practices to help accomplish this include:*
    - Establishing relevant metrics to track over time.
    - Creating an annual public report about the state of policing on your campus.
    - Conducting a needs assessment to determine if current investments into your campus police department are at an appropriate level for your campus safety needs and periodically assessing those investment levels.
  - **STRATEGY 56: Establish an advisory unit to identify, collate, and report campus issues on policing and community safety, such as a grievances advisory unit, and a separate implementation group or task force responsible for addressing campus issues on policing and community safety once identified.** *Potential examples:*
    - **EXAMPLE A:** [Michigan State University](#) established a policing working group as part of the university's Task Force on Racial Equity and released a report on short-term, intermediate, and long-term goals to better handle campus policing.
    - **EXAMPLE B:** The [University of Southern California Department of Public Safety Community Advisory Board](#) conducted an evidence-based examination of their public safety practices, including departmental accountability, transparency, bias training, and hiring.
    - **EXAMPLE C:** [Yale University](#) engaged 21CP Solutions to conduct an assessment of the Yale Police Department and then created a task force to review the recommendations and consider further actions.
  - **STRATEGY 57: Establish an advisory group to weigh the needs of checking the background of prospective employees against the ethics of ensuring equity for the formerly incarcerated, incorporating the principles of the [Ban the Box initiative](#).** *Potential examples:*
    - **EXAMPLE A:** [Johns Hopkins Medicine](#) hires formerly incarcerated individuals.
    - **EXAMPLE B:** California adopted the [Fair Chance Act in 2018](#), which limits employers' consideration of an applicant's criminal history. Employers cannot include questions about an applicant's criminal history in their "help wanted" ads, applications, or during job interviews.

### ***Professional Development and Diversity Education***

- **STRATEGY 58: Commit to delivering to all students, faculty, and staff a meaningful, ongoing education program on DEI principles and practices as a starting point to demonstrate your institution's commitment to creating an inclusive environment.** *Potential practices to help accomplish this include:*

- Asking participants to complete an assessment after finishing the education program and using the feedback to improve the program.
  - Providing different levels of educational programs (e.g., 100-level, 200-level, and 300-level courses) depending on individuals' prior knowledge on DEI principles and practices.
  - Reviewing periodically DEI education programs to ensure content remains updated.
- **STRATEGY 59: Consider creating a communications position within the institutional DEI office to keep campus community members informed, and support unit-based communicators in their local efforts.**

## Appendix E: Campus Climate Surveys

AAU compiled a few examples of publicly available campus climate survey instruments from our member institutions. Many AAU institutions have conducted campus climate surveys but most instruments are not publicly available and vary in style, length, and content.

This appendix includes the following publicly available free survey instruments from AAU institutions that schools could administer on their own.

1. University of Michigan Campus Climate Survey on Diversity, Equity, and Inclusion
  - Student Survey Instrument
  - Faculty Survey Instrument
  - Staff Survey Instrument
2. University of Wisconsin-Madison Campus Climate Survey
3. National Survey of Student Engagement (NSSE) at Indiana University
  - Inclusiveness and Engagement with Cultural Diversity Topical Module
4. Faculty Survey of Student Engagement (FSSE) at Indiana University
  - Inclusiveness and Engagement with Cultural Diversity Topical Module

Additionally, institutions can contract with the [USC Race and Equity Center](#) to administer the National Assessment of Collegiate Campus Climates (NACCC). The NACCC is a trio of quantitative surveys on campus racial climate for undergraduate students, staff, and faculty.

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