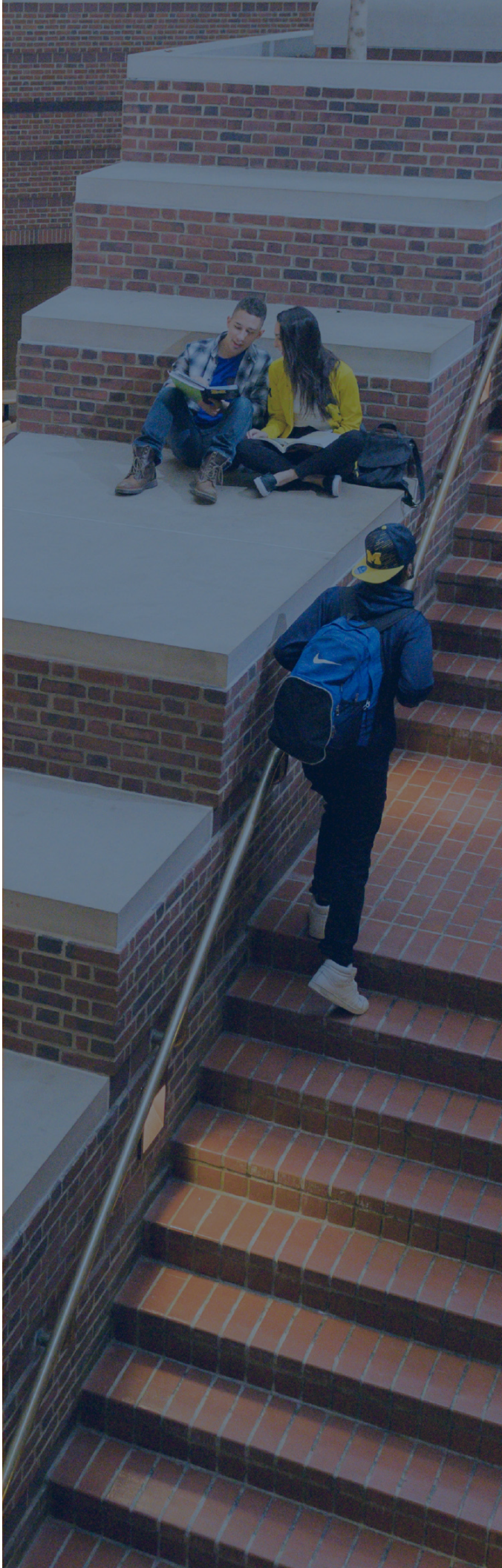




Appendix Report: **DEI** **Progression**



Appendix Report

Progression Toward DEI Institutionalization: Analysis of Unit-level Strategic Objectives in Years 1 and 5

Introduction and Background

This section summarizes University of Michigan Ann Arbor campus units' progress toward institutionalizing the strategic objectives and actions put forth and implemented in their respective unit-level DEI strategic plans during the campus DEI 1.0 strategic plan period (2016-2021).

U-M's DEI 1.0 strategic implementation and evaluation efforts were guided by two fundamental principles: inclusion and transparency. Together, these would facilitate the University's pursuit of the higher-order principle of accountability in DEI action, which in turn would enable the *institutionalization* of DEI action, programs and processes into the infrastructure and standard operating practices of the University.

Accordingly, as part of their DEI strategic plans, all 50 U-M Ann Arbor campus units (academic, administrative, and service) identified *strategic objectives* and associated *action items for meeting their unit-specific objectives*. Units organized their strategic objectives (SO) and action item (AI) statements across four domains centrally defined by the Office of Diversity, Equity and Inclusion:

- Recruitment, Retention and Success;
- Inclusive and Equitable Climate;
- Innovative and Inclusive Education, Scholarship and Research; and
- Service Provision.

Together, the four DEI domains map onto three overarching "distal" objectives, namely to further DEI progress in the areas of:

- People (Recruitment, Retention and Success),
- Process (Inclusive and Equitable Climate, Service Provision) and
- Products (Innovative and Inclusive Education, Scholarship, Research and Service).

Units reviewed and updated their DEI plans annually to reflect both progress toward their stated goals and to incorporate newly identified opportunities and challenges. Each year units assessed and reported on progress related to their plan-related action items, such as participation rates in programs, utilization of services, increased awareness of diversity, equity and inclusion (e.g., learning outcomes from training) and other measures of inclusionary progress.

Within their Strategic Objective and Action Items statements, units outlined plans for both implementation of their DEI actions and measurement of progress and success outcomes. This information serves as the institutional data used by the evaluation and assessment team to track progress on unit-specified DEI efforts and activities. This report analyzes the incremental action steps taken by U-M campus units to create culture change, from stating their commitment to an action to institutionalizing it toward culture change. To provide a picture of campus-wide impact and University-level progress toward DEI culture change, the evaluation team leveraged the wealth of actions and progress data reported by units and analyzed data patterns across U-M units.



Assessing Progression Toward DEI Institutionalization

Guiding Model and Framework

The central goal of the DEI 1.0 strategic plan was to create sustained culture change at the University of Michigan in order to support principles critical to creating and maintaining a diverse, equitable and inclusive campus community. The University of Michigan DEI Institutional Change Model (Sellers & Wade-Golden, 2016)¹ undergirds the University’s strategic plan to achieve institutional change critical to diversity, equity and inclusion. The Sellers and Wade-Golden (2016) model proposes that the process of institutional culture change begins with (1) *raising institutional awareness* around DEI issues, which can then be expanded into the (2) *development of DEI skills* among individuals in the campus community. However, while increased awareness and skills related to DEI are necessary, they are not sufficient to create institutional culture change. Also critical to U-M’s DEI strategic plan is (3) *incorporating DEI principles into campus policies, procedures and processes*, both centrally and at the unit-level. Embedding DEI in institutional structures is a necessary step towards (4) *establishing reinforcing cultural norms* in support of DEI principles. Collectively, these elements should facilitate (5) *institutionalization of DEI values and principles necessary for increased access* to the University of Michigan, and subsequently the University’s expanded impact locally and globally. As such, assessing the extent to which U-M has progressed with regard to institutionalizing DEI principles is a critical goal of the DEI 1.0 strategic plan evaluation.

In order to assess units’ DEI progress on their identified strategic objectives and actions, the evaluation and assessment team leveraged the change order framework established by Halualani et al. (2015a)² that delineates the degree of evolution and development of a DEI effort/action towards culture change (i.e., institutionalization). According to this framework, there are four stages of development of any given DEI action or effort. Halualani and colleagues refer to this four-stage taxonomy as the “change order” of DEI efforts, and this report describes these stages as Levels of DEI Progression. The four levels are as follows:

- **DEI Progression Level 1:** Declarative commitment to a DEI action that helps set the climate
- **DEI Progression Level 2:** Movement past stated commitments to a DEI action, with concrete steps taken toward achieving objective
- **DEI Progression Level 3:** Sustained action, meaning a Level 2 action that has been maintained as regular practice and potentially expanded, with identified evaluation/progress metrics
- **DEI Progression Level 4:** A strategic action has been assessed as successful enough that its home unit has opted to institutionalize it, and it may be under consideration for broader expansion/adaptation at the University level

¹ Sellers, R.M., & Wade-Golden, K. (2016). The University of Michigan DEI Institutional Change Model.

² Halualani, R. T., Haiker, H. L., Lancaster, C., & Morrison, J. H. T. A. (2015a). *Diversity Mapping Data Portrait: California State University, Monterey Bay (CSUMB)*. Halualani & Associates.

<https://edit.csUMB.edu/sites/default/files/images/st-block-19-1435260309719-raw-csumbdiversitymappingdataportrait.pdf>



The current report summarizes analyses of units’ DEI progression levels for their strategic objectives and actions at two time points, the first and fifth (final) year of the DEI 1.0 period (2016 and 2021). To represent progress campus wide, the evaluation and assessment team examined the plans/strategic objectives across the 50 units at the University of Michigan Ann Arbor campus and compared DEI progression levels at each time point. This examination provides one picture of the University’s progress towards institutionalizing DEI efforts for culture change over the DEI 1.0 strategic plan period.

Methodology

Organizing Unit-Level SO/AI Data

Data from 50 U-M campus unit³ annual plans and reports, submitted via Form Assembly, were analyzed. The data were managed in Salesforce and Microsoft Excel. In their unit-level DEI strategic plans and annual reports, all units indicated constituencies (e.g., students, staff, faculty and others such as alumni or patients) and the aforementioned domains related to their Strategic Objectives and Action Items. Additional constituency and domain coding was done by members of the evaluation team as needed for subsequent analyses.

Data analyzed for this report were units’ Strategic Objectives and Action Item statements from plan Year 1 (2016) and Year 5 (2021), representing the beginning and the end of the DEI strategic plan implementation period. Two units joined the DEI strategic planning process after the first plan year. In these cases, data from Year 2 and 3 were used in place of Year 1 data, corresponding with those units’ first year engaging in the strategic plan implementation process..

Table 1: Unit Information

| Unit Category | # of Units | Unit Names |
|---------------|------------|---|
| Academic | 21 | College of Engineering College of Literature, Science and the Arts College of Pharmacy Ford School of Public Policy Institute for Social Research Law School Life Sciences Institute Michigan Medicine Rackham Graduate School Ross School of Business School for Environment and Sustainability School of Dentistry School of Education School of Information School of Kinesiology School of Music, Theatre, and Dance School of Nursing School of Public Health School of Social Work Stamps School of Art & Design Taubman College of Architecture and Urban Planning |

³ Refer to Table 1 for a complete list of units.



| | | |
|----------------|----|--|
| Administrative | 13 | <ul style="list-style-type: none"> Athletic Department Business & Finance Office of Budget and Planning Office of Diversity, Equity, and Inclusion Office of Enrollment Management Office of Government Relations Office of Research Office of the President Office of the Provost Office of the Vice President and General Counsel Office of the Vice President and Secretary of the University Office of the Vice President for Communications Office of University Development |
| Service | 16 | <ul style="list-style-type: none"> ADVANCE Program Bentley Historical Library Center for Academic Innovation Center for Research on Learning and Teaching Center for the Education of Women Clements Library Division of Public Safety and Security Duderstadt Center Graham Sustainability Institute Information and Technology Services Matthaei Botanical Gardens and Nichols Arboretum Museum of Art Office of Audit Services Officer Educational Programs Student Life University Libraries |

DEI Progression Level Coding

The evaluation and assessment team used the noted Change Order taxonomy (Halualani et al., 2015a⁴) as its analytic tool for determining DEI Progression Levels for units’ strategic objectives and actions. The team used purposive sampling of the Strategic Objective/Action Item data for initial coding, codebook generation, and establishment of interrater reliability. The team utilized codes for DEI Progression Level based on the change order stages created and defined by Halualani et al. (2015). Codes represented taxonomic themes as defined by the authors.

During the coding process, a specific Strategic Objective statement could be assigned more than one progression level. This was a consequence of the fact that a single Strategic Objective statement could be associated with multiple different action items, and that each of those action items might be associated with a different level of progress towards institutionalization and change in DEI culture. For the purposes of the analyses presented here, the evaluation and assessment team identified the highest level of DEI progression associated with a given Strategic Objective statement. As such, the following results report the distribution of Strategic Objectives at the highest level of progression articulated for given unit-specified strategic objectives.

Coding conflicts were resolved during weekly meetings until the coders attained interrater reliability. Application of codes were refined after iterative coding sessions during weekly team meetings. Revisions were codified in the team’s codebook, which was regularly reviewed and updated (Table 2).

⁴ Halualani, R. T., Haiker, H. L., Lancaster, C., & Morrison, J. H. T. A. (2015a). *Diversity Mapping Data Portrait: California State University, Monterey Bay (CSUMB)*. Halualani & Associates.
<https://edit.csUMB.edu/sites/default/files/images/st-block-19-1435260309719-raw-csumbdiversitymappingdataportrait.pdf>



Coding progressed over several months and each iterative coding session deepened the team’s understanding of the data and analyses. Data was analyzed using Microsoft Excel. Member-checking continued to ensure the reliability of the analyses. Coding progressed through multiple, iterative sessions with member checking.

Items coded as “Insufficient Evidence” (IE) were reviewed closely. Using each unit’s Plan with Metrics of Success and Plan Report, a coder reviewed the language for each SO statement and its related key constituencies, Primary DEI goals and action items. The additional narrative and contextual data allowed for re-coding using the same coding framework applied to the overall project. The coder provided notes for each item that was re-coded to offer their rationale. Re-coded items were sent back to the team for review and discussion.

Table 2: Codebook Summary

| Code Category | Definition | Inclusion Criteria | Inclusion Example |
|-------------------------|--|---|---|
| DEI Progression Level 1 | "Declarative efforts and policies that establish a commitment to diversity. (Halualani et al., 2015b, p. 13)" ⁵ | DEI Progression Level 1, DEI-specific declaration of intention or value statement. Stated commitment to diversity. | Build a sense of community. |
| DEI Progression Level 2 | "Commitment is demonstrated by an action, effort or program. (Halualani et al., 2015b, p. 13)" ⁶ "A 2nd order stage position is one in which [a unit's diversity effort/practice] has demonstrated its commitment to diversity, equity and inclusion through actions, events and or initiatives. (Halualani, 2020, p.51)" ⁷ | DEI-specific action is taken or stated. Evidence of an effort, program, or initiative. Establishment of policies, procedures, workshops, etc. | Build more and better student recruitment pipelines. Improve faculty retention and departmental climate. |

⁵ Halualani, R. T., Haiker, H. L., Lancaster, C., & Morrison, J. H. T. A. (2015b). *Diversity Mapping Data Portrait: California State University, San Marcos (CSUSM)*. Halualani & Associates.

<https://www.csusm.edu/equity/strategicplan/documents/mapping-final-report-4.28.15-2.pdf>

⁶ Halualani, R. T., Haiker, H. L., Lancaster, C., & Morrison, J. H. T. A. (2015b). *Diversity Mapping Data Portrait: California State University, San Marcos (CSUSM)*. Halualani & Associates.

<https://www.csusm.edu/equity/strategicplan/documents/mapping-final-report-4.28.15-2.pdf>

⁷ Halualani, R. T. (2020). *Diversity Mapping Report: California State University, San Bernardino (CSUSB)*. Halualani & Associates.

<https://www.csusb.edu/sites/default/files/Final%20-CSUSB-Final%20Diversity%20Mapping%20Report%20-%20August%20nd.pdf>



| Code Category | Definition | Inclusion Criteria | Inclusion Example |
|-------------------------|---|--|--|
| DEI Progression Level 3 | "Sustained action and practices emanating from 1st to 2nd order. Positive gains on impact/outcome need to be evident. These actions need to be anchored to a strategic framework. (Halualani et al., 2015b, p. 13)" ⁸ "[A unit's diversity effort/practice] in a 3rd order stage position would have a record of continuous diversity, equity and inclusion action that is anchored by a diversity strategic framework. This 3rd order stage position also features a [unit or diversity effort or practice] that is engaging in impact assessment of those diversity actions. (Halualani, 2020, p.51)" ⁹ | Sustained or continued action needed (continued, enhance existing, expand, update, etc.); impact assessment, and/or framework may also be present. If Progression Level 3 is present, Progression 2 is inherently present. | Develop talented and diverse college leadership, departmental leadership and instructional and research faculty capable of providing a world class academic and research learning environment for a global, diverse student body. Our five-year objective is to develop a diverse instructional faculty with year-over-year increases in the percentage gender and URM representation. |
| DEI Progression Level 4 | "Transformative & culture changing practices. Indicates sustained and prioritized efforts evolving from 1st to 2nd to 3rd order. Reflects major impact and outcomes on diversity engagement and strategic diversity framework in campus community. Stands as fully resourced and institution-wide [or unit-wide]. (Halualani et al., 2015b, p. 13)" ¹⁰ "A 4th order stage position represents one in which a [unit's diversity effort/practice] has a record of sustained and strategic diversity action that is fully resourced and institutionalized. In addition, impact assessment of such action reveals deep cultural change on diversity priorities across the institution [or unit]. (Halualani, 2020, p.51)" ¹¹ | Demonstration of ongoing work that is fully implemented within and supported by the unit, school, college or university. | Fully institutionalize successful programs and pilots from previous years, and determine the viability of a fully-scaled program. |

⁸ Halualani, R. T., Haiker, H. L., Lancaster, C., & Morrison, J. H. T. A. (2015b). Diversity Mapping Data Portrait: California State University San Marcos (CSUSM). Halualani & Associates.

<https://www.csusm.edu/equity/strategicplan/documents/mapping-final-report-4.28.15-2.pdf>

⁹ Halualani, R. T. (2020). Diversity Mapping Report: California State University San Bernardino (CSUSB). Halualani & Associates.

<https://www.csusb.edu/sites/default/files/Final%20-CSUSB-Final%20Diversity%20Mapping%20Report%20-%20August%202020.pdf>

¹⁰ Halualani, R. T., Haiker, H. L., Lancaster, C., & Morrison, J. H. T. A. (2015b). Diversity Mapping Data Portrait: California State University San Marcos (CSUSM). Halualani & Associates.

<https://www.csusm.edu/equity/strategicplan/documents/mapping-final-report-4.28.15-2.pdf>

¹¹ Halualani, R. T. (2020). Diversity mapping report california state university san bernardino (CSUSB). Halualani & Associates.

<https://www.csusb.edu/sites/default/files/Final%20-CSUSB-Final%20Diversity%20Mapping%20Report%20-%20August%202020.pdf>



| Code Category | Definition | Inclusion Criteria | Inclusion Example |
|-----------------------|--|---|---|
| Insufficient Evidence | There is not enough information in the SO/AI text to specify any change order rating. Lack of a direct connection to DEI. This code should not be used if a coder is torn between applying one change order code over another. | <p>Vague statements. No clear connection to DEI groups, actions, plans, concepts.</p> <p>Do not use if DEI progression levels 1-4 is present somewhere in the statement.</p> <p>Clear connection to DEI construct or DEI group needed. Clear declaration, action or value statement needed.</p> | Evaluate and create academic and non-academic policies. |

Results

Descriptives for Year 1 and Year 5 Data

Fifty units were included in the DEI 1.0 evaluation. Evaluation outcomes were categorized across overarching Distal Objectives (People, Process, Products), which allowed for more detailed data analyses and comparison across units. Distal Objectives are defined as *People*, which includes the domain Recruitment, Retention and Success; *Process*, which includes the domain Inclusive and Equitable Climate; and *Products*, which includes two domains, Innovative and Inclusive Education, Scholarship and Research and Service Provision. Units were charged to create Strategic Objective (SO) and Action Item (AI) statements that reflected their DEI strategic goals as a part of their unit-level DEI 1.0 strategic plans.

There were 686 SO statements in Year 1, with a slight increase in Year 5 to a total of 717. Thirty-five percent (35%) of Year 5 SO statements were new while 65% linked directly to SO statements from Year 1.

DEI Progression Level in Year 1

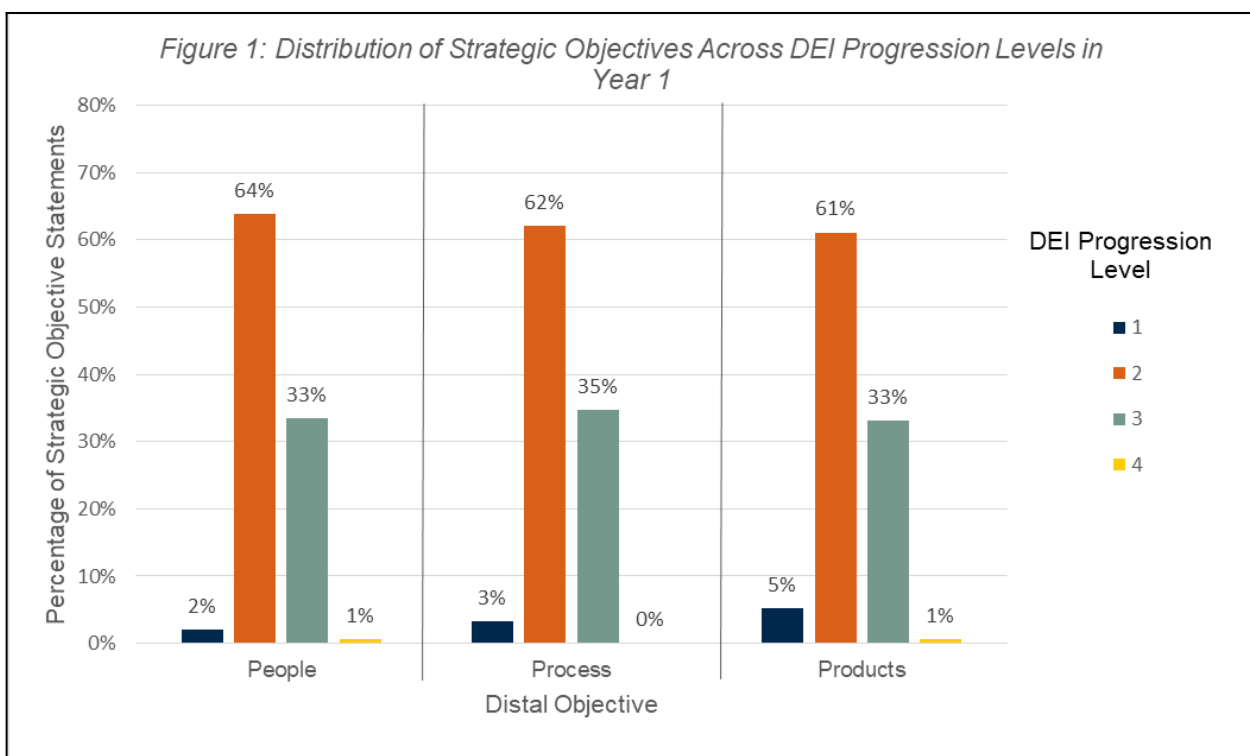
Per Figure 1, in the first year of the DEI 1.0 plan period, the majority of units' DEI efforts were at progression level 2, indicating that more than 60% of units' Year 1 DEI objectives had moved beyond a simple declaration of commitment to DEI and had engaged in concrete actions to support DEI goals at U-M. Another one third of the Year 1 DEI efforts reflected progression level 3, indicating established and sustained action in pursuit of creating a more diverse, equitable and inclusive campus community. Both of these patterns held across all three distal objectives of People, Process, and Products. There were relatively few unit-level objectives that were still in their earliest stages of progression (progression level 1), or a stated commitment to advance DEI goals without yet taking concrete action toward those goals. This was true for only 2% of objectives focused on recruitment and retention (People), 3% of objectives focused on an inclusive and equitable climate (Process), and 5% of objectives focused on promoting innovative and inclusive teaching, scholarship and service (Products).



Not surprisingly, in the early part of the DEI plan period, very few DEI strategic objectives had achieved the highest level of progression, reflecting DEI efforts being institutionalized within units. Only 1% of DEI efforts focused on recruiting and retaining a diverse community (People) and promoting innovative and inclusive education, scholarship and service (Products) had been institutionalized in the first year of DEI 1.0, while 0% of strategic objectives centered on creating an inclusive and equitable climate (Process) had achieved the highest level of progression in Year 1.

Altogether, the analysis of unit-level strategic objectives in the first year of DEI 1.0 demonstrates that the University of Michigan was deeply committed to the values of diversity, equity and inclusion even before the official launch of the DEI 1.0 strategic plan. That is, the overwhelming majority (more than 90%) of strategic objectives across the university were past progression level 1 even in the first year of the strategic plan period.

Figure 1: Distribution of Strategic Objectives Across DEI Progression Levels in Year 1



DEI Progression Level in Year 5

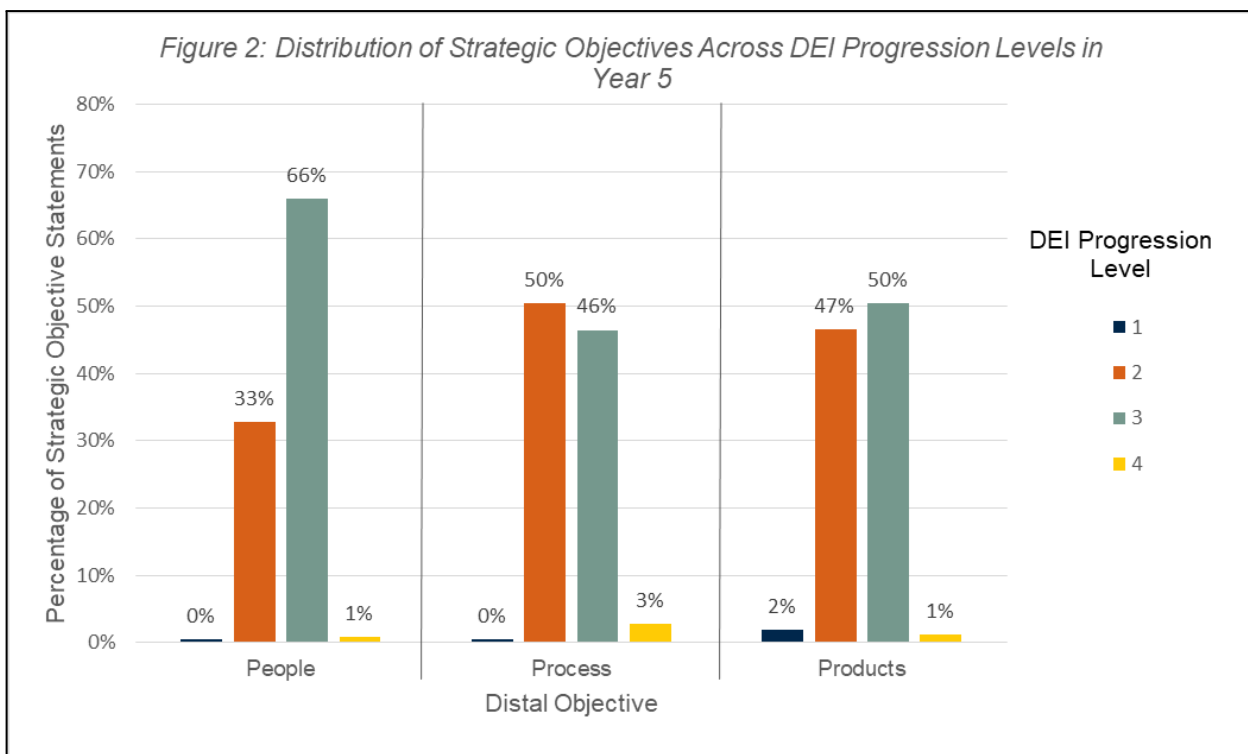
The results displayed in Figure 2 suggest that noteworthy progress was made between years one and five of the DEI 1.0 strategic plan period. For objectives focused on recruitment and retention (People), the distribution essentially flipped over the duration of the evaluation period. While in Year 1 two-thirds of strategic objectives were in their initial stages of DEI action (progression level 2), by Year 5 two-thirds of all People-oriented objectives were at progression level 3, indicating sustained action. This suggests that units were successful in sustaining action, including advancing, extending and maintaining their DEI efforts. The small remainder of People-oriented objectives had achieved within-unit institutionalization (level 4), with 1% of efforts in the last stage of DEI progression.



Figure 2 also highlights noticeable progress in DEI efforts toward creating an inclusive and equitable climate (Process) and promoting innovative and inclusive research, teaching and service (Products). Both Process-oriented and Products-oriented objectives observed a similar shift from initial action to sustained action from Year 1 to Year 5, though slightly less pronounced than People-oriented objectives. Specifically, 50% of Process objectives were in their initial progression levels with 46% seeing sustained action (level 3) and 3% having gone so far as being institutionalized within units (level 4). Meanwhile, by the end of the DEI 1.0 plan period, 47% of Product DEI objectives were in their initial stages of action (level 2), with 50% having advanced to sustained action (level 3). Here, only 1% of strategic objectives had achieved within-unit institutionalization (level 4); and, 2% of objectives were in the very early stages of stated commitments. The latter findings reflect some units' decision to adjust and engage in new efforts during the course of the DEI plan period as well as potential challenges in moving actions forward to sustained or institutional progress levels.

Overall, these results demonstrate a clear progression in unit-level DEI objectives over the course of the DEI 1.0 strategic plan period, with the most progress happening in relation to People-oriented objectives, or efforts to recruit, retain and develop a diverse student body and workforce.

Figure 2: Distribution of Strategic Objectives Across DEI Progression Levels in Year 5



Conclusion

The central goal of the DEI 1.0 Strategic Plan was to create sustained institutional and culture change at the University of Michigan, which is necessary to foster a more diverse, equitable and inclusive campus community. Report analyses demonstrate that the evolution of units' DEI efforts and actions reflected positive progress toward institutionalization from year 1 and year 5 of the DEI 1.0 plan period. In year 1, many unit efforts demonstrated a commitment to DEI through stated commitment and action; and by year 5, a greater proportion of unit efforts demonstrated sustained action and established practices to support DEI. The movement from commitment to action, to sustained action is a positive and necessary shift in the process of creating transformative cultural change. Overall, evaluation analyses demonstrate significant progress toward institutional change over a fairly short period of time. At the same time, the findings also highlight the need to build on this progress to achieve the institutional mission of excellence through advancing diversity, equity and inclusion as infused and institutionalized across all units' core mission areas.

