UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

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May 4, 2022

ACADEMIC SENATE DIVISION CHAIRS

**MICHAEL BROWN, PROVOST AND EXECUTIVE VICE PRESIDENT
UNIVERSITY OF CALIFORNIA**

Re: Revised Recommendations for the Use of Contributions to Diversity, Equity, and Inclusion (DEI) Statements for Academic Positions at the University of California

Dear colleagues:

The Academic Council has approved a clarified and expanded version of its January 2019 recommendations for the use of Statements on Contributions to Diversity, Equity, and Inclusion (DEI) for UC academic positions. The revised recommendations were proposed by the University Committee on Affirmative Action, Diversity, and Equity (UCAADE) in consultation with the University Committee on Academic Freedom (UCAF).

The eight recommendations (revised from the original six) address guidelines for the content and use of DEI statements. They are intended to promote clarity and consistency in the use of statements across campuses, and to raise awareness of and regularize the implementation of existing APM language. In doing so, they support the core UC values of diversity, equity, and inclusion, and advance the goal of further diversifying the professoriate.

The revised recommendations include a new best practice emphasizing that questions put to faculty members and applicants about DEI contributions should focus on the actions, experiences, or plans of the individual and should not assume that there is a correct point of view or "right answer." A second new best practice emphasizes that faculty have the primary responsibility for evaluating contributions to diversity, equity, and inclusion within their discipline; that faculty hiring and review committees, not administrators, should create and employ the rubrics to judge DEI statements; and that neither the administration nor Senate should establish fixed DEI rubrics and numerical grading systems for search and review committees. Finally, the revision removes language about assessing campus administrators for DEI contributions. The committees felt this language was off topic in the document, particularly because faculty and administrators are treated differently in terms of DEI contributions and some of the academic freedom issues do not apply to administrators.

Provost Brown, we ask that you facilitate the broad distribution of the recommendations to campus chief diversity officers, provosts and vice provosts, and deans. Division chairs, please distribute the recommendations to relevant campus Senate committees, including Academic Personnel, and Diversity and Equity.

Please do not hesitate to contact me if you have additional questions.

Sincerely,

Robert Horwitz, Chair
Academic Council

Cc: Academic Council
        UCAADE
        UCAF
        Chief of Staff Peterson
        Campus Senate Directors
        Executive Director Baxter

Encl.

The Use of Contributions to Diversity, Equity, and Inclusion (DEI) Statements for Academic Positions at the University of California

Core Values of the University of California: Diversity, Equity, and Inclusion

The University of California Regents Policy 4400 affirms the central importance of diversity and equal opportunity at the University of California: *The diversity of the people of California has been the source of innovative ideas and creative accomplishments throughout the state's history into the present… Diversity aims to broaden and deepen both the educational experience and the scholarly environment… Therefore, the University of California renews its commitment to the full realization of its historic promise to recognize and nurture merit, talent, and achievement by supporting diversity and equal opportunity in its education, services, and administration, as well as research and creative activity.*

Similarly, APM 210-1-d states: "*Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements.*"

The Use of Diversity, Equity, and Inclusion (DEI) statements

Creating an equitable and inclusive environment enables all members of the UC to thrive and to work toward their full potential. DEI statements foster productive discussion on how faculty, both current and prospective, can shape and improve the overall learning and working environment in higher education. By encouraging both faculty and faculty applicants to think intentionally about how they can contribute to diversity, equity, and inclusion, DEI statements can inspire pedagogical and research innovation as well as deepen engagement with these values in all aspects of their work. The systemwide implementation of the use of these statements both affirms DEI as core values of the UC and reinforces the expectation that all faculty are responsible for diversity, equity, and inclusion, thereby ensuring that this work is shared broadly and recognized appropriately. By making visible and intentional the work required to advance DEI and by developing guidelines for meaningful assessment and recognition, these statements can transform good intentions into action and practice.[1]

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[1] https://www.chronicle.com/article/In-Defense-of-Diversity/245463

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[1] Beginning with the May 19, 2021 version, the recommendations were circulated to but not developed with the UC Systemwide Equal Opportunity/Affirmative Action Administrators Group (EO/AA)

Given the UC's core values and its commitment to promoting equal opportunity and diversity, the implementation of the use of DEI statements not only reaffirms those values but also concretely strengthens our institutional commitment to those values.

The importance of Guidance for Faculty Hiring and Academic Review

As of fall 2018, **nine of the ten**[2] UC campuses require a "Statement on Contributions to Diversity," or equivalent, from all applicants of academic positions. However, despite it being a required component of the faculty application process, campuses offer varying levels of guidance for preparing and assessing these statements. For instance, while UCB and UCSD[3] provide comprehensive guidelines for both faculty applicants on how to prepare the statements and search committees on how to assess them, other campuses only offer guidance to faculty applicants, while the level of detail that each campus offers varies significantly. Given that DEI statements from faculty applicants are now required at nearly all UC campuses, it is important to establish general guidance for implementation

The 2013 ADVANCE PAID program's systemwide roundtable report on "The Role of Contributions to Diversity in Faculty Hiring and Academic Review" emphasizes that advancing diversity and equity is the responsibility of the entire university community. The report indicates that the adoption of DEI statements along with evaluation guidelines has proven to increase the hiring of URMs. Similarly, preliminary data from the UCOP Advancing Faculty Diversity Project affirm that the use of DEI statements in candidate evaluations can serve as an effective tool to advance diversity. UC Berkeley's report on search committee practices indicates that the use of DEI statements shows promise in increasing diversity at the applicant stage and suggests that the statements function most optimally when both applicants and search committee members are given adequate guidance on how to engage with the topic in meaningful ways. In other words, to maximize the efficacy of DEI statements in the hiring process, adequate guidance is needed for *both* applicants and search committee members.

To make consistent and enduring UC's expectations for DEI contributions, it is important to extend the use of DEI statements from the time of hiring through faculty advancement. APM 210-1-d already specifies that contributions to DEI "should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements." Furthermore, UCOP's Academic Personnel and Programs Office have developed guidelines for evaluating contributions to diversity for faculty appointment and promotion under APM 210. As part of a faculty's dossier, the statement helps highlight one's contributions to DEI in

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[2] Although UCB does not have a campus-wide requirement, nearly all search committees have required it in recent years. UCB is currently considering formalization of this requirement.
[3] UCSD's "Guidelines to Evaluate Contributions to Diversity" is located on an academic program website: https://socialsciences.ucsd.edu/resources/faculty. Adding a link to the "Contributions to Diversity Statements" webpage may allow for easier access.

research, teaching, and service. Making visible and explicit these contributions aids the assessment process and allows for recognition and accountability.

Understanding that there is no "one-size-fits-all" approach, we recommend the following to promote greater consistency in achieving full consideration of diversity, equity, and inclusion in faculty hiring and academic review at the University of California. Recommendations 1, 2, 4-6 address the hiring process; recommendations 3, 7 and 8 (developed in consultation with UCAP, UCFW and UCAF)— concerns the incorporation of DEI statements in academic reviews for merit and promotion.

1. **Require all faculty applicants at the University of California to submit a DEI statement.**
   - Making the use of DEI statements a systemwide requirement sets a basic standard to put into organizational practice UC's commitment to diversity, equity, and inclusion. It advances a systematic approach to incorporating these core values into our hiring practices.

2. **Provide guidance to potential candidates on how to prepare DEI statements.**
   - Indicate what areas candidates should consider when writing their statements, including their past record and future plans to advance diversity, equity, and inclusion.

   - Provide information on the use of DEI Statements.

   - Include campus links to diversity, equity, and inclusion activities and initiatives.

   - Hiring committees, working with the unit faculty equity advisor or equivalent, may provide additional guidance to candidates tailored to the specific needs of the unit.

3. **DEI statements should focus on actions, not beliefs.**

   - Questions put to applicants and faculty members about their contributions to diversity should not embed "the right answer" in the question or focus on the applicant's or faculty member's *beliefs*, as opposed to their *actions*, *experiences*, or *plans*.

   - DEI statements should provide faculty and faculty applicants the opportunity to describe how they have advanced, or sincerely plan to advance, the University's commitment to diversity and equal opportunity, regardless of their own views about that commitment.

4. **Review committees should create an assessment rubric[4], in consultation with the Equity Advisor or equivalent, to evaluate the candidate's:**
   - Thoughtful consideration/engagement with issues of diversity, equity, and inclusion, especially as they relate to underrepresented groups in higher education. Life experiences may be an important aspect of candidate statements.

   - Record of past activities and current efforts that help advance diversity, equity, and inclusion, calibrated to career stage.

- Specific, concrete plans for future contributions to diversity, equity, and inclusion at the University of California.

5. **Further assess candidates' readiness to advance diversity, equity, and inclusion during the campus visit. Examples include:**
   - Have candidates discuss explicitly their work in this area, including how they intend to put in practice UC's core values of diversity, equity, and inclusion.

   - Have candidates meet with students and include in search deliberations student feedback on each candidate's readiness to advance diversity, equity, and inclusion.

6. **Ensure department-level accountability.**
   - Require, as part of the appointment case, a written assessment of the proposed faculty hire's engagement, record, and future plans to advance diversity, equity, and inclusion.

   - Communicate to incoming faculty clear expectations of their sustained contributions to diversity, equity, and inclusion.

7. **Each campus should develop guidelines to implement the use of DEI statements in a consistent manner from time of hiring through academic reviews for merit and promotion. This process should include relevant Senate participation.[5]**

   - All merit and promotion reviews are, and should continue to be, evaluated on contributions to research, teaching, and service. APM 210-1-d specifies that all faculty contributions to DEI "should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements." This is best achieved through a DEI statement that foregrounds and makes explicit DEI contributions to research, teaching, and/or service. The use of these statements facilitates intentional and explicit assessment of DEI contributions in the academic review process. Each campus should determine the best format for the submission of DEI statements. DEI statements do *not* represent a new criterion for evaluation.

   - Research focus and career stage should be taken into account when assessing contributions to diversity, equity, and inclusion. While faculty research may not explicitly address diversity, equity, and inclusion, all faculty can contribute to DEI through teaching, mentoring, professional activities, and service.

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[4] Example of Evaluation Grid (UC Irvine): https://inclusion.uci.edu/recruitment-resources/
[5] Point #6 was developed in consultation with UCAP and UCFW. Points #3 and #8 were developed in consultation with UCAF

- For academic review, we recommend using existing UCOP guidelines for assessment: "<u>Evaluating Contributions to Diversity for Faculty Appointment and Promotion Under APM – 210</u>" (https://www.ucop.edu/faculty-diversity/policies-guidelines/eval-contributions-diversity.pdf). These guidelines provide a starting point for further development.

- As part of the overall dossier, DEI contributions should be assessed at all levels of the review process as aspects of research, teaching, and/or service.

8. **Faculty have the primary responsibility for evaluating contributions to diversity, equity, and inclusion within their discipline.**

- While administrators surely have useful guidance to offer on how to ask about and evaluate contributions to diversity, equity, and inclusion, the rubrics used to judge DEI statements must be created and employed at the responsible discretion of faculty hiring and review committees, in the same way that teaching, research, and service are standardly judged.

- As APM 210-1-d notes, "[c]ontributions in all areas of faculty achievement that promote equal opportunity and diversity … should be evaluated and credited in the same way as other faculty achievements." It would be inconsistent with this policy for the administration, or even the Academic Senate at the system or campus level, to establish fixed rubrics and numerical grading systems to which all search and review committees must adhere. To dictate, in a top-down fashion, what DEI statements should say, or how hiring committees and departments should evaluate them, would violate academic freedom by supplanting the system of peer review on which academic freedom depends.

The eight recommendations above are intended to highlight faculty and faculty candidate contributions to DEI and to strengthen institutional efforts to recognize these contributions in both the hiring and academic review processes. Administrators should work with faculty to ensure that contributions to diversity, equity, and inclusion are valued in all aspects of the institution. We therefore encourage campus administrators to collaborate with faculty in setting expectations, developing guidelines, and implementing procedures to ensure administrative accountability on this matter.

Exceptional achievement in diversity, equity, and inclusion in the areas of research, teaching, and/or service may warrant additional recognition and advancement as do similar achievements in research, teaching, and/or service.

Campuses should implement, within two years, the use of DEI statements consistent with each campus's use of research, teaching, and service statements in academic review.