



OFFICE OF THE PROVOST AND
EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

March 12, 2019

EXECUTIVE VICE CHANCELLORS/PROVOSTS
VICE PROVOSTS FOR ACADEMIC AFFAIRS/ACADEMIC PERSONNEL
CHIEF DIVERSITY OFFICERS

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

Dear Colleagues:

I am enclosing the jointly authored recommendations by the University Committee on Affirmative Action, Diversity, and Equity (UCAADE), and the Systemwide Equal Employment/Affirmative Action Administrators Group, and unanimously endorsed by the Academic Council, for the use of Statements on Contributions to Diversity, Equity, and Inclusion for UC academic positions. Academic Council Chair May requested that the recommendations be shared with you. I am pleased to do so.

In summary, the six recommendations address guidelines for the content and use of diversity, equity, and inclusion statements as follows: (1) Require all faculty applicants at the University of California to submit a statement; (2) Provide guidance to potential candidates on how to prepare statements; (3) Create an assessment rubric, in consultation with the Equity Advisor or equivalent, to evaluate the candidate's past and potential future contributions; (4) Further assess candidates' readiness to advance diversity, equity, and inclusion during the campus visit; (5) Ensure department-level accountability; and (6) Develop guidelines to implement the use of statements in a consistent manner to align expectations regarding assessment of diversity contributions from time of hiring through academic reviews for merit and promotion and ensure that there is also administrative accountability on this matter. The Council recommendations refer to "Diversity, Equity, and Inclusion (DEI) Statements," reflecting current naming practice on several UC campuses; other campuses refer to "Contributions to Diversity (C2D) Statements; and the APM refers to "contributions to diversity and equal opportunity."

I know your campuses are all acutely aware of the need to prioritize the recruitment of a diverse faculty in order to remain a leading institution of higher education. The diversification of the professoriate both advances academic quality and innovation, and it is key to activating the University's role as one of California's instruments of opportunity.

Through its policies, UC has adopted a strategy for recruiting and retaining a diverse faculty by recognizing and rewarding faculty contributions to diversity and equal opportunity through their teaching, research, outreach, and service. In 2006, UC faculty and administration approved new language in the Academic Personnel Manual (APM 210-1-d) specifying the importance of contributions to diversity and equal opportunity in faculty recruitment and evaluation, and updated it after vigorous engagement by faculty in 2015. The Academic Council recommendations emphasize the need to include review of such contributions during recruitment, but also during merit and promotion review; they also recommend that “campus administrators should be assessed for their contributions to DEI in regular performance reviews.”

APM-210-1-d has played a powerful role in our successful hiring of a more diverse faculty. In the last five years, faculty have increasingly recognized the important role of contributions to diversity in their work. Nearly all UC campuses now require that applicants for faculty positions submit a diversity statement as a part of their application materials through UC Recruit. Some campus departments have refined their evaluation of such statements through the use of rubrics. Several of the departments participating in the advancing faculty diversity programs initiated through the Office of the President have prioritized contributions to diversity credentials of candidates earlier in the search process and modeled evaluation processes that integrate this information into review of candidates’ skills, experience, expertise, and promise.

Many of the enclosed recommendations will be familiar to you, since they draw from best practices that have been promoted on your campuses and during systemwide conversations and convenings. 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 APM-210-1-d.

Please share and discuss with your deans the enclosed recommendations, how they can be implemented, and how to ensure accountability at the department, school, and campus levels.

As you know, the President and I consider the diversification of the faculty among our top priorities, and the Regents and the California legislature urge us to consider a diverse and culturally responsive faculty essential in maintaining our leadership role as educators of a great many of California’s undergraduate and graduate students.

Thank you for your continuing efforts to build an excellent University built on its commitments to diversity, equity, and inclusion.

Sincerely,

A handwritten signature in blue ink that reads "Michael".

Michael T. Brown, Ph.D.
Provost and
Executive Vice President for Academic Affairs

Page 3
March 12, 2019

Attachment:

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

cc: President Napolitano
Chancellors
Academic Council Chair May
UCAADE Chair Siu
Vice Provost Carlson
Vice Provost Gullatt
Associate Vice Provost Halimah
Executive Director Baxter
Executive Director Peterson
Academic Personnel Directors
Director Lee
Manager Kim

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

Joint Recommendations

The University Committee on Affirmative Action, Diversity, and Equity (UCAADE)
UC Systemwide Equal Opportunity/Affirmative Action Administrators Group (EO/AA)

November 15, 2018

Revised: January 22, 2019

Approved by Academic Council: January 23, 2019

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 discuss their awareness of and 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 Given the UC's core values and its uncompromising

¹ <https://www.chronicle.com/article/In-Defense-of-Diversity/245463>

position to promote 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, *eight 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, [UCD](#), [UCI](#), [UCLA](#), [UCM](#), [UCR](#), [UCSF](#) and [UCSC](#) only offer guidance to faculty applicants, and the level of detail that each campus offers varies significantly. Given that DEI statements from faculty applicants are now required at all UC campuses but two, 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 URM. 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

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, beginning in academic year 2019-2020. UCSB does not require the use of DEI statements.

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. The first five recommendations address the hiring process, while the last recommendation (developed in consultation with UCAP and UCFW) 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 awareness, 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.

3. Create an assessment rubric⁴, in consultation with the Equity Advisor or equivalent, to evaluate the candidate’s ability to:

- Articulate awareness and understanding of diversity, equity, and inclusion, especially as they relate to underrepresented groups in higher education. Life experiences may be an important aspect.
- Show a record of past activities and current efforts that help advance diversity, equity, and inclusion, calibrated to career stage.
- Provide specific, concrete plans for future contributions to diversity, equity, and inclusion at the University of California.

4. Further assess candidates’ readiness to advance diversity, equity, and inclusions 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.

⁴ Example of Evaluation Grid (UC Irvine): <https://inclusion.uci.edu/recruitment-resources/>

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

5. Ensure department-level accountability.

- Require, as part of the appointment case, a written assessment of the proposed faculty hire's awareness, 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.

6. Each campus should develop guidelines to implement the use of DEI statements in a consistent manner to align expectations regarding assessment of diversity contributions 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 address diversity, equity, and inclusion, all faculty can contribute to DEI through teaching, mentoring, professional activities, and service.
- For academic review, we recommend using existing UCOP guidelines for assessment: "[Evaluating Contributions to Diversity for Faculty Appointment and Promotion Under APM – 210](https://www.ucop.edu/faculty-diversity/policies-guidelines/eval-contributions-diversity.pdf)" (<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.

⁵ Point #6 was developed in consultation with UCAP and UCFW.

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

The six 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 play a critical role in ensuring that contributions to diversity, equity, and inclusion are valued in all aspects of the institution. We therefore encourage campus administrators to take a leadership role in setting expectations, developing guidelines, and implementing procedures to ensure administrative accountability on this matter. Furthermore, campus administrators should be assessed for their contributions to DEI in regular performance reviews. Developing assessment guidelines and a similar review process for campus administrators would align UC's expectations for contributions to DEI for both faculty and administrators. It would ensure that both faculty and administrators are held accountable for advancing diversity, equity, and inclusion at the University of California.