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OFFICE OF THE VICE PROVOST --
ACADEMIC PERSONNEL AND PROGRAMS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 11th Floor
Oakland, California 94607-5200

March 23, 2015

COUNCIL OF VICE CHANCELLORS
LABORATORY DIRECTOR ALIVISATOS
ACADEMIC COUNCIL CHAIR GILLY
ANR VICE PRESIDENT ALLEN-DIAZ

Re: Final Review of Proposed Revised Academic Personnel Policy Section 210-1-d, Review and Appraisal Committees

Dear Colleagues:

Enclosed for Final Review are proposed revisions to Academic Personnel Policy Section 210-1-d, (APM - 210-1-d), Review and Appraisal Committees, which can be found at http://ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html. Academic Personnel and Programs has been in consultation for more than two years with the Provost and Executive Vice President for Academic Affairs, the Academic Senate, and campus administration regarding proposed changes to this policy.

On January 2, 2014, Academic Council requested review of the Senate's proposal to amend language in APM - 210-1-d related to evaluating contributions to diversity in merit and promotion reviews. The original Senate proposal was circulated for Management Consultation (January 24, 2014 to March 21, 2014) followed by a revised proposal circulated for Systemwide Review (May 23, 2014 to December 15, 2014). The proposed changes in this Final Review version result from new input identified in Systemwide Review. Enclosed is a letter dated March 3, 2015 from Academic Council Chair Mary Gilly requesting this Final Review, proposing new language, and describing Senate efforts and rationale for the proposed revisions. Their proposed language not only addresses the issues they identified in the prior Council revisions, but also addresses most of the concerns voiced by other reviewers.

Summarized below are some of the comments and recommendations received from reviewers other than those summarized by the Academic Council; these too are reflected in the proposed revised Final Review language:

- Some reviewers expressed a preference for the current policy language and their concern was that the proposed revisions "water down" what they saw to be the current APM stronger statement that faculty should demonstrate, or at least reflect on, their efforts to promote diversity and equity in their research, teaching, professional activities, and service.

- Some reviewers were not persuaded that the current APM language was ambiguous or would confer an advantage in the personnel/promotion cases of faculty pursuing such research; they offered new text to better achieve the objectives identified by the Senate.

- Other reviewers contended that one proposed sentence-- "They [contributions to diversity] should be given the same weight in the evaluation of a candidate's qualifications during Academic Personnel actions as any other contributions in these areas"--may result in misunderstandings and inconsistent implementation. They offered alternative language.

While Final Review would normally only include the current policy language and the most recent proposed edits, we are including three versions of the policy, to ensure reviewers have a complete record to which they can respond:

- Proposed revisions for Final Review. These reflect the input from both Management Consultation and Systemwide Review.

- Proposed revisions for Systemwide Review. These were circulated from May 23, 2014 to December 15, 2014. As comments above suggest, the revisions resulted in significant comment, even from the Senate committees that had originally submitted the proposed revisions.

- Redline version showing the proposed revisions in Final Review. This allows reviewers to understand the specific changes now under review.

We believe the changes in the Final Review draft best reflect the various stages of input and result in policy revisions that will strengthen APM - 210–1-d.

Final Review is intended to advise the results of the Systemwide Review and how language has been refined. We do not anticipate substantive revisions during Final Review. This stage of consultation is intended to resolve prior discussions and to answer remaining questions.

This letter and enclosures anticipate that you will submit comments, should there be any, no later than **May 22, 2015**. Please submit your comments to ADV-VPCARLSON-SA@ucop.edu. If you have any questions, please contact Janet Lockwood at Janet.Lockwood@ucop.edu or (510) 987-9499.

Sincerely,

Susan Carlson

Susan Carlson
Vice Provost
Academic Personnel and Programs

Enclosures: March 3, 2015 Letter from Academic Council Chair Mary Gilly
Proposed Revised APM - 210-1-d for Final Review (redline and clean copy)
Proposed Revised APM - 210-1-d for Systemwide Review (redline)

cc: President Napolitano
Provost and Executive Vice President Dorr
Chancellors
Secretary Shaw
Senior Vice President Vacca
Vice President Duckett
Vice Provosts Academic Affairs/Academic Personnel
Chief of Staff Grossman

Academic Personnel Directors
AA/EEO Directors
Executive Director Baxter
Executive Director Fox
Executive Director Tanaka
Deputy General Counsel Woodall
Deputy Compliance Director Lane
Director Chester
Director Henderson
Director Lockwood
Manager Donnelly
Policy Coordinator Trifonov
Human Resources Policy Analyst Bello
Senior Administrative Assistant Rupert
Analyst Jordan

UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

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Chair of the Assembly of the Academic Senate
Faculty Representative to the Regents
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

March 3, 2015

SUSAN CARLSON, VICE PROVOST
ACADEMIC PERSONNEL

Re: Revision to APM 210.1.d

Dear Susan,

The Academic Council has unanimously endorsed the attached revision to APM 210.1.d. We believe the new revision addresses the concerns expressed in the recent systemwide review, clarifies the intent of the language, and meets the faculty's overall goals for the policy. We request a final systemwide review prior to issuance of the language.

I will briefly summarize the recent history of this effort and the process and rationale behind the new revision. In spring 2013, Council provisionally approved a revision of APM 210.1.d proposed by the University Committee on Academic Personnel (UCAP) and the University Committee on Affirmative Action (UCAAD) that was intended to clarify how academic personnel review committees should assess faculty contributions that promote equal opportunity and diversity. Your office distributed the revision for systemwide Senate review in June 2014, as part of a package of other APM revisions.

The systemwide Senate response to the wording of the revision was mixed. While some thought that the revision successfully eliminated the ambiguities of APM 210.1.d in its current form, others found that it actually increased the ambiguities. In December 2014, I asked you to maintain the existing language until faculty could agree on improved wording that clarifies the issues raised in the systemwide review. Subsequently, I charged a working group consisting of the chairs of BOARS, UCAAD, UCAP, UCEP, and the UCSD division to discuss improvements to the wording based on the proposed revision and the systemwide responses.

The working group based its efforts on an understanding that systemwide respondents strongly supported the aims of the spring 2013 revision. There was a broad systemwide consensus on two points especially: first, that faculty efforts in promoting equal opportunity and diversity should be evaluated and credited on the same basis as other contributions, but should not be understood as constituting a "fourth leg" of evaluation, along with research and creative activity, teaching, and service; and second, that these contributions should not receive more credit than other contributions simply on the basis of their subject matter.

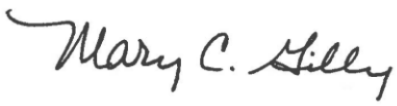
The chief objections were to the third sentence of the revision, which states that contributions to

equal opportunity and diversity "should be given the same weight in the evaluation of the candidate's qualifications during Academic Personnel actions as any other contributions in these areas." According to Davis, for example, this sentence "appears to suggest that a fourth category of evaluation is to be initiated," while the San Diego CAP saw the sentence as implying "that contributions to diversity are in fact necessary to a complete file and hence that a file without them will be assessed as having weaknesses." Some members of Council seconded these objections.

Keeping in mind that the original intention of APM 210.1.d was to ensure that faculty efforts in promoting equal opportunity and diversity receive their proper credit in the academic review process, the working group focused on emphasizing this key principle of recognition in APM 210.1.d. The group unanimously agreed upon an emendation that takes a somewhat more restrained approach to the current language of APM 210.1.d than the initial revision had. Only the second and the final sentences of the current language are altered in the new emendation. The second sentence now makes clear that contributions to 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." In the final sentence, the emendation refines a further aim of the revision, which was to stress that the mentoring and advising of students from underrepresented and underserved groups should receive proper credit also. In place of the revision's misleading formulation that the "mentoring and advising of *diverse* students or faculty members are to be encouraged and given due recognition in the teaching or service categories of the Academic Personnel Process," the emendation states that the "mentoring and advising of students and faculty members, particularly from underrepresented and underserved populations, should be given due credit in the teaching or service categories of the academic personnel process."

As you mentioned to Council in January, APM 210.1.d has become a national model for universities seeking to recognize and credit meritorious contributions that work to reconcile inequalities. I am confident that the new revision represents the Senate's best effort to clarify the intent of the language and strengthen a key principle shared by faculty and administrators – that diversity functions as a vital component in the continued excellence of the University of California and the quality of its faculty.

Sincerely,



Mary Gilly, Chair
Academic Council

Encl.

Cc: Academic Council
Executive Director Baxter
Policy Manager Lockwood
Senate Executive Directors

Academic Council Recommended Emendation to APM 210-1-d

Approved February 25, 2015

210-1 Instructions to Review Committees Which Advise on Actions Concerning Appointees in the Professor and Corresponding Series

…

d. Criteria for Appointment, Promotion, and Appraisal

…

The University of California is committed to excellence and equity in every facet of its mission. 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. ~~Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications.~~ These contributions to diversity and equal opportunity can take a variety of forms, including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students and ~~or new~~ faculty members, particularly from underrepresented and underserved populations, should be given due credit ~~are to be encouraged and given recognition~~ in the teaching or service categories of the academic personnel process ~~academic personnel actions~~.

…

210-1 **Instructions to Review Committees Which Advise on Actions Concerning Appointees in the Professor and Corresponding Series**

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210-1 **Instructions to Review Committees Which Advise on Actions Concerning Appointees in the Professor and Corresponding Series**

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210-1 **Instructions to Review Committees Which Advise on Actions Concerning Appointees in the Professor and Corresponding Series**

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The criteria set forth below are intended to serve as guides for minimum standards in judging the candidate, not to set boundaries to exclude other elements of performance that may be considered.

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