

# UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

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July 1, 2013

## **MARK YUDOF, PRESIDENT** **UNIVERSITY OF CALIFORNIA**

Dear Mark:

The Academic Council has paid close attention to the recommendations of the Faculty Diversity Workgroup. At its meeting on June 26, Council endorsed (with one abstention) a letter put forward by UCAAD that endorses the recommendations. This follows and further develops comments that Council sent to Vice Provost Carlson last August. Council and UCAAD particularly support the following recommendations as critical for the advancement of diversity at the University: fully implementing APM 210-1.d as the Senate proposed it be revised in April 2013; increasing funding for the President's Postdoctoral Fellows Program; fully implementing APMS 240 and 245, which include efforts to advance diversity as a criterion in the appointment and review of provosts, deans and department chairs; issuing reports on the diversity of key Senate committees; and encouraging cluster hiring of under-represented minority and female faculty in areas where they are below the national eligibility pool.

In addition, UCAAD recommends, and Council concurs, that Chancellors should implement a Chancellor's postdoctoral fellowship program similar to the President's Postdoctoral Fellows Program, and that UC establish a program to encourage the recruitment of faculty members who have been postdoctoral fellows at the University.

Council commends your leadership and efforts to increase diversity at the University of California.

Sincerely,

A handwritten signature in black ink that reads "R. L. Powell".

Robert L. Powell, Chair  
Academic Council

Cc: Academic Council  
Aimée Dorr, Provost and EVP  
Susan Carlson, Vice Provost, Academic Personnel  
Martha Winnacker, Senate Executive Director



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June 21, 2013

**ROBERT POWELL, CHAIR**  
**ACADEMIC COUNCIL**

**RE: Salary Equity Plans**

**RE: Endorsement of Faculty Diversity Workgroup Recommendations**

Dear Bob:

As you know, the Faculty Diversity Working group was charged by the President to report to his Advisory Council on Campus Climate, Culture, & Inclusion and “recommend measures of progress, mechanisms for accountability, and advice regarding best practices” on issues related to faculty hiring, contributions to equity and diversity, and administrative structures and accountability. Last June, the Academic Council commented on specific recommendations contained in the report to Vice Provost Carlson. In that review, UCAAD supported most of the recommendations contained in the initial report. Following Council’s recommendation to revise APM 210-1.d in April, UCAAD would like to reiterate its support, with special emphasis on the following recommendations that we consider to be critical for the advancement of diversity at the University:

**1. Practice # 1 – Fully implement APM 210-1.d as revised.**

The Faculty Diversity Group recommended implementation of the original APM 210-1.d as approved in 2005. UCAAD and UCAP recommend implementation of the new language of APM 210-1.d. These two committees spent a great deal of this year working to design unambiguous language for APM 210-1.d. This was necessary because many of the CAPs have not implemented APM 210-1.d, because they consider that the language can be interpreted as requesting extra credit for specific topics of research. As a consequence, in the fall of 2012, Academic Senate Chair Robert Powell charged the Chairs of UCAP and UCAAD to work out unambiguous language. After considerable back-and-forth between the two committees, Council endorsed a compromise version of new wording for APM 210-1.d by a strong majority and forwarded it to the Provost. UCAAD strongly supports this proposed modification to APM210-1.d. It unambiguously clarifies the problem language of the existing paragraph concerning how research into issues of diversity and equity are to be evaluated during merit and promotion reviews and proposes flexibility in evaluation of teaching and mentoring of diverse students and junior faculty. It is our hope and recommendation that the Provost will submit the proposed new language to the Divisions as soon as possible in the new academic year.

2. **Practice # 6 – Significantly increase the funding for the President’s Postdoctoral Fellows Program (PPFP).**

*UCAAD recommends that Practice #6 be expanded to include:*

- (a) Chancellors also fully implement and enhance the Chancellor’s postdoctoral fellowship program. Several campuses have done well but others have had no such fellowships implemented.
- (b) UC as a whole adopt "growing our own" by encouraging permanent recruitment of the best postdoctoral fellows trained in the UC under any program. This program could be called UC Postdoctoral Fellows Pool (UCPFP). A set of criteria should be developed that would automatically define a fellow as a UCPFP. Further selection could be considered once the number for the year has been identified.

3. **Practice #4 – Selection and review of Provosts, Deans and Chairs during appointment and during annual reports regarding their efforts in advancing diversity.**

APMs 240 and 245 already have language regarding these evaluations. We would like to strongly support this request of the Faculty Diversity Group that these two APMs be fully implemented by the Chancellors.

4. **Practice #3 – Accountability Reports on Diversity of Key Senate Committee Compositions.**

While acknowledging Council's concern that unrepresented minority faculty not be overburdened with service requests, UCAAD believes that the composition of the major committees of the Division Senates such as the Budget/Academic Personnel Committees should represent diversity to the extent of availability. Therefore, UCAAD requests that the Chairs of the Divisions work with their COCs to implement this recommendation. UCAAD also urges the Division Chairs to work with appropriate local committees to ensure that search committees are diverse, as recommended by Council.

5. **Practice #11: Cluster Hiring – Encourage “cluster hiring” of URM and female faculty in areas where they are below the national eligibility pool.**

UCAAD notes that Council recommended further study of the effectiveness of cluster hiring and would be "inclined to support" the practice if there were more evidence of its efficacy [e.g., 1, 2]. UCAAD recommends efforts to hire clusters of diverse faculty who work in related areas in different departments, so that, a faculty member might be hired in a department but yet have close research ties with another in another department hired at or approximately the same time. This would mitigate the problem of having to allocate several positions at the same time for one department.

UCAAD asks that you convey this advice to the President through the Council.

Sincerely,



Manuela Martins-Green, Chair  
University Committee on Affirmative Action and Diversity

**References:**

1. Clark, Laurie Beth, et al. *Report of the Cluster/Interdisciplinary Advisory Committee to Evaluate the Cluster Hiring Initiative*. University of Wisconsin-Madison. July 2008.
2. Brooks, Richard R. W and Purdie-Vaughns, V. *The Supermodular Architecture of Diversity*. Yale Law School Legal Scholarship Repository, Yale Law School. January 2007.

cc: William Jacob, Academic Council Vice Chair  
UCAAD Members  
Martha Winnacker, Senate Executive Director

Enclosure: Final Report of the Faculty Diversity Working Group

**The University Committee on Affirmative Action and Diversity (UCCAD):**

Manuela Martins-Green, Chair (UCI)  
Emily E. Roxworthy, Vice Chair (UCSD)  
Sandra Smith (UCB)  
Susan Rivera (UCD)  
Grace Tonner (UCI)  
Francisco Ramos-Gomez (UCLA)  
Rudy Ortiz (UCM)  
Byron Adams (UCR)  
Anthony Davis (UCSD)  
Janet Shim (UCSF)  
David Lopez-Carr (UCSB)  
Kimberly Lau (UCSC)  
Devonte Jackson (Student Representative, UCB)  
Michael Navarro (Student Representative, UCSD)

**FINAL REPORT OF THE  
FACULTY DIVERSITY WORKING GROUP  
December 4, 2012**

**Background**

The Faculty Diversity Working Group was one of five groups created by President Yudof in December 2010. The charge to the Group was to report to the President's Advisory Council on Campus Climate, Culture, & Inclusion and "recommend measures of progress, mechanisms for accountability, and advice regarding best practices" on issues related to faculty hiring, contributions to equity and diversity, and administrative structures and accountability.

The Faculty Diversity Working Group presented its Recommendation Report consisting of eleven practices and recommendations to the Advisory Council and the local campus climate councils on October 19, 2011. At the Advisory Council's direction, the Recommendation Report was circulated for review to senior campus administrators and to the Academic Senate. The Working Group received responses from all ten campuses as well as the Academic Council.

**Priority Recommendations**

Based upon a careful analysis of all responses (see appendix), the Faculty Diversity Working Group unanimously recommends that the following practices be given highest priority for implementation. A majority of campuses and Academic Council expressed support for all four recommendations. The Working Group continues to endorse all of its original recommendations.

**Recommendation A. Ensure that faculty review processes are in full compliance with APM – 210-1-d and that review processes afford serious consideration to equity and diversity-related activities.**

The October 2011 Working Group report notes that "Campus climate is directly affected by the faculty's willingness to engage in activities that improve conditions for URM, women, LGBT, and other groups." We recommend focus on Practices #1 and #3 from the original report:

**Practice #1: Fully Implement Academic Personnel Policy Section 210-1-d (APM - 210), Review and Appraisal Committees**

*Remind each campus that APM - 210-1-d was approved by the Senate in 2005 and charge each campus to devise strategies for the implementation of APM – 210-1-d as criteria for appointment and promotion of faculty.*

**Practice #3: Accountability Reports on Diversity of Key Senate Committee Compositions**

*The Working Group recommends making available to Senate committees, including the diversity committee, on each campus accountability reports, prepared by this Working Group, that identify URM and gender composition of the Budget/Academic Personnel Committees over a five-year period. Also, continue the collection of faculty search data (candidate pool and finalist demographics and search committee make-up) after this initial year.*

**Recommendation B: Ensure Deans and Chairs are accountable for supporting faculty diversity in their units.**

The Working Group recommends that provisions in APM - 240 and APM - 245 be consistently applied in performance reviews of Deans and Chairs. This recommendation for accountability is in our original Practice #4, and we recommend that this information be shared with the campus diversity committee:

**Practice #4: Selection and Review of Provosts, Deans and Chairs and Annual Reports**

*The Working Group recommends integrating diversity and equity into the criteria for selection, appointment, reviews, and promotion of Provosts and Deans or Chairs. We recommend that UCOP require Annual Reports from the Chancellors on diversity and equity progress in these senior management positions. Additionally, we recommend that Provosts, Deans, and Department Chairs submit Annual Reports to the Chancellor to describe diversity and equity activities and progress.*

**Recommendation C: Restore funding for the President's Postdoctoral Fellows Program**

This recommendation received enthusiastic support from almost all respondents, in part due to the proven success of the PFP development of faculty who support diversity.

**Practice #6: President's Postdoctoral Fellowship Program**

*The President's Postdoctoral Fellowship Program is one of the most successful programs for diversifying the faculty. Funding should be restored for this program as well as the UC Diversity Pipeline Initiative for the Health Sciences.*

**Final comments.** We have modified the language of Practice #4 as recommended by the Academic Council. We strongly support the Academic Council's suggestion that Practice #6 be amplified to include increased funding for the President's Postdoctoral Fellowship Program as well as increased stipend amounts.

We also recognize that each of the campuses are continuing to engage in practices and initiatives that support a more diverse faculty. We are aware that the University Committee on Affirmative Action and Diversity (UCAAD) continues to be a leader systemwide in developing "Best practices", like the recent Faculty Salary Equity initiative. And we are excited by the work of UCOP and all 10 campuses, who have been awarded several National Science Foundation ADVANCE grants to increase the diversity of the faculty in Science, Technology, Engineering, and Technology (STEM). The systemwide ADVANCE program includes the collection of data on the demographics of faculty recruitment so that we can identify best practices in building a strong UC faculty.

The prioritizing of these four Practices should not be understood as a rejection of the Faculty Working Group's original list of eleven recommendations, which we continue to endorse. We are encouraged that some of the recommendations have been implemented at most campuses, e.g. Practice #10. However, it is our hope that all of the recommendations will be useful to campuses in the future as they commit to building faculties that reflect the population of California in the 21<sup>st</sup> century.

Respectfully submitted,

*Faculty Diversity Working Group membership*

*Convener: Susan Carlson, Vice Provost-Academic Personnel (UCOP)*

*Convener: George "Jorge" Mariscal, Professor of Literature (UCSD)*

*Bob Anderson, Professor of Economics and Mathematics (UCB), & Vice Chair, Academic Senate*

*Ines Boechat, Professor of Radiological Sciences (UCLA)*

*Margaret Conkey, Professor Emerita of Anthropology (UCB)*

*Tyrone Howard, Professor of Education (UCLA)*

*Herbie Lee, Vice Provost for Academic Affairs & Chief Diversity Officer for Faculty (UCSC)*

*Francis Lu, Professor of Clinical Psychiatry (UCD) & Chair, University wide Committee on  
Affirmative Action & Diversity*

*Manuela Martins-Green, Professor of Cell Biology (UCR) & Chair, UCR Affirmative Action &  
Diversity Committee*

*Teenie Matlock, Professor of Cognitive Science (UCM)*

*Dave Stark, Director-Stiles Hall (UCB)*

*Staff: Janet Lockwood, Academic Personnel (UCOP)*

**APPENDIX:  
SUMMARY OF RESPONSES TO THE  
FACULTY DIVERSITY WORKING GROUP RECOMMENDATION REPORT**

**Summary**

All respondents agreed that achieving a diverse faculty is an essential goal for the University of California, with some citing the correlation between faculty diversity and a positive campus climate. Most respondents noted that the recommended practices have varying levels of potential effectiveness and effort or cost to implement.

**Practice #1: Fully Implement Academic Personnel Policy Section 210-1-d (APM - 210), Review and Appraisal Committees**

*Remind each campus that APM - 210-1-d was approved by the Senate in 2005 and charge each campus to devise strategies for the implementation of APM – 210-1-d as criteria for appointment and promotion of faculty.*

Campus respondents stated that implementation is already in place. However, some stated a renewed commitment to enhance efforts. One campus noted that full implementation requires visibility and leadership in this area on the part of the campus, UCOP, and the Senate. Academic Council perceives uneven implementation of APM - 210-1-d across the campuses, noting that the templates used to assemble merit cases need to do a better job of inviting faculty and department chairs to report on contributions to diversity. However, Academic Council recommends deferring specific action until UCAP and UCAAD can reconcile their commitment to evaluating research on its merits, regardless of the subject matter, with the language of APM - 210-1-d that some interpret as requiring different, more favorable evaluation of research in certain areas. These Committees are slated to continue this discussion, seeking the best way to clarify the meaning and to ensure that APM - 210-1-d is fully and appropriately implemented.

**Practice #2: Provide Training for Members of Committee on Academic Personnel/Budget Committees**

*The Working Group recommends that training be developed regarding evaluating faculty contributions to diversity.*

While respondents agreed in principle, there was no consensus in terms of how the training should be developed or implemented. A few proposed that UCOP develop systemwide guidelines and materials. More believe that these are matters within the Academic Senate's purview, or would benefit from enhanced dialog between division Committees on Academic Personnel and Affirmative Action and Diversity, a proposal advanced by UCAP that is supported by Academic Council.



**Practice #3: Accountability Reports on Diversity of Key Senate Committee Compositions**

*The Working Group recommends making available to Senate committees on each campus accountability reports, prepared by this Working Group, that identify URM and gender composition of the Budget/Academic Personnel Committees over a five-year period. Also, continue the collection of faculty search data (candidate pool and finalist demographics and search committee make-up) after this initial year.*

Campus respondents agreed with the recommendation, with several proposing that the Academic Senate monitor Senate committee composition at the system level and work to enhance diversity among members. Academic Council agrees that diversity on Senate committees is important, and the campus Committees on Committees should be reminded to be consistently aware of the degree of diversity in the membership of these committees. However, Academic Council does not support this recommendation, feeling strongly that all members of committees, not just women and underrepresented minorities, should be committed to diversity. Additionally, Council stated that female and underrepresented minority faculty are often overwhelmed with requests to serve on committees, and accepting the requests would compromise their teaching and research.

Academic Personnel will continue the collection of faculty search data, including candidate pool, finalist, and selection demographics and search committee make-up via the UC Recruit platform, a system being deployed to all ten campuses to track search processes with greater accuracy.

**Practice #4: Selection and Review of Provosts, Deans and Chairs and Annual Reports**

*The Working Group recommends integrating diversity and equity issues into the criteria for selection, appointment, reviews, and promotion of Provosts and Deans or Chairs. We recommend that UCOP require Annual Reports from the Chancellors on diversity and equity progress in these senior management positions. Additionally, we recommend that Provosts, Deans, and Department Chairs submit Annual Reports to the Chancellor to describe diversity and equity activities and progress.*

Campus respondents reported that they already integrate diversity into the selection and review of Provosts, Deans and Chairs. Some recommended flexibility on the part of UCOP in terms of report content and others requested suggestions from UCOP pertaining to common criteria and practices. Academic Council strongly supports this practice.

**Practice #5: Funding for a Reward Pool of FTE**

*The Working Group recommends established funding for a reward pool for campuses making noteworthy progress on faculty diversity issues.*

Most respondents found this idea intriguing, expressing support for the principle presuming that resources would become available. Several campuses stated that determining the criteria for rewarding one campus over another may prove difficult and questioned how “noteworthy” progress would be defined.

**Practice #6: President's Postdoctoral Fellowship Program**

*The President's Postdoctoral Fellowship Program is one of the most successful programs for diversifying the faculty. Funding should be restored for this program as well as the UC Diversity Pipeline Initiative for the Health Sciences.*

Respondents were unanimous in their strong support for this Program. Several campuses called for full restoration of funding and Academic Council recommended increasing the stipend allocated to fund the Fellows.

**Practice #7: Update the UCOP 2002 Affirmative Action Guidelines for the Recruitment and Retention of Faculty Brochure**

*The Working Group recommends that Academic Personnel update this communication tool.*

Respondents were unanimous in their agreement with this recommendation.

**Practice #8: Crediting Contributions to Diversity**

*Encourage the adoption at each campus of a hybrid approach to the reporting of contributions to diversity.*

While all respondents were supportive in principle, many were concerned that the recommendation was too prescriptive and that they had already developed a mechanism that works for the campus. One respondent was concerned that establishing diversity as a separate category would make performance in this area a mandatory feature of advancement.

**Practice #9: One-time Half or Whole Step Increase for Extraordinary Contributions to Diversity**

*Allow for awarding a one-time half or whole step increase for exceptional service related to diversity and equity activities.*

Responses were mixed, with two campuses already implementing a variation of the practice, some agreeing in principle yet noting that the current fiscal climate makes it difficult to implement, one noting that service and teaching criteria enable increases for contributions to diversity, and one stating that each campus has its own metric for rewarding outstanding research and teaching and a similar award for diversity contributions should align with that metric.

**Practice #10: Central Diversity Office**

*Each campus would consider establishing a central Office of Equity, Diversity, and inclusion with appropriate staffing and resources at each campus, with direct access to the Chancellor and Budget Committee.*

Most respondents expressed strong support for this model, noting that such offices were already in place. One respondent reported that the campus has had great success with the multi-office approach.

**Practice #11: Cluster Hiring**

*Encourage “cluster hiring” of URM and female faculty in areas where they are below the national eligibility pool.*

Several respondents expressed support for the concept, and two reported having already implemented a variation of the recommendation. However, some noted that implementation of the idea would be challenging as a result of resource limitations. Academic Council believes the idea deserves more study to determine whether it has proven effective at UC and other institutions.

**Conclusion**

In general, recommendations that call for increased information or resources from UCOP to the campuses received favorable responses, while those calling for uniformity among campuses in how to pursue the shared goal of fostering faculty diversity were supported in concept but not in terms of prescriptive implementation.

The strongest expression of support was reserved for restoring full funding to the President’s Postdoctoral Fellowship Program and updating the 2002 Affirmative Action Guidelines for the Recruitment and Retention of Faculty brochure.

The Working Group met on the following dates:

February 10, 2011  
February 24, 2011  
March 10, 2011  
April 18, 2011  
May 27, 2011  
June 30, 2011  
September 8, 2011  
September 22, 2011  
October 6, 2011  
October 19, 2011  
August 13, 2012  
September 20, 2012