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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
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February 25, 2019

**MICHAEL BROWN, PROVOST
UNIVERSITY OF CALIFORNIA**

ACADEMIC SENATE DIVISION CHAIRS

**Re: 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 unanimously endorsed the attached set of recommendations for the use of Statements on Contributions to Diversity, Equity, and Inclusion (DEI) for UC academic positions. The recommendations were authored jointly by the University Committee on Affirmative Action, Diversity, and Equity, and the Systemwide Equal Employment/Affirmative Action Administrators Group.

The six recommendations 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.

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,

A handwritten signature in brown ink that reads "Rob C May".

Robert C. May, Chair
Academic Council

Encl.

Cc: Vice Provost Carlson
Academic Council
Senate Directors



UNIVERSITY COMMITTEE ON AFFIRMATIVE ACTION, DIVERSITY,
AND EQUITY (UCAADE)
Lok Siu, Chair
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ACADEMIC SENATE
University of California
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February 19, 2019

ROBERT MAY
ACADEMIC COUNCIL CHAIR

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

Dear Robert,

On behalf of UCAADE, I am very pleased to transmit the recommendations for “The Use of Contributions to DEI Statements for Academic Positions at the University of California,” approved by the Academic Council on November 28, 2018 and January 23, 2019.

The initial recommendations were jointly developed by UCAADE and the UC Systemwide Equal Opportunity/Affirmative Action (EO/AA) Administrators Group. Per Academic Council request, UCAADE consulted with UCFW and UCAP to develop the sixth recommendation, which incorporates the use of DEI statements in academic review. I thank UCFW and UCAP, especially Chairs Sean Malloy and Dan Farber, for collaborating on this effort. Consultation among the three academic senate committees contributed greatly to refining that recommendation, which extends the scope of the recommendations from faculty hiring through the merit and promotion process.

We thank you for your sustained support and eagerly await the transmission of this document to Provost Brown and the Divisional Chairs for systemwide distribution.

Sincerely,

Lok Siu
Chair, UCAADE

cc: Kum-Kum Bhavnani, Academic Council Vice Chair
Hilary Baxter, Academic Senate Executive Director
UCAADE Members
UC Systemwide EEO/AA Diversity Administrators

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 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

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. UCSD 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.