APPENDIX

Chronology of the Consultation Process for APM - 210-1-d Effective July 1, 2015

January 2014 Management Consultation enclosures:
- Academic Council Chair Powell’s Letter to Vice Provost Carlson (April 11, 2013)
- University Committee on Affirmative Action and Diversity (UCAAD) Chair Martins-Green’s Letter to Academic Council Chair Powell (March 20, 2013)
- University Committee on Academic Personnel (UCAP) Chair Green’s Letter to Academic Council Chair Powell (March 22, 2013)
- Academic Council Chair Jacob’s Letter to Vice Provost Carlson (January 2, 2014)
- UCAAD Chair Roxworthy’s and UCAP Chair Green’s Letter to Academic Council Chair Jacob (January 2, 2014)
- Proposed Revisions (January 17, 2014)

May 2014 Systemwide Review enclosure:
- Proposed Revisions (May 23, 2014)

March 2015 Final Review enclosures:
- Academic Council Chair Gilly’s Letter to Vice Provost Carlson (March 3, 2015)
- Proposed Revisions (March 17, 2015)

May 2015 Final Review endorsement:
- Academic Council Chair Gilly’s Letter to Vice Provost Carlson (May 28, 2015)
January 2014 - Management Consultation
SUSAN CARLSON, VICE PROVOST
ACADEMIC PERSONNEL

Dear Susan:

As you know, UCAP and UCAAD have discussed possible revisions to APM 210.1-d to clarify its language regarding evaluation of contributions to diversity in merit and promotion reviews. While they came to a consensus on some issues, they were unable to agree on a single version, and both committees submitted letters to Council explaining their reasoning. After a robust discussion, Council endorsed language that it believes is acceptable to both committees. I write now to transmit Council’s recommendation that the second paragraph of APM 210.1-d be amended as indicated:

The University of California is committed to excellence and equity in every facet of its mission. Contributions in teaching, research and other creative work, professional activity, and University and public service contributions that promote equal opportunity and diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate’s qualifications. They 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. These contributions to diversity and equal opportunity can take a variety of forms, including efforts to advance research, teaching, equitable access to education, and 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 diverse students or new faculty members are to be encouraged and given due recognition in the teaching or service categories of the Academic Personnel actions process.

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

Sincerely,

Robert L. Powell, Chair
Academic Council

Cc: Academic Council
Martha Winnacker, Senate Executive Director
ROBERT POWELL, CHAIR  
ACADEMIC COUNCIL  

Re: Proposed Revision of APM 210-1.d  

Dear Bob:  

I am writing to let you know that UCAAD and UCAP have been unable to come to full agreement on new language for APM 210-1.d. The disagreement is only in the last sentence (see blue underlined). APM 210-1.d was put in place to ensure equality of treatment for faculty who do research into issues of diversity and to address the special need for mentoring and advising of diverse students and junior faculty. It is on this last aspect that we have been unable to agree with UCAP on appropriate wording. If UC is going to increase the diversity of its faculty, special efforts are necessary to ensure the success of diverse students (who feed the pipeline) and to maximize the success rate of diverse junior faculty seeking tenure. So far the University has not been able to achieve either in any substantial way. Currently, there is no incentive for UC faculty to devote the time and energy necessary to mentor and advise diverse students; conversely, those faculty members who spend time in these efforts are often not recognized when their personnel files are reviewed. Therefore, UCAAD submits for the consideration of the Council the wording below as a proposal for revision of APM 210-1.d (in blue). Right below that is a version of APM210-1.d that shows the specific changes that UCAAD proposes to existing language.

"The University of California is committed to excellence and equity in every facet of its mission. Contributions in teaching, research and other creative work, professional activity, and University and public service that promote equal opportunity and diversity are to be encouraged. They 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. These contributions to diversity and equal opportunity can take a variety of forms, including efforts to advance research, teaching, equitable access to education, and public service that address the needs of California’s diverse population. Mentoring and advising of diverse students or faculty members are to be encouraged and given additional recognition in the teaching or service categories of the Academic Personnel process."

The University of California is committed to excellence and equity in every facet of its mission. Contributions in teaching, research and other creative work, professional activity, and University and public service that promote equal opportunity and diversity are to be encouraged and given recognition in the evaluation of the candidate’s qualifications. They 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. 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, teaching, equitable access to education, and public service that address the needs of California’s diverse population. Mentoring and advising of diverse students or new faculty members are to be encouraged and given additional recognition in the teaching or service categories of the Academic Personnel actions process.
In addition, UCAAD is in the process of putting together a white paper to help implement its proposed new language of APM 210-1.d. Our white paper will incorporate various features of several white papers already in existence on several campuses which appear to be helping implement the existing language of APM 210-1.d.

Thank you again for giving UCAAD the opportunity to work with UCAP in developing a proposal for new language for APM 210-1.d.

Sincerely,

Manuela Martins-Green
Chair, UCAAD

Copy: UCAAD
UCAP Chair Harry Green
Committee Analyst Eric Zárate
UCAP Analyst Brenda Abrams
March 22, 2013

BOB POWELL, CHAIR
ACADEMIC COUNCIL

RE: PROPOSED CHANGES TO APM 210-1.d

Dear Bob,

As you requested last September, UCAP and UCAAD have been working together to find common language for revision of APM 210-1.d in order to clarify the impression that some readers have had that the current language of the paragraph can be read to say that research into issues of diversity should be given “extra credit” in the academic personnel process. UCAP had taken issue with this paragraph for several years and your charge to the two committees was to find agreed-upon language and bring it to the Council for consideration as revised language for this section of the APM.

I am pleased to report that the two committees have come to agreement on the first part of the paragraph that makes clear that research into issues of diversity is to be given the same respect in the academic personnel process as any other academic discipline.

However, we have not reached agreement on the final section of the paragraph that deals with mentoring and advising. After several attempts by both committees, we have not been able to find common language. UCAAD has adopted the position that in order to meet the UC stated goal of enhancing the diversity of our faculty, it is critical for APM 210-1.d to specifically state that mentoring of diverse students and young faculty will be given additional weight in the merit and promotion process because of the considerable additional effort necessary to help diverse graduate students and young faculty become successful academics in comparison with white males. A minority of UCAP members agreed with this philosophy but the majority of UCAP members favor language concerning mentoring and advising that is exactly analogous to the language concerning research. That is, an explicit statement that mentoring and advising of diverse students and young faculty shall be given exactly the same weight in the academic personnel process as mentoring of any other students and young faculty.

As a consequence of this difference of opinion, the two committees are sending forth to Council recommendations that are exactly the same except for the last sentence. I provide here the UCAP recommendation in clean text, followed immediately by a marked-up version showing the changes from the current language of APM 210-1.d.

"The University of California is committed to excellence and equity in every facet of its mission. Contributions in teaching, research and other creative work, professional activity, and University and
public service that promote equal opportunity and diversity are to be encouraged. They 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. These contributions to diversity and equal opportunity can take a variety of forms, including efforts to advance research, teaching, equitable access to education, and public service that address the needs of California's diverse population. Mentoring and advising of diverse students or faculty members are also to be encouraged and given the same weight in the evaluation of a candidate as any other contributions to mentoring and advising."

“The University of California is committed to excellence and equity in every facet of its mission. Contributions in teaching, research and other creative work, professional activity, and University and public service that promote equal opportunity and diversity are to be encouraged and given recognition in the evaluation of the candidate’s qualifications. They 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. 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, teaching, equitable access to education, and public service that address the needs of California's diverse population. Mentoring and advising of diverse students or new faculty members are also to be encouraged and given recognition in the teaching or service categories of Academic Personnel actions. the same weight in the evaluation of a candidate as any other contributions to mentoring and advising.”

Sincerely,

Harry Green, Chair
UCAP
SUSAN CARLSON, VICE PROVOST ACADEMIC PERSONNEL

Re: Proposed revision of APM 210

Dear Susan:

As I believe you are aware, ambiguities in the language of APM 210-1d contains have raised concerns in Senate committees about inconsistent implementation and potential misunderstanding. Accordingly, over the past year, the University Committee on Academic Personnel (UCAP) and the University Committee on Affirmative Action and Diversity (UCAAD) have worked together to develop proposed revisions that they believe would more precisely state the University’s commitment to faculty diversity while also avoiding the misperception that research in some fields will be valued more highly than research in others without regard to its academic quality.

I write now to transmit a memo from UCAP and UCAAD chairs Harry Green and Emily Roxworthy providing background context for the proposed change. Please note that the language of APM 210-1d was first proposed by the Senate.

As always, please feel free to contact me or Professors Green or Roxworthy if you have any questions or concerns.

Sincerely,

Bill Jacob

Encl. (1)

Cc: Academic Council
    Executive Director Winnacker
    Policy Manager Lockwood
    Senate Analysts
January 2, 2014

BILL JACOB, CHAIR
ACADEMIC COUNCIL

RE: APM210-1.d Historical Context and Need for Revision

Dear Bill,

Historical Context

In the fall of 2002, President Atkinson convened a Strategic Review Panel that recommended incorporating educational outreach (which helps disadvantaged and underrepresented populations) into the teaching and research mission of the UC faculty. The Panel’s final report in Spring, 2003, also recommended involving faculty more directly in efforts to serve the community. One of the University’s responsibilities as a land-grant institution is to provide broad and equitable education for all eligible California residents, including those in disadvantaged and underrepresented groups. As a consequence, faculty contributions to diversity and equal opportunity are to be highly valued by the University. Accordingly, the Panel asked the Academic Senate to develop means by which faculty members could be properly recognized and rewarded for their participation in these forms of educational outreach.

In 2003-04, the Senate’s University Committee on Affirmative Action and Diversity (UCAAD) worked with several other Senate committees to propose language for the Academic Personnel Manual (APM) that would instruct campus reviewers to evaluate contributions to diversity and equal opportunity in all three categories of the academic appointment, review, and promotion process (teaching, research, and service). Revisions of three sections of the APM were proposed to guide Deans (APM 240), Department Chairs (APM 245) and the Academic Merit and Promotion process (APM 210) in promoting diversity and equity. The first two revisions were approved with little discussion but the proposed revisions to APM 210 met with considerable controversy. In particular, the University Committee on Research Policy (UCORP) commented that “By singling out a specific area of work for special treatment, it seems to imply that the subject matter itself is more important than and substitutes for scholarly rigor, objectivity and originality” and “It is also unclear how to distinguish between diversity efforts that should count as “research and creative work” rather than as “University and public service.” In 2004-05, following further discussion and system-wide review, the Academic Council unanimously approved creation of a new paragraph of APM 210 (section 210-1.d) [Attached]. The Administration concurred and charged each campus with devising local strategies to implement the new policy.
Need for Revision

Since 2005, each campus has approached APM 210-1.d autonomously, and its implementation has been uneven and inconsistent across the system, primarily due to confusions and/or disagreements concerning the original two concerns of UCORP. Finally, in 2011/12, after extensive and animated discussions, the University Committee on Academic Personnel (UCAP) concluded that the current wording of APM 210-1.d was unworkable because its language is ambiguous; it can be read to say that research into diversity and equity holds a privileged position above other academic disciplines. This conclusion was reached while UCAP was reviewing the report of a Faculty Diversity Working Group convened by President Yudof in early 2011 as part of the Campus Climate Council. One of the Working Group’s key recommendations was that the Senate devise strategies for fully implementing APM 210-1.d as soon as possible. As a consequence of the Working Group’s recommendation and UCAP’s conclusion of unworkability of the current wording, in Fall 2012, the Senate Chair tasked UCAAD and UCAP with revising the language of APM 210-1.d to make it unambiguous to ensure that the policy would be fully and consistently implemented on every campus.

Proposed New Language

During the 2012-13 academic year, UCAAD and UCAP worked together to modify the language of APM 210-1.d to clarify: (i) that all academic disciplines have equal standing in the merit/promotion process; (ii) that contributions to diversity and equity by faculty members for whom diversity and equity are not primary research fields are also to be encouraged as an aspect of their teaching and/or service; (iii) that mentoring of diverse students and faculty in any discipline is important and can require considerable time and effort, for which faculty should be rewarded appropriately. The proposed revisions include explicit language stating that research, teaching, and service related to diversity and equal opportunity comprise a valid disciplinary area that is to be judged on its own merits—at the same level of recognition as any other academic discipline recognized by the University of California. At the same time, contributions toward diversity, equity and inclusion in teaching and/or service are to be highly valued in the merit/promotion process of faculty in any discipline. Mentoring of diverse students and faculty is specifically to be given “due recognition” in the merit/promotion system. That is, such mentoring is to be addressed on a “sliding scale”, thereby giving appropriate recognition depending on the level of involvement of the faculty member. In Spring, 2013, the Academic Council approved with a large majority the revised wording for APM 210-1.d [attached] that is now to be distributed for discussion and approval by the full Senate.

Finally, both UCAAD and UCAP recommend that every campus provide dedicated sections on the biobibliography or elsewhere in the review file where faculty can, if they wish, document their contributions to diversity and include narrative that details the efforts and impacts of these activities. Such presentation will allow reviewers at all levels to evaluate these voluntary contributions to teaching and service in the context that they are valued highly by the University.

Sincerely,

Harry Green, Chair
UCAP

Emily Roxworthy, Ph.D., Chair
UCAAD
Instructions to Review Committees Which Advise on Actions Concerning Appointees in the Professor and Corresponding Series

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d. Criteria for Appointment, Promotion, and Appraisal

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The University of California is committed to excellence and equity in every facet of its mission. Contributions in teaching, research and other creative work, professional activity, and University and public service contributions that promote equal opportunity and diversity and equal opportunity are to be encouraged, and given recognition in the evaluation of the candidate's qualifications. They 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. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance research, teaching, equitable access to education, and 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 diverse students or new-faculty members are to be encouraged and given due recognition in the teaching or service categories of the Academic Personnel actions process.

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.

.....
May 2014 – Systemwide Review
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**

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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.

…..
March 2015 – Final Review
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
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 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.
d. Criteria for Appointment, Promotion, and Appraisal

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.....
May 2015 – Final Review Endorsement
May 28, 2015

SUSAN CARLSON, VICE PROVOST
ACADEMIC PERSONNEL

Re: Final Review: Proposed revisions to APM 210-1-d, Review and Appraisal Committees

Dear Susan,

At your request, I circulated for a final systemwide Senate review the revisions to Academic Personnel Manual Section 210-1-d proposed by an Academic Council working group and unanimously endorsed by the Academic Council in February.

Six Academic Senate divisions (UCLA, UCM, UCSB, UCSC, UCSD, and UCSF) and one systemwide committee (UCORP) submitted comments, which are appended to this letter. The feedback from Senate reviewers was overwhelming positive; however, Council recommends one small additional change to the wording circulated for final review. Our suggestion is to change “due credit” to “due recognition” in the last sentence of the passage, to ensure consistency with the wording of the second sentence. Council believes that a parallel pattern of word usage within the passage will help avoid implying a change in standards or criteria, when no such change is intended.

Academic Council’s final proposed language is the following:

…

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 new faculty members, particularly from underrepresented and underserved populations, should be given due recognition are to be encouraged and given recognition in the teaching or service categories of the academic personnel process academic personnel actions.
Thank you for supporting the extended process of revision and review of this important piece of the APM.

Sincerely,

Mary Gilly, Chair
Academic Council

Encl.

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