

May 11, 2023

HERBERT LEE
Vice Provost for Academic Affairs

NEEDHI BHALLA
GRACE PEÑA DELGADO
JEAN FOX TREE
MARCELLA GOMEZ
KATHLEEN KAY
JOHN JOTA LEAÑOS
JUDIT MOSCHKOVICH
JUAN POBLETE
UCSC Faculty Equity Advocates

Re: Recommendations for Inclusive Faculty Hiring

Dear Herbie and Faculty Equity Advocates (FEAs),

The Academic Senate has reviewed the Recommendations for Inclusive Faculty Hiring, with the committees on Affirmative Action and Diversity (CAAD), Academic Personnel (CAP), Educational Policy (CEP), Faculty Welfare (CFW), and Planning and Budget (CPB) responding. All committees expressed their gratitude to the Faculty Equity Advocates (FEAs) and VPAA Lee for developing and investigating the efficacy of the proposed two-document initial screening approach. All committees applaud the aims of more inclusive hiring practices and promoting faculty diversity.

CEP, CFW, and CPB were generally supportive of the proposed use of statements of contributions to diversity, equity, and inclusion (DEI) and either a research statement (ladder faculty), teaching statement (teaching professors), or cover letter. CAAD and CAP requested more quantitative data prior to asserting their full support for this practice.

Many committees noted the importance of communicating the significance of DEI statements to applicants and providing applicants with clear explanations of how DEI statements will be evaluated (CAAD, CEP, CFW). CAAD noted the current "[Guidelines for Applicants on Contributions to Diversity Statements](#)" could be expanded. CEP asks that resources providing guidance on how to draft a DEI statement be linked directly in job postings. Overall committees observed the significance of adequately supporting applicants with information on UC standards for DEI statements. It was also noted that applicants' experience with DEI statements and access to diversity initiatives will be uneven across recruitments.

The need to provide access to information regarding DEI in hiring likewise extends to the search committees themselves. CEP and CFW recommend department wide training in DEI with a focus on DEI in hiring to serve as a foundation for future search committee members.

Improvement of resources, in particular the need to revise the rubric so that it aligns with the applicant guidelines, will also aid search committees, as they develop a more consistent and equitable hiring process. CAAD cautions against broad implementation of the two document process until the rubric is updated. CEP makes several specific suggestions on possible rubric revisions, including, but not limited to: explicit language on coursework, teaching undergraduates, mentoring or advising for undergraduates, consideration for applicant career stage, and language cautioning against inadvertent adoption of expectations for service that exceeds that of other faculty at same stage. CAAD asks for clarification on calibration sessions and notes that if Faculty Equity Advisors (FEAs) facilitate these

sessions, this will require more of their time. CEP suggests that facilitating calibration will be more successful if it is treated as a core component of inclusive hiring practices.

Almost all committees noted the importance of flexibility in selecting which type of second or third document should be selected for prescreening as this process develops. CFW strongly recommends flexibility to determine which additional documents should be included alongside the DEI statement to ensure the search results in identifying the pool of applicants with appropriate expertise for the given discipline. CEP notes that in some circumstances DEI statements alone may be an option, whereas CPB offers the alternative of a holistic approach requiring all statements but excluding CVs and letters. The objective of this approach is to relieve burden on applicants and because DEI is often interwoven in all activities. CAAD cautioned that with this flexibility, there is a lack of clarity surrounding what is required and what is optional and this may lead to inequitable outcomes.

Many committees noted that at this stage of development, the overall process should be viewed as evolving, assessed, tracked, and appropriate adjustments made. CPB and CFW caution against codifying this practice as policy, or even as a best practice, given the need for further development.

Overall, Senate committees support the use of DEI statements and an additional statement. They are in favor of continued flexibility, future evaluation of process, and development of resources. Committees that felt they had inadequate data to assess the proposal do note that even in the absence of conclusive evidence that the process results in a more diverse faculty, the emphasis of DEI as a part of the hiring process will result in more DEI aware faculty.

Lastly CAP notes that the success of the proposed inclusive hiring recommendations depends on the commitment of Deans, dept chairs etc. CAAD recommends providing departments with supporting research to improve adoption and buy-in of these processes.

Thank you for the opportunity to opine on this proposal and for the time you have all devoted to the inclusivity of our faculty hiring process.

Sincerely,
/s/
Lissa Caldwell, Vice-Chair
Academic Senate

Encl: Senate Committee Responses

cc: Lori Kletzer, Campus Provost and Executive Vice Chancellor
Grace McClintock, Assistant Vice Provost for Academic Personnel
Sylvanna Falcón, Chair, Committee on Affirmative Action and Diversity
Stefano Profumo, Chair, Committee on Academic Personnel
David Lee Cuthbert, Chair, Committee on Educational Policy
Alexander Sher, Chair, Committee on Faculty Welfare
Dard Neuman, Chair, Committee on Planning and Budget
Matthew Mednick, Executive Director, Academic Senate

April 26, 2023

Patty Gallagher, Chair
Academic Senate, Santa Cruz Division

Re: FEA's and VPAA's Recommendations for Inclusive Faculty Hiring

Dear Patty,

The Committee on Affirmative Action and Diversity (CAAD) is grateful to have the opportunity to review the proposal, put forth by the VPAA and divisional Faculty Equity Advocates (FEAs), to consider instituting “a two-document first-round screening approach as a best practice” for Senate faculty positions.

CAAD is heartened to see serious attempts at making Senate searches more equitable and increasing the hiring of faculty from underrepresented groups. This is clearly important to us as CAAD. At the same time, the committee has concerns, particularly around the clarity of the proposal and the necessary supporting processes and structures.

First, the committee would like more detailed evidence supporting the proposed practice. This can include the data noted to be “available upon request,” which is important to understanding the effectiveness of the pilot. Providing the “Initiative to Advance Faculty Diversity, Equity and Inclusion in the Life Science at UC Berkeley” was helpful, though that initiative had more structural support to increase buy-in and was focused specifically on the life sciences. Similarly, the anecdotal evidence in the proposal under review is focused on PBSci and Engineering, and CAAD would like to understand the impact on all divisions.

Relatedly, CAAD is pleased to hear that the committee consulted the research on prioritizing DEI statements in job searches, and we think that including such research (for example, [Bombaci 2022](#); [Carnes et al. 2020](#); [Sylvester et al. 2019](#); [Watson et al. 2021](#)) would increase campus buy-in. Like the Committee on Academic Personnel, we are seeking more evidence for the proposed practice, as well as how it fits in with other efforts to increase faculty diversity in the search process (including committee training, how/where jobs are promoted, etc.).

The committee wishes to emphasize, alongside the research, that prioritizing diversity statements in the first round necessitates clear directions for candidates on writing such statements and clear evaluation criteria. These are not yet fully developed at UC Santa Cruz. The “[Guidelines for Applicants on Contributions to Diversity Statements](#)” provides some information for applicants, but these guidelines would benefit from further development, as some applicants will come to the process of writing a DEI statement having written one before, while others - including those from conservative states in the U.S. and some international applicants - may have never written such statements. Similarly, the [Rubric to Evaluate Contributions to Diversity Statements](#) requires review, as it currently does not align with the guidelines and doesn't provide search committees with the necessary support of an analytic rubric. CAAD has requested that revision to this rubric be considered, and is currently working on this issue to move it forward. We believe the revised rubric needs to be in place *before* instituting the proposed practice of prioritizing DEI statements and a second document.

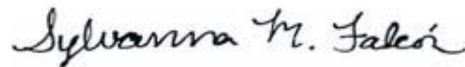
Our committee membership also acknowledged that applicants may have had inconsistent diversity, equity, and inclusion opportunities and experiences. For example, candidates working in very homogeneous environments (inside and outside the U.S.), would have differential access to opportunities in which they could engage in DEI-focused work. This context also warrants consideration to not inadvertently penalize someone for an environment outside of their control.

Overall, we believe that while the ability for divisions to tailor processes is important, best practices guidelines are needed as well as clarity between required versus optional recommendations. Further, allocating primary decision-making to Deans may problematically assume that Deans are similarly informed on these DEI issues, and it may lead to inconsistent campus hiring practices.

Finally, CAAD would like to better understand who will be performing the "facilitated calibration" sessions. These sessions seem like an important part of the process, and if the FEAs are to provide such support, it seems that they would be in high demand during search season and may require additional compensation and/or support.

We appreciate the opportunity to provide feedback. We want this effort to be successful, and as such, we would like to see a clearer proposal and the relevant guiding/support mechanisms in place.

Sincerely,



Sylvanna Falcón, Chair
Committee on Affirmative Action and Diversity

cc: Stefano Profumo, Chair, Committee on Academic Personnel
Dard Neuman, Chair, Committee on Planning and Budget
David Lee Cuthbert, Chair, Committee on Educational Policy
Andrew Fisher, Chair, Graduate Council
Alexander Sher, Chair, Committee on Faculty Welfare
Senate Executive Committee

March 23, 2023

Patty Gallagher, Chair
Academic Senate

Re: Divisional Review – Recommendations for Inclusive Faculty Hiring

Dear Patty,

During its meeting of March 16, 2023, the Committee on Academic Personnel (CAP) discussed VPAA Lee's request for feedback and possible endorsement of a two-document first-round screening approach (with the two documents being a DEI statement and a research statement for research faculty, or teaching statement for teaching faculty) as a best practice, with the recommendation that divisions work to refine best practices for their respective disciplines.

CAP members were split on the proposal to limit first-round screening of faculty searches to a Diversity, Equity, and Inclusion (DEI) statement and either a research or teaching statement. Several opined positively that, based on their observations and experiences, such an approach would be one of many tools needed to promote equity in faculty hiring, and that using DEI and research statements in initial screens has clearly helped produce more equitable outcomes in some searches, as measured by both the group of faculty interviewed as well as the faculty who were hired. Other members had differing opinions: these included noting that research statements in many disciplines are likely to contain much of the salient information (papers, institutions, etc.) contained within the C.V.s themselves, rendering the elimination of the C.V. itself artificial. One member conducted a Bayesian statistical analysis of the data from the pilot project reports, and concluded that these data do not provide quantitative evidence of the efficacy of the proposed approach. That conclusion appears generally compatible with the vague language used to describe the statistical basis for the screening recommendation within the request letter itself. We noted, however, that even if the DEI-statement oriented screening produced no substantial change in candidate diversity, it likely produced hiring of candidates in general who were more conscious of/proactive on DEI issues by centering their importance.

CAP's discussion clearly brought a substantial number of anecdotal experiences (and strongly-held views) to bear on issues associated with candidate assessment; often, such experiences resulted in general support for the proposed two-document approach. However, to be more than split in opinion, but probably generally supportive, we need more precise quantitative results on which measures are likely to be successful in improving actual faculty diversity (or DEI efforts of faculty). Thus, the key question still to be answered: what are the most effective actions to encourage greater equity and more targeted review of applicant pools? Such actions include outreach, search committee training and construction, assessment of different subsets of application documents (as is proposed here), and/or improved instructions on application

construction that would particularly enable diverse candidates to write more effective applications. The immediate answer for what the most effective actions include is “all of the above,” but that answer short-circuits a discussion (as do these recommendations) of what is likely to be most effective. In short, UCSC has embarked on a range of DEI-related strategies to assess applicant pools, yet it remains unclear what strategies have produced positive outcomes in hiring of an excellent, more DEI-oriented faculty contingent. Overall, the current recommendation lacks clear evidence that it has the potential to be successful in its goals. At least one member of CAP was concerned that evaluation of the applicant pool before and after the initial screen of research and DEI statements is not the most relevant or informative metric. Rather, the group of faculty who were interviewed and hired should be analyzed as a measure of the success of the overall process. Another concern that was raised is that pre-screening research and DEI statements will not have any impact if search committees, department chairs, and deans are not committed to advancing equity. CAP therefore concludes with a request for more quantitative assessment of which policies, practices, and actions have been particularly successful on our campus, as well as others in the UC system, in generating equitable and inclusive faculty hiring (in cases where inclusive hires have clearly been generated).

Thank you for the opportunity to opine.

Sincerely,



Stefano Profumo, Chair
Committee on Academic Personnel

cc: Kirsten Silva Gruesz, Chair, Committee on Affirmative Action and Diversity
Dard Neuman, Chair, Committee on Planning and Budget
David Cuthbert, Chair, Committee on Educational Policy
Andy Fisher, Chair, Committee on Graduate Council
Sasha Sher, Chair, Committee on Faculty Welfare
Senate Executive Committee

April 26, 2023

Patty Gallagher, Chair
Academic Senate, Santa Cruz Division

Re: FEA's and VPAA's Recommendations for Inclusive Faculty Hiring

Dear Patty,

The Committee on Educational Policy (CEP) has reviewed the FEA's and VPAA's Recommendations for Inclusive Faculty Hiring. The committee appreciates the thoughtful recommendations to promote inclusive hiring across our campus by the FEA's and VPAA Lee.

We believe it is crucial to attempt to mitigate problems of implicit bias that may skew hiring practices, and contribute to a less diverse faculty body. It is encouraging to see that the Diversity First approaches that have been piloted seem to be successful for increasing the numbers of short-lists and hiring of historically underrepresented faculty at UC Santa Cruz and other UC campuses. We appreciate that the proposed approaches are drawn from a "holistic review across the entire campus," and are informed by the idea that "best practices are nuanced and largely influenced by divisional and department context."

We would like to propose several further considerations, as follows:

- 1) CEP appreciates the flexible approach and justifications for recommending a "two document approach" in which the initial screening of applicants uses the Diversity, Equity and Inclusion (DEI) statement as well as one of the following: either (1) research statement (for ladder faculty positions), or (2) teaching statement (for teaching professor hires), or (3) cover letter, when preferred, to enable more holistic and nuanced perspectives on candidates. However, we want to reiterate that, when a 2-document process is used, search committees need to give sufficient attention and weight to DEI statement evaluations, and should avoid advancing applicants to the next round based only on an outstanding research or teaching statement. Search committees can also consider whether the first screening could be done with the DEI statement alone, but we recognize that this is not always feasible, especially when there are large pools of applicants and some may not fit the research or teaching criteria of the position.
- 2) As a general matter, we would encourage that Diversity First approaches coincide with or include department-wide training on DEI in general, with emphasis on DEI in hiring, to prepare faculty to practice inclusive faculty hiring in search committees.
- 3) To help applicants write quality DEI statements, each job posting should include links to resources for writing DEI statements.
- 4) We strongly encourage entrenching the practice of providing a "facilitated calibration session" for each search committee. Given that these are still new or emerging practices, we believe it is important to help search committees consider how to assess DEI statements using a rubric and to aim for consistency in evaluations. We also believe search committees (and/or departments) should be encouraged to fine-tune the rubric

and evaluation process they use to be tailored to the particular discipline, position (such as the level Assistant, Associate, Full), and goals and needs of the department or program.

- 5) We would also suggest a few modifications to the existing “starting rubric” to provide further examples of possible contributions to DEI or further clarity about how to evaluate and compare applicants:
- a) Contributions to undergraduate teaching: The current rubric does not include any explicit language on coursework and teaching undergraduate students. Applicants’ indications of experiences with and/or plans for teaching courses or labs, or advising undergraduate research projects, in ways that are informed by DEI training, and/or discuss course designs, diversity-related substantive content, or inclusive pedagogies geared toward the success of all students, especially those from from historically underrepresented groups should be taken into consideration, particularly for Sections B and/or C. (There are useful examples in VPAA Lee’s rubric for DEI statement calibration that consider valuing experience and concrete plans for promoting DEI).
 - b) Contributions to undergraduate mentoring and academic advising: The current rubric does not include any explicit language on mentoring or academic advising for undergraduate students. Applicants’ indications of experiences with and/or interests in mentoring and advising underrepresented students should be taken into consideration, particularly for Sections B and/or C.
 - c) Careful consideration of applicant career stage: We would like the rubric in Section B to more clearly state that statements with well thought-out and developed planned activities for applicants in the early stages of their career should be weighed equally to proven track records of late-stage career applicants. Perhaps it could be more explicitly stated that “Roles and activities undertaken were significant and appropriate for career stage.”
 - d) Avoidance of unfair expectations for “extra” service: Relatedly, we would like to recommend that, in the creation of a rubric, the calibration session, and hiring process, search committees should avoid inadvertently adopting or projecting unfair expectations for faculty to provide overall levels of service that go above and beyond that expected of other faculty in the program/department who are at the same stage. There is research, for instance, indicating that faculty from underrepresented groups often assume greater burdens and time-commitments due to desires or expectations placed on them to contribute to DEI work.¹

We are optimistic that the Diversity First approach will be successful. Given that DEI work is too often “invisible” or undervalued, we hope that this initiative, and the faculty who make significant contributions to DEI, will be supported by further efforts by the administration, divisions, and departments to recognize and reward the value of DEI efforts in faculty reviews and promotions.

¹ See, for instance, <https://www.insidehighered.com/news/2019/06/04/whos-doing-heavy-lifting-terms-diversity-and-inclusion-work>

Sincerely,



David Lee Cuthbert, Chair
Committee on Educational Policy

cc: Sylvanna Falcón, Chair, Committee on Affirmative Action and Diversity
Stefano Profumo, Chair, Committee on Academic Personnel
Dard Neuman, Chair, Committee on Planning and Budget
Andrew Fisher, Chair, Graduate Council
Alexander Sher, Chair, Committee on Faculty Welfare
Senate Executive Committee

April 27, 2023

Patty Gallagher, Chair
Academic Senate

Re: Divisional Review – Recommendations for Inclusive Faculty Hiring

Dear Patty,

During its meeting of April 6, 2023, the Committee on Faculty Welfare (CFW) discussed VPAA Lee's request for feedback and possible endorsement of a two-document first-round screening approach for faculty hiring which is aimed to enhance inclusive hiring and promote faculty diversity.

CFW supports the recommendation to use the statement of contributions to diversity, equity, and inclusion (DEI) together with teaching and or research statements as the basis for the first round of the review of applicants. At the same time, members emphasized that it is vitally important that this remains a recommendation, not a policy. Departments should retain the ability to choose the process that results in the best overall outcome given the specifics of the search. The increased emphasis on DEI contributions coupled with the flexibility of the process should result in the campus gaining more faculty that will work to increase DEI at UCSC.

CFW notes the importance of the training aimed at the correct evaluation of the DEI statements. Faculty members that recently experienced the facilitated calibration sessions for evaluating the statements of contributions to diversity, equity, and inclusion found the process to be very productive. They noted that it was valuable to be able to make adjustments to the process based on the unique needs of the search and that these adjustments were supported by VPAA. Members noted that the degree of flexibility with these steps worked well and will result in successful hires.

CFW strongly recommends that applicants are informed about the importance of the DEI statement as it may be the first document that is reviewed in the application process. Ideally, the applicants would be provided with guidelines on how the DEI statement will be evaluated. It is also important to define review guidelines that take into account that some applicants will be more familiar than others with the UC system and the DEI efforts. The reviewers should evaluate the applicants with this knowledge to ensure an equitable process.

DEI is a new criteria in the historical sense. Diversity is not based exclusively on gender or ethnicity but contextualized by the contributions a candidate will bring to DEI in their particular field. We are going through an evolutionary process of defining what are the specific criteria for choosing best candidates, and how to apply such criteria. We believe that flexibility is the key to success in this important endeavor. CFW strongly recommends that the Deans support this flexibility by authorizing the departments and search committees to implement this new criteria as it best suits their fields of study.

Thank you for the opportunity to provide feedback.

Sincerely,



Alexander Sher, Chair
Committee on Faculty Welfare

cc: Sylvanna Falcón, Chair, Committee on Affirmative Action and Diversity
Stefano Profumo, Chair, Committee on Academic Personnel
Dard Neuman, Chair, Committee on Planning and Budget
David Cuthbert, Chair, Committee on Educational Policy
Andy Fisher, Chair, Committee on Graduate Council
Senate Executive Committee

April 26, 2023

Patty Gallagher, Chair
Academic Senate

Re: Divisional Review – Recommendations for Inclusive Faculty Hiring

Dear Patty,

The Committee on Planning and Budget (CPB) discussed the request for feedback from VPAA Lee regarding a two-document initial screening for faculty recruitment as a campus best practice, with the two documents being the Diversity, Equity, and Inclusion (DEI) statement and a second document, normally either research or teaching statements.

CPB appreciates the opportunity to provide comments. As might be expected, there were a range of opinions and a vigorous discussion about best practices for recruitment. **CPB unanimously supports the use of the DEI document in initial review, and fully supports moving away from an initial “DEI-only” review process.** CPB also recognizes that use of DEI statements is still an experiment for both UCSC and more broadly, academia, and we suggest that rather than codifying this as a “best practice” it be considered a refinement subject to further analysis as more information is gathered about the efficacy of the approach.

In reviewing the proposal CPB referred to current literature discussing the use and outcomes of DEI statements in recruitment¹. CPB applauds the campus for largely following what is identified as best practice in that analysis, but cautions that a significant finding from that study was that “research that explores psychometric properties of DEI statements is nonexistent.” As such, CPB recommends that the use of DEI statements be considered a work in progress, and that systematic assessment and outcomes be tracked, with adjustments made as necessary.

CPB also suggests that an alternative approach would be to conduct a “holistic” initial review that includes all of the requested statements (DEI, research, teaching, service) but excludes initial review of letters, CV, etc. This would accomplish essentially the same goal with a slight increase in effort by the search committee while aligning the review with expectations for a faculty member, i.e. personnel review includes evaluation of DEI, teaching, research, and service.

The rationale for this recommendation is two-fold. First, DEI activities are often interwoven across all activities, and it can be difficult to fully assess DEI contributions if only a few documents are reviewed. Many times, a candidate must choose whether to put a DEI activity or outcome in a particular statement, or risk being redundant by including it in more than one statement. Second, there is a considerable burden, particularly for junior candidates who are applying for multiple positions, in preparing the multiple documents now requested in job searches. It does the candidate a disservice for UCSC to request the documents and then not use them effectively in the first round of review. CPB therefore fully supports continued use of the DEI statement during initial candidate screening but recommends some flexibility in how individual departments and divisions implement the use of statements.

Sincerely,



Dard Neuman, Chair
Committee on Planning and Budget

¹ Ficht, L.S. and Levashina, J., 2023. Should DEI statements be included in faculty selection? Exploring legal, diversity, and validity issues. *International Journal of Selection and Assessment*.

cc: CAAD Chair Falcón
CAP Chair Profumo
CEP Chair Cuthbert
GC Chair Fisher
CFW Chair Sher