

## COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY 2014-15 Annual Report

To: Academic Senate, Santa Cruz Division

The Committee on Affirmative Action and Diversity (CAAD) undertakes studies of policies and practices regarding affirmative action, diversity, and equity, makes recommendations to appropriate campus bodies, and regularly confers with other administrative units and Senate committees about a broad range of issues related to diversity, equity, and inclusion. CAAD has primarily concentrated on issues pertaining to faculty climate, diversity, and inclusion. A major focus for CAAD this year has been the policy and process for Senate faculty waivers of open recruitment, and the committee has collaborated extensively with the administration to bring about changes to the campus policy (CAPM 101.000). CAAD has also focused on addressing issues of campus climate and microaggressions, with a focus on familiarizing itself with the scholarship on microaggressions and its impacts on both individuals and institutions as well as best practices for addressing microaggressions at the campus level. The committee has also continued its annual monitoring of campus faculty data, and reviewed the *Report on Faculty Salary Equity at the University of California Santa Cruz* (January 2015). As part of the committee's routine business, CAAD has issued statements on diversity implications of proposed policies and programs at the local and systemwide levels.

### **CAPM 101.000: Waiver of Open Recruitments for Senate Faculty Positions**

A major focus for CAAD this year has been the issue and process for campus waivers of open recruitment. This issue was brought to the fore by three factors: the increased number of waiver of open recruitment proposals reviewed by CAAD in recent years, lack of clarity about CAAD's role in the waiver review process and how committee input is taken into consideration as it advises the Chancellor on waiver proposals, and questions about the impact of waivers of open recruitment on faculty diversity. CAAD's concerns with this issue originated before this academic year; for example, in 2013-14, CAAD reviewed earlier proposed changes to the campus policy on waivers for open recruitments and recommended that all candidates for proposals of waivers of open recruitment submit a diversity statement to be included in the proposal, and CAAD remarked that the proposed CAPM 101.000 policy, as then articulated, marginalized the significance of contributions to diversity in relation to the policies it sought to replace (January 2014).

CAAD's analysis this year began with a review of the current process and internal deliberation about how to increase the effectiveness of the committee's advisory role. CAAD requested and received data from the campus Academic Personnel Office (APO) on diversity of waiver of open recruitments in relation to diversity of the campus as well as an updated summary of waiver of open recruitment searches and hires by division for the past five years.

The committee also worked collaboratively with the administration to bring about changes to CAPM 101.000 that redress problems institutionalized in the previous revisions to the policy. In December 2014, CAAD consulted with Chancellor Blumenthal on this broad set of issues, and also recommended changes to CAPM 101.000 for the Chancellor to consider, including 1) requiring candidate diversity statements as part of the waiver proposal, and 2) requiring that both Target of Excellence (TOE) and Spousal/Partner waiver proposals be treated consistently in

waivers and that both types “must” include a discussion of past and/or potential diversity contributions in teaching, research and service. Currently, CAPM 101.000 policy states that TOE requests “must” address and Spousal/Partner requests “should” address this issue. The consultation helped the committee better understand how its feedback is taken into account during the waiver process, and Chancellor confirmed support for both of these recommendations. In follow up communication with Chancellor Blumenthal (December 12, 2014 and February 27, 2015), the committee requested response on the two issues noted above and asked the Chancellor to review the committee’s planned communication to Deans and Chairs on the issue of diversity contributions in waiver of open recruitment proposals. The committee has noted that proposals do not consistently discuss the diversity contributions of waiver candidates in their proposals, as called for in CAPM 101.000, and this communication to deans is intended to clarify this aspect, as well as CAAD’s role in its review of waiver proposals. CAAD also obtained a commitment from Associate Chancellor Sahni (present at this consultation with the Chancellor on December 1, 2014) that the Office of Diversity, Equity, and Inclusion would track data on the diversity of waiver of open recruitment hires compared to open hires, and present this data annually to the committee.

In parallel with this administrative collaboration, CAAD decided that waivers of open recruitment review responses would now include comments tracking the number of waiver requests reviewed by the committee, as well as the frequency of waiver requests for the past five years for the requesting division, drawn from the data provided by APO. The letters would also explicitly note when deans and chairs submit proposals without discussion of past and/or potential contributions to diversity in teaching, research, and/or service of the candidate, which hinders the committee's ability to fulfill its charge of evaluating past or potential contributions to diversity. This change is intended to help the administration stay abreast of the possible impact of the waiver process on fair hiring and to increase the effectiveness of the committee’s advisory role.

CAAD sustained its focus and collaboration with the administration on this issue, and Chancellor Blumenthal communicated his revised decision to CAAD on April 16, 2015, in which he reiterated earlier support for requiring TOE candidate diversity statements in waiver of open recruitment proposals. However, he noted that this requirement would not be extended to Spousal/Domestic Partner waiver proposals.

On April 27, 2015, the Senate was asked to comment on a new set of proposed revisions to CAPM 101.000. The revisions included 1) the requirement of a divisional permanent faculty provision for all proposals, 2) requirement for TOE proposals to include a statement from the candidate addressing their past and/or potential contributions to diversity through their research/creative work, teaching, and/or service, 3) changes to the process for reviewing and submitting proposals. In its response, CAAD made the following specific suggestions for a revised CAPM 101.000 policy:

- Correction of an oversight agreed to by the administration and missing in the revised policy: Chancellor Blumenthal expressed support (confirmed via email by Associate Chancellor Sahni), that the new policy would explicitly state that proposals for both TOE and Spousal/Partner waivers “*must* include a discussion of how the individual either contributed to diversity through their research, teaching, and /or service in their past work, or how they may contribute to diversity through their research, teaching, and/or service in

their position at UCSC” (emphasis added). Currently TOE proposals state “must” and Spousal/Partner waivers state “should” include the discussion.

- Correction of a second oversight: Section G of the proposed revised policy states that, “As noted above, departments are also encouraged to ask candidates to consider submitting a statement addressing their past contributions to diversity through research/creative work, teaching, and/or service, and their plans for contributing to diversity at UCSC.” This section is inconsistent with the rest of the policy and should clarify that candidate diversity statements are *required* for TOE waiver proposals.
- Clarification of CAAD review in Spousal/Partner waivers: Section B.2.a. reads in part, “If the recruitment or retention is in a department other than the hiring department, the dean shall address the situation leading to the request for a waiver...” CAAD recommended that the following be added to “including the diversity contributions of the recruitment or retention candidate.” Deans and Chairs should be able to comment, and CAAD should be able to evaluate and comment on, the retention case’s contributions to diversity. CAAD has reviewed examples where the diversity contributions of the faculty member being retained clearly strengthen the waiver proposal. Under the current language of CAPM 101.000 it is not clear whether these contributions can be considered, but CAAD’s position is that they should be.
- Recommendation for Informing Stakeholders of CAAD Review Decisions: Under current practice, Senate committee responses to waiver of open recruitment proposals are addressed to the EVC, with cc’s to the Chancellor, reviewing Senate committee Chairs, and APO analyst. CAAD recommended that the practice be amended so that cc’s also include the proposing Deans and Department Chairs. Deans and Department Chairs should be aware of committee input into the process. CAAD has found that despite policy requirements, Deans and Chairs do not consistently include a discussion of diversity contributions of the candidate in their letters, and receiving CAAD’s responses would be a positive step toward raising awareness of the importance of making sure all proposals are compliant with CAPM policy requirements.

While CAAD noted there were other changes proposed to CAPM 101.000, including changes to the process for reviewing and submitting proposals, the committee did not comment on these changes. The committee has delayed its planned communication to Deans and Chairs until the newly proposed revisions to current CAPM 101.000 policy are finalized, expected in fall 2015. The committee will continue to monitor this issue in the next year. In addition, the committee will also review data on how waiver of open recruitment hires contribute to diversity during its annual winter quarter consultation with Associate Chancellor Sahni on faculty diversity.

### **Microaggressions and Campus Climate**

The committee reviewed the UCSC Climate Study (2014) findings, a major focus for the committee in 2013-14. In spring quarter 2014, the committee requested further disaggregated data from the Office of the President, via Vice Provost of Academic Affairs and Campus Diversity Officer for Faculty Herbie Lee, but did not receive any additional data this academic year. The committee praised the efforts that went into the study, as well UCSC's plans to take measurable actions in response, and also raised several issues of concern after review of the findings report. The committee's 2013-14 annual report provides a summary of its review.

This year's committee reviewed the study findings again in an effort to deliberate next steps for the committee's goal of addressing faculty climate, an issue of high priority for the committee. Members discussed addressing the issue of microaggressions as one important aspect of campus climate. The committee's focus on microaggressions included review of research on the topic and literature on best practices, and consultation with faculty and administrators on campus working on issues of microaggressions (Associate Chancellor Ashish Sahni, Professor Christy Byrd, Assistant Campus Diversity Officer Sheree Marlowe). The committee is interested in identifying best practices at the institutional level, including institutional and group initiated spaces of support, as effective measures to reduce the experiences of microaggressions and improve the qualitative experience of campus climate for women and underrepresented groups. The committee will continue to work on this issue in the coming year.

### **Campus Faculty Data**

CAAD annually consults with Associate Chancellor Sahni, who presents faculty data, including data comparing faculty incumbency to national availability statistics. This year, CAAD also reviewed the *UCSC Affirmative Action Plan for Academic Employees (January–December 2015)*. This document provided the committee with insights that helped it to better understand and contextualize information on faculty incumbency, and in the future, the committee plans to review the *Affirmative Action Plan* prior to this annual consultation.

CAAD's review of the Affirmative Action Plan, a campus compliance document, raised among members both appreciation for the work being done by the campus to track progress on the recruitment and retention of a diverse faculty, and also a sense that more progress could be made to improve faculty diversity. CAAD expects to continue to actively address this issue. For example, the committee notes that the Affirmative Action Plan (page 10) calls for CAAD to meet "periodically with the Provost to discuss how to incorporate affirmative action and/or diversity into current efforts on campus. Examples are the campus's long range planning efforts and the implications of potential budget cuts on affirmative action." CAAD looks forward to the opportunity to provide input on the administration's approaches and plans for increasing faculty diversity. CAAD has also requested additional data for its annual consultation with Associate Chancellor Sahni, including data on Senate faculty by division over time to show trends in underrepresented faculty, data which could help elucidate impacts of past and current policies. The committee expects that review of this data as part of the annual consultation will allow for more in-depth discussions about faculty diversity, what progress we have made, and possibly, where work remains to be done as a campus. The committee looks forward to a broader and more proactive conversation with the administration on campus plans that address shared goals for increasing the diversity of our faculty in the next year.

### **Faculty Salary Equity Study Report**

CAAD reviewed the *Report on Faculty Salary Equity at the University of California Santa Cruz* (January 2015) during winter and spring quarters. The report resulted from a campus study conducted at the request of the Office of the President that sought to determine the relationship between gender and/or race/ethnicity and faculty advancement in terms of promotion or salary.<sup>1</sup> One key set of analyses included the faculty member's department as an explanatory variable. The report concluded that after taking into account department, "regression analysis did not find statistical evidence of any systematic difference in promotion growth by gender or race/ethnicity."

CAAD reviewed the report and critiqued the narrowly focused scope of the study for its limited ability to address the broader context of the continuing underrepresentation of women and minority faculty in some departments and at higher ranks. The committee also critiqued some of the conclusions drawn from the analyses, including the report's conclusion that some departments simply hire faculty near the top of their fields, in essence, that some departments hire "more excellent" faculty (who are hired at higher salaries and promoted more rapidly), while by implication other UCSC departments are not attracting excellent candidates. The committee is concerned with disparity in salary and promotion rate across departments as well as within. CAAD contends that this pattern needs to be probed further, and the campus ought to examine whether differences among departments in the culture of hiring and promotion are contributing to gender and racial inequities across our campus.

CAAD also critiqued the report's conclusion that "It is possible that departments with more women have stronger cultures of service, with more faculty doing *excessive service* that takes time away from their research" (emphasis added). The phrase "excessive service" is unhelpful in promoting a culture of shared governance and in recognizing multidimensional contributions to university excellence. Such contributions can in fact contribute to a positive campus climate and the enhancement of diversity. As a campus, we have an explicit commitment to rewarding excellence in research, teaching, and service, and the report as written inadvertently undermines this stated commitment.

Finally, to CAAD, the faculty salary equity study underscored the importance of aggressively promoting diversity and access in the fields that are high-paying and historically male dominated. Interestingly, at UCSC this is not only a problem in the STEM fields but was seen in the data across multiple divisions.

CAAD members are interested in how the report will influence practices on our campus that address differences in the culture of hiring and promotion. The report represented an opportunity to highlight both what the campus already does and what the campus plans to do to address the issue of faculty equity (for example, the mentoring program for faculty, and diversity training for hiring committees), and to communicate these efforts more widely across the campus. CAAD

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<sup>1</sup> The study report was prepared by the UCSC Institutional Research, Assessment and Policy Studies Office, and led by a steering committee chaired by VPAA Herbie Lee and including the 2013-14 chairs of several Senate committees (CAAD, Committee on Faculty Welfare, and Committee on Academic Personnel).

expects continued campus conversations on faculty salary and promotion equity in the next academic year.

### **Statements on Diversity Implications of Proposed Policies and Programs**

#### *Local and Systemwide Issue Review:*

In addition to the issues discussed in earlier sections of the report, the committee reviewed and commented on the following issues and/or policies:

#### Systemwide:

- Doctoral Student Support Proposals and Recommendations (November 2014)
- Final Review of APM 133-17-g-j (November 2014)
- Presidential Policy on Open Access (January 2015)
- Final Review of APM 210-1-d (May 2015)

#### Local:

- WASC Final Draft Report (January 2015)
- Senate Executive Committee's Framework for International Engagement (April 2015)
- Accessible Technology Plan (April 2015)
- Black Experience Team Vision Statement (May 2015)
- Campus Faculty Salary Equity Study Report (June 2015)
- ODEI Co-Funding Program (June 2015)
- UCSC Affirmative Action Plan: January-December 2015 (June 2015)

CAAD also reviewed eight waiver of open recruitment proposals (three Target of Excellence and five Spousal/Domestic Partner proposals). The committee raised concern about the number of proposals reviewed this year, and about how often proposals did not include a discussion (based upon clear evidence) of diversity contributions of the waiver candidate, limiting the committee's ability to comment on past and/or potential contributions to diversity in the areas of teaching, research, and/or service.

### **Consultations**

CAAD consulted with Chancellor Blumenthal on waiver of open recruitment proposals (December 2014), with Hispanic Serving Institution (HSI) Task Force Co-Chairs Professor Poblete and Director Reguerín (January 2015), with Associate Chancellor Sahni on the campus response to the Moreno Report (November 2014) and on campus faculty data (February 2015), with Psychology Professor Byrd on her research on microaggressions (April 2015), and with Assistant Campus Diversity Officer Marlowe on the campus Black Experience Team (BET) initiative and the Mentoring Program for Faculty (May 2015).

### **CAAD Representation**

Chair Parker served as the campus representative on the systemwide University Committee on Affirmative Action and Diversity (UCAAD) and on the Divisional Senate Executive Committee (SEC). Chair Parker represented CAAD on the Chancellor's Advisory Council on Campus Climate, Culture, and Inclusion, on the Martin Luther King Jr. Convocation organizing committee, and on the selection committee for the Chancellor's Achievement Award for Diversity, and at the

training workshop “Fostering Inclusive Excellence: Strategies and Tools for Department Chairs and Deans.”

Member Steve McKay represented CAAD on the Divisional Senate Executive Committee during fall quarter.

### **Continuing Issues for CAAD in 2015-16**

#### *Campus Climate*

The committee will continue to assess how to best support and build on campus efforts to address climate, including through the examination of issues that have been demonstrated to impact climate: microaggressions, faculty mentoring, and campus support initiatives.

#### *Faculty Equity and Inclusion*

The committee will consult with VPAA Lee on its response to the *Report on Faculty Salary Equity at the University of California Santa Cruz* (January 2015) and anticipates participating in continued systemwide discussion related to best practices for ensuring diverse applicant pools and diverse hires.

#### *Waiver of Open Recruitment Proposals*

CAAD will continue to monitor the progress of proposed revisions to CAPM 101.000 and proactively engage the administration, deans, and departments on this issue.

#### *Monitor trends in faculty diversity*

CAAD will collaborate with Associate Chancellor Sahni to monitor trends in faculty diversity over time.

Respectfully submitted;

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