

July 17, 2001

**ACADEMIC DEANS AND DEPARTMENT CHAIRS**

**RE: UC Affirmative Action Guidelines for Recruitment and Retention of Faculty**

I am pleased to forward to you a list of the recommendations from the State Auditor's report entitled, *"University of California: Some Campuses and Academic Departments Need to Take Additional Steps to Resolve Gender Disparities,"* and the newly revised *"University of California Affirmative Action Guidelines for Recruitment and Retention of Faculty"* President Atkinson has asked each campus to report to his office the procedures they have taken to employ audit recommendations specific to campus-level implementation.

Please address any questions or comments you may have on these documents to Associate Executive Vice Chancellor Herb Killackey and Assistant Executive Vice Chancellor Ron Wilson.



Michael R. Gottfredson  
Executive Vice Chancellor

attachments

C: Ralph Cicerone  
Herb Killackey  
Ron Wilson  
Assistant Deans





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June 28, 2001

CHANCELLORS ACADEMIC  
COUNCIL CHAIR

Dear Colleagues:

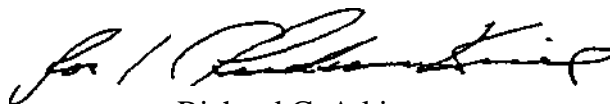
I am writing to draw your attention to the report from the State Auditor entitled *University of California: Some Campuses and Academic Departments Need to Take Additional Steps to Resolve Gender Disparities*, released on May 2, 2001 and available at <http://www.bsa.ca.gov/bsa/pdfs/2000131.pdf>. The report addressed hiring practices related to ladder rank faculty on nine UC campuses and made multiple recommendations that the University increase efforts and monitor results to ensure gender parity in faculty hiring. The State Auditor asked the University of California to respond within 60 days, six months, and one year regarding the University's efforts to implement the recommendations in the report that are within our statutory authority.

As I said in my letter of January 3, the issue of faculty diversity is of great importance to the University of California as we move into a decade of unprecedented growth. In addition to issues of gender parity, issues of racial and ethnic equity also must be addressed by the University's response to the audit of faculty hiring practices. As a first step in implementing the recommendations of the State Auditor, I am issuing new *University of California Affirmative Action Guidelines for Recruitment and Retention of Faculty* that have been revised as of June 1, 2001 to include new language reflecting the audit recommendations, recent changes in federal regulations, and other University of California initiatives to increase faculty diversity. Please review the enclosed guidelines and share them widely with your deans, department chairs, and academic administrators.

As a second step in implementing the recommendations of the State Auditor, I have prepared a summary list of the recommendations along with a preliminary discussion of strategies for implementation. I would like to draw your attention to the recommendations that the University include consideration of gender equity and equal opportunity at every stage in our academic planning process, and that deans and department chairs be evaluated annually on their efforts to promote principles of access, equity, and opportunity in all aspects of faculty hiring. I concur with the findings of the audit report that academic excellence requires fully utilizing the intellectual resources of our state in all its diversity.

For the recommendations that can be implemented at the system wide level, the Office of the President will be consulting with the campuses over the next few months to prepare an implementation strategy. For the recommendations that require campus-level implementation, I am asking you to share these recommendations with your campus and respond to me with a progress report on implementation by October 1, 2001 and April 2, 2002, in order for me to respond to the audit reporting deadlines. If you need assistance with the implementation of audit recommendations, Assistant Vice President Ellen Switkes (510-987-9479) and Executive Director Sheila O'Rourke (510-987-9499) in Academic Advancement are available for consultation. In all areas, I will look forward to continuing discussion about these issues and will be closely monitoring the progress toward implementation throughout the year.

Sincerely,



Richard C. Atkinson  
President

Enclosures:

1. Summary of Audit Recommendations and Strategies for Implementation
2. *University of California Affirmative Action Guidelines for Recruitment and Retention of Faculty* (revised June 1, 2001)

cc: Provost and Senior Vice President King  
General Counsel Holst  
Assistant Vice President Switkes  
Executive Director O'Rourke  
University Auditor Reed

**Bureau of State Audits Report:**  
*University of California: Some Campuses and Academic Departments Need to Take  
Additional Steps to Resolve Gender Disparities*

**Summary of Audit Recommendations and Strategies for Implementation**  
**University of California Office of the President**  
**May 2001**

The following recommendations reflect practices that are already in place at many of the University of California campuses and should be considered carefully for implementation at campuses where they are not yet a part of faculty hiring practices. The recommendations are taken directly from the Audit Report. The numbering is added to facilitate discussion.

**Audit Recommendation #1:**

1. **"To avoid inadvertently contributing to further gender disparities among professors while still allowing departments to meet their overall missions, UC should take the following actions:**
  - **Direct academic departments to more fully consider during the position allocation phase of the hiring process how new positions being requested will affect employment opportunities for women overall and the resulting gender parity of its professors, especially those positions above the assistant professor level and those in disciplines and specializations in which women are underutilized. These considerations should be documented in the departments' responses to the call letters issued by the executive vice chancellors.**
  - **Direct its deans to review the sufficiency of the departments' considerations of the effects that level of professor and disciplines or areas of specialization have on gender parity before authorizing departments to proceed further with the process for filling the position." (Audit Report, pages 58-59)**

**Implementation of Audit Recommendation #1:**

As stated in the University's formal written response to the audit (Audit Report pages 107-111), decisions made with regard to hiring faculty are perhaps the single most important exercise of academic judgment by our faculty and academic administration. Each faculty appointment is the product of careful consideration of many factors, including teaching needs, curricular development, research agendas, graduate student programs, and available funding. The consideration of equal opportunity for women and minority scholars who are qualified to join the UC faculty is properly placed among these factors. It is usually the practice on most campuses to hire at the assistant or early associate professor level unless there are sound academic justifications for hiring at a senior level. The implementation of this recommendation is consistent with current University practices regarding faculty hiring and also supports the University's commitment to equal employment opportunity in academic personnel practices.

## **Audit Recommendation #2:**

2. **"To take advantage of the differing perspectives that women can offer in the search for new professors, UC should take the following actions:**
  - **Avoid using all-male or predominantly male search committees.**
  - **Encourage departments to consider, whenever appropriate, participation by female professors from other departments on search committees.**
  - **Develop alternatives to its current search committee methods. For example, it should consider whether any departments on any campuses are interested in participating in regional or statewide selection committees... [or] other specific alternatives for avoiding all-male or predominantly male search committees." (Audit Report, page 59)**

## Implementation of Audit Recommendation #2:

While the University agrees that diverse perspectives on a search committee are important for ensuring equal opportunity in our selection procedures, campuses should be careful not to implement this recommendation in a manner that will add to a disproportionate service burden on women faculty. At a minimum, campus policies should encourage departments to make efforts to appoint search committees that represent a diverse cross section of faculty perspectives. Search committees may include junior as well as senior faculty, graduate student representatives, and/or may include individuals outside the department where such participation will serve the needs of the department and add different perspectives to the search process. Campus policies also should require each search committee to include one or more members who will ensure that the search process follows equal opportunity guidelines for women and minority candidates. Search committee chairs and department chairs should take responsibility to ensure that all members of search committees are well informed about affirmative action policies.

## **Audit Recommendations #3, 4, 5 & 6:**

3. **"To help ensure that searches for professors are properly conducted, UC should take the following actions:**
  - **Require search committees to prepare written search plans that describe, at a minimum, the advertising channels to be used, the position announcements to be used in advertising and the criteria and processes to be used to select the winning candidates.**
  - **Require search committees to incorporate underutilization data into their search plans, together with strategies for achieving recruitment goals." (Audit Report, pages 59-60)**
4. **"To help assess the success of outreach efforts by search committees in recruiting female applicants and in monitoring the inclusiveness of its hiring process, UC**

**should compare the proportion of women in the total applicant pool to the proportion in the labor pool as soon as possible after departments have received applications. If the proportion is not comparable, UC should consider performing additional outreach to identify a broader applicant pool." (Audit Report, page 60)**

- 5. "To help increase the number of female applicants, UC should explore alternative methods of reaching potential female applicants when outreach methods prove ineffective. Such methods can include expanding efforts to make personal contact at various functions both off and on campus and identifying ways to collaborate with other campuses in their outreach efforts. ... UC should require that at least two members of each search committee review application materials submitted by candidates. ...UC should require search committees to prepare deselection documents that describe the reasons for rejecting candidates. When necessary, deans or department chairs could then review these documents." (Audit Report, page 60)**
- 6. "To ensure that addressing gender parity concerns remains a priority on campuses, UC should do the following: Include an assessment of the contributions of deans and department chairs to address issues related to the lack of gender parity as part of their evaluations. Evaluate all deans and department chairs on their efforts to address gender parity more frequently than every 5 years." (Audit Report, page 61)**

#### Implementation of Audit Recommendations #3, 4, 5 & 6:

These four sets of recommendations reflect affirmative action "best practices" that are consistent with federal affirmative action regulations and already in place in many departments. Each campus should develop plans to implement these practices consistently across all academic departments. Academic administrators at each campus should initiate discussions with deans and department chairs to evaluate how these practices may strengthen existing academic affirmative action programs for faculty hiring. Each campus should implement procedures for an annual review of hiring practices and affirmative action efforts for each department and division.

#### **Audit Recommendations #7 & 8:**

- 7. "To better enable it to identify potential gender parity issues across campus and discipline lines, UC should devise and implement a uniform method for calculating bench mark data. Additionally, UC should centrally collect applicable hiring data, compare the data with its benchmark data and determine whether departments need to take action to address gender parity concerns." (Audit Report, page 60)**
- 8. "To help ensure that salary disparities between female and male professors do not go unnoticed or unjustified, UC should periodically perform summary-level salary**

**reviews at a system wide and campus level to identify patterns indicating whether female professors are typically receiving lower or higher salaries than male professors receive when other salary predictors are the same. When it identifies apparent salary disparities, DC should identify the reasons why the disparities exist and, if necessary, take appropriate action to correct any inequities." (Audit Report, page 72)**

Implementation of Audit Recommendations #7 & 8:

The staff at UCOP will work with campus academic personnel and affirmative action administrators to develop a uniform method for all campuses to calculate bench mark (availability) data that can be incorporated into existing campus affirmative action plans that are produced pursuant to federal requirements. Each campus will continue to be responsible for comparing benchmark data to hiring activities and determining whether action needs to be taken to improve equal opportunity in accordance with federal affirmative action regulations. UCOP will centrally collect the campuses' analyses of hiring and benchmark data and monitor campus plans for taking action to address any problem areas. In addition, UCOP will perform summary level salary reviews of newly hired professors annually and work with campuses to resolve any areas of apparent disparities on the basis of race, ethnicity or gender.

**Audit Recommendation #9:**

- 9. "To increase the level of excellence, UC should take the following actions:**
- Redefine its concept of excellence to encompass a broader vision- one that recognizes that the full use of a talent pool that includes female professors can generate new ideas and new research areas, and productivity.**
  - Consider working with university rating organizations to incorporate gender parity among professors into their definition of excellence." (Audit Report, page 60)**

Implementation of Audit Recommendation #9:

At the Academic Planning Retreat on March 7, 2001, the Chancellors and the members of the Academic Council reiterated the University of California's commitment to insure academic excellence by increasing attention to issues of multiculturalism, economic opportunity and educational equity. In order to meet the challenge of serving a state that is growing in ethnic diversity and struggling with disparities in economic and educational opportunity, the University of California must ensure that these issues are reflected strongly in the teaching, curriculum and research programs on each campus. In a letter dated January 3, 2001, the President committed additional funding for start-up research to support new faculty appointees who meet designated criteria for contributing to the diversity of the campus community by their research, teaching or service records.

In addition, several campuses are implementing their own initiatives to develop curricular programs that reflect the value of diversity in achieving academic excellence. For example, the Santa Cruz campus has created the Campus Curriculum Initiative aimed at "defining a curriculum that deals with present day societal issues related to gender, race, ethnicity and culture," and supports recruitments for eight new faculty positions in key academic areas to be hired over the next three years. As another example, the San Diego campus has created an initiative called "California Cultures in Comparative Perspective" which is a joint venture of the Divisions of Social Sciences and Arts and Humanities and will focus on broad implications of the expansion of the state's native minority and immigrant populations. The University applauds these efforts and encourages each campus to include the discussion of the importance of diversity and equal opportunity in achieving academic excellence as part of the campus academic planning process and also part of the campus's work with university rating organizations.