

DRAFT Rubric developed by HE Justice, Equity, Diversity, & Inclusion (JEDI) Committee for Evaluating Contributions to Diversity, Equity, & Inclusion (DEI) for Faculty Appointment, Promotion, Merit, & Appraisal

V. 5/9/2022

The following draft rubric was developed by relying on the UCOP Academic Personnel and Programs guidance on evaluating contributions to diversity for faculty in appointment and promotion in accordance with APM 210-d (referred to as [UCOP Academic Guidance](#) throughout) and by consulting similar efforts at [UC Berkeley](#) and the [University of Washington](#). We note that increasingly comparable academic institutions are developing both resources for faculty reporting of their contributions to DEI and guidance on evaluating potential academic hires on these contributions. Based on our search of similarly situated institutions of higher learning, there is a lag in developing or applying these evaluations to faculty personnel actions related to merits, appraisals, tenure, and promotion. To this end, we have drawn on these relevant resources to develop guidance for evaluating academic personnel's contributions to DEI in the merit, appraisal, tenure, and promotion processes.

The APM 210-d stipulates that faculty are required to be evaluated on their contributions to DEI. A diversity statement is optional for promotion, merit, and appraisal actions but could be useful in communicating such contributions if they are not addressed sufficiently in the candidate statement. Here we focus on a rubric to guide faculty in this evaluation.

VALUES

The [Principles of Community](#) guide discussion and decision-making across the University. We value a supportive approach that works towards acknowledging individual strengths. There is no one size fits all approach to DEI contributions. It is important to recognize contributions and the efforts it takes to advance DEI across research, teaching, and service.

HOW TO USE THIS TOOL

This rubric is not a checklist. This rubric helps faculty to evaluate important and impactful contributions to research-, teaching-, and service-related contributions to DEI. This rubric also can be used to aid candidates in developing their own diversity statements. Candidates are encouraged to use examples from their own work on how they advance DEI across research, teaching, and service. Some contributions may occur across different areas of assessment and there may be overlap.

UC DAVIS ACADEMIC AFFAIRS GUIDANCE

“Use the Statement of Contributions to diversity, equity, and inclusion (DEI) in your MIV dossier to explain how they intersect with the three pillars in APM 210 and 220. Faculty do not receive an additional half-step for contributions to DEI alone. Important and impactful contributions can raise research, teaching, and service to ‘outstanding.’” In addition, we also suggest considering contributions to DEI in candidate statements.

UCOP GUIDANCE ON CRITERIA FOR EVALUATING CONTRIBUTIONS TO DIVERSITY ([APM 210](#))

As cited in the UCOP Academic Guidance on Evaluating Contributions to Diversity for Faculty, we reproduce here relevant passages on contributions to diversity across the three majors areas of assessment, teaching, research and other creative work, and professional activity. Below we provide a rubric with exemplars drawn from the above mentioned relevant resources to assist faculty in their assessments.

From UCOP Academic Guidance (p. 3) “Criteria enumerated in APM - 210-d serve as guides rather than boundaries for minimum standards for evaluating performance in (1) teaching, (2) research and other creative work, (3) professional activity, and (4) University and public service:

(1) Teaching

In judging the effectiveness of a candidate’s teaching, the committee should consider... [the] extent and skill of the candidate’s participation in the general guidance, mentoring and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students, including development of particularly effective strategies for the educational advancement of students in various under-represented groups. Among significant types of evidence of teaching effectiveness are development of new and effective techniques of instruction, including techniques that meet the needs of students from groups that are under-represented in the field of instruction.

(2) Research and Other Creative Work

Textbooks, reports, circulars, and similar publications normally are considered evidence of teaching ability or public service. However, contributions by faculty members to the professional literature or to the advancement of professional practice or professional education, including contributions to the advancement of equitable access and diversity in education should be judged creative work when they present new ideas or original scholarly work.

(3) Professional Activity

The candidate's professional activities should be scrutinized for evidence of achievement and leadership in the field and of demonstrated progressiveness in the development or utilization of new approaches and techniques for the solution of professional problems, including those that specifically address the professional advancement of individuals in under-represented groups in the candidate's field.

(4) University and Public Service

Contributions to student welfare through service on student-faculty committees and as advisers to student organizations should be recognized as evidence, as should contributions furthering diversity and equal opportunity within the University through participation in such activities as recruitment, retention, and mentoring of scholars and students."

RUBRIC WITH EXEMPLARS AND GUIDANCE FOR ASSESSING CONTRIBUTIONS TO DIVERSITY IN ACADEMIC ACTIONS

Here we provide a rubric with examples to aid faculty in their development of diversity statements and assessments of academic personnel actions. These are select examples, for more extensive examples and information see [UCOP Academic Guidance](#). The categories of assessment are aligned with those for the Step+ system: above expectations, meets expectations, does not meet expectations, and not applicable.

From [UCOP Academic Guidance \(p. 3-5\)](#) regarding appointment and promotion guidelines, "APM - 210-1-d provides clear guidance for both review and appointment of a faculty that is dedicated to the diverse goals of UC...These are examples and not an exhaustive list; other activities may also fit the guidelines described in APM - 210." Please note the expectation is not for candidates to be above expectations for each area of assessment. This rubric is not exhaustive and is intended as a helpful tool. There are examples of DEI contributions that are not accounted for in this rubric.

Areas of Assessment	Examples of Activities Contributing to DEI	Above expectations	Meets expectations	Below expectations	N/A
Research and Other Creative Work					
Research contributions to diversity and equity	<ul style="list-style-type: none"> ● Health disparities, educational access and achievement, political engagement, economic justice, social mobility, civil and human rights ● Questions of interest to communities historically excluded by higher education ● Evidence of intersectional and/or interdisciplinary research that contributes to diversity of thought and approaches including diverse use of methodologies, tools, and samples ● Artistic expression and cultural production that reflects culturally diverse communities or voices not well represented in the arts, humanities, sciences, or social sciences 				
Research contributions to understanding the barriers facing women and historically marginalized groups in academic disciplines	<ul style="list-style-type: none"> ● Studying patterns of participation and advancement of women and marginalized groups in fields where they are under-represented ● Studying socio-cultural issues confronting under-represented students in college preparation curricula ● Evaluating programs, curricula, teaching strategies designed to enhance participation of under-represented students in higher education (<i>primarily relevant for Federation Faculty</i>) 				
Teaching and Mentorship					
Teaching: Contributions to pedagogies addressing different populations	<ul style="list-style-type: none"> ● Designing courses that are inclusive and/or meet the needs of historically disadvantaged or under-resourced students ● Developing effective teaching strategies that promote inclusive excellence and the advancement of students from 				

¹ Examples taken directly from

	<p>historically under-represented groups</p> <ul style="list-style-type: none"> • Demonstrates an understanding of unconscious bias and creates equitable learning spaces • Addresses diversity and promotes inclusive excellence in teaching including teaching content (e.g., syllabi content, methodological approaches, guest speakers (including those with different positionalities), and understudied communities • Commitment to developing and revising course content and strategies (e.g., attending trainings, responsiveness to student concerns and feedback) 				
<p>Mentorship: Experience teaching, advising, and mentoring students who are historically under-represented</p>	<ul style="list-style-type: none"> • Advising and mentoring women and historically marginalized students including K-12, undergraduate and graduate levels • Demonstrated inclusive excellence for recruitment and retention of junior scholars and students (e.g., post-docs, project scientists, etc.) and promoting their advancement, well-being, and professional development (e.g., graduate on-time, job placement, going on to graduate school, scholarly publication) • Advising and mentoring women and junior colleagues (i.e., post-docs, junior faculty, visiting scholars) • Exceptional record mentoring students and junior faculty from groups historically under-represented in the field 				
University and Public Service					
<p>University Service: Participation in service that applies up-to-date knowledge to problems, issues, and concerns of groups historically under-represented in higher education</p>	<ul style="list-style-type: none"> • Serving on DEI committees at the department, college, university, and system-wide levels and/or advancing contributions to DEI through other university service (e.g., through different committees) • Evidence of broad involvement with diversity work on campus (with students, faculty/staff, or leadership) • Participation in targeted recruitment, and retention activities of scholars (e.g., faculty, post-docs, etc.) for the university (including department, college, etc.) 				

	<ul style="list-style-type: none"> • Service as an advisor to programs that advance DEI (e.g., Women in Science and Engineering) 				
Public Outreach:	<ul style="list-style-type: none"> • Presentations or performances for under-represented communities • Honors, awards, and other forms of special recognition from local or national groups or societies representing under-served communities • The application of theory to real-world economic, social, and community development problems • Election to office, or undertaking service to professional and learning societies, including editorial work, or peer reviewing for a national or international organization addressing disparities (in access to higher education) • Selection for special public service activities and invitations to give talks within the field that address the needs of under-represented or culturally diverse groups • Participation in professional or scientific associations or meetings presentations related to the needs of communities historically marginalized (excluded from higher education); engagement in seminar, conferences or institutes that address concerns of under-represented groups • Record of community engagement around social, health, and environmental justice issues and community action 				

SUGGESTIONS FOR OPERATIONALLY DEFINING CRITERIA CATEGORIES

In thinking about what constitutes below expectations, meets expectations, and above expectations, we offer several examples of how different activities can be considered in an overall evaluation of DEI efforts. To reiterate, the current expectation is not that faculty are performing in each of the three areas – research, teaching, and service – but that there are some contributions to advancing DEI in at least one of the performance areas. Below expectations would be not making any contributions to DEI. Meeting expectations could be that DEI are considered and presented in the dossier. Above expectations would need evidence of substantial time commitment and/or impact within any given area or multiple areas of assessment. For example, potential benefits and impact could be communicated regarding DEI contributions. As a reminder, the APM 210-d stipulates that faculty are required to be evaluated on their contributions to DEI. A diversity statement is optional for promotion, merit, and appraisal actions but could be useful in communicating such contributions if they are not addressed sufficiently in the candidate statement. Finally, as a reminder, contributions to DEI in one the three areas of assessment can provide an additional half-step bump in that area, but DEI contribution cannot by itself merit an additional half step.