

**Report to the Academic Council
Task Force on Diversity
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EXECUTIVE SUMMARY

The Academic Council of Duke University passed a resolution on February 20, 2014, creating a Diversity Task Force (DTF or Task Force). The Task Force was charged with articulating a vision for a diverse and inclusive Duke, assessing Duke's current position relative to this vision, and recommending actions designed to achieve this vision. Although the Council did not limit the Task Force in terms of coverage, the Task Force focused on faculty diversity in the 2014-2015 academic year. The attached document represents the DTF's Final Report, which includes Recommendations to the Academic Council, senior administrators, and other faculty at Duke.

Duke's History and Expanding Conceptions of Diversity

Duke has undertaken several initiatives to increase faculty diversity since the late 1980s. These efforts initially focused on increasing the number of Black faculty and were later expanded to include other underrepresented racial groups and women. The number of faculty in these groups has increased at Duke over the past 25 years, but in some cases by small numbers, and unevenly across departments and schools. The DTF concludes that focused efforts to increase and retain underrepresented minority and female faculty remain essential, and proposes that Duke extend this focus to include LGBTQ faculty. Expanded notions of diversity should also be considered to ensure a vibrant intellectual community among Duke faculty, including ideological/political diversity, religious background, and nation of origin and training, among others.

It is not only important to increase demographic diversity, but also to develop a culture of inclusion. Inclusion does not mean extending a hand of "welcome" or "hospitality" to women and underrepresented groups, for this accords these groups the status of guests in someone else's home. Rather, Duke must aspire proactively to create a culture that values and respects difference as a necessary component of the University. In an inclusive community, members of underrepresented groups are treated as essential members whose presence will transform and reshape the University's core identity in positive ways.

The Value of Diversity

Duke benefits from greater diversity. Key arguments for the value of diversity include humanistic conceptions of the inherent worth of difference; redress for past wrongs and continuing inequality; improved teaching and scholarly productivity; and student needs for diverse role models. Some of these rationales resonate more strongly than others for some individuals, but the DTF concludes that there are a multitude of positive reasons why a diverse faculty advances Duke's teaching, research, and service mission.

Faculty Demographics

The faculty at Duke has grown by approximately one-third in the past decade, with the addition of far more non-tenure-track (67% increase) than tenure-track (11% increase) regular rank faculty. Over the same period, the percentage of female faculty rose from 30% to 36%. The proportion of non-White faculty remains low, but there have been modest gains in the percentages of Black (3.8 to 4.4%) and Hispanic (1.8 to 2.6%) faculty. Comparisons of underrepresented faculty percentages to other universities, through the Association of American Universities Data Exchange (AAUDE), show that the percentage of Duke female faculty is lower than AAUDE schools. The percentages of Duke underrepresented minority faculty are within +/- 2% of those at AAUDE schools, but the faculty at all AAUDE schools are less diverse than their student populations and the U.S. as a whole.

Best Practices

The DTF researched best practices related to faculty diversity, and collected information from both internal and external sources. The internal sources include Duke faculty, administrators, staff, and students. The external sources include documentation of practices at institutions viewed as leaders in the area of diversity and inclusion, scholarly literature, and resources provided by organizations such as the American Association of University Professors and the National Science Foundation Advance program. The findings show that leadership, institutional commitment, a culture of inclusion, and methods of countering bias and common misperceptions are critical to achieving a diverse community.

General Conclusions

In assessing past efforts, evaluating Duke's current circumstances, and imagining the future, the DTF has reached the following, broad conclusions:

- Diversity and inclusion are critically important to Duke's mission, and sustained, systematic efforts to increase faculty diversity are needed;
- Duke's focus must be on **both** demographic diversity and inclusion;
- There is ample justification for maintaining a focus on race, gender and ethnicity in seeking to diversify the faculty, but Duke should consider expanding conceptions of diversity;
- Existing mechanisms, policies, and procedures must be strengthened to secure and maintain a diverse and inclusive environment;
- All members of the faculty and of the administration are responsible for, and must be actively committed to, advancing diversity and inclusion.

Recommendations

The DTF recommends:

- That University leaders exhibit a visible commitment to, and adopt an official position statement regarding, diversity and inclusion;
- Structural and functional changes to provide effective resources for faculty, to improve communication among schools and administrative entities, and to increase accountability;
- That each School and Department/Division create a Faculty Diversity Standing Committee that works with the Dean/Chair to formulate a Diversity Plan;
- Enhanced training in diversity and inclusion for faculty, particularly those directly involved in hiring, promotion, tenure, and mentoring processes;
- Expansion of hiring programs to increase faculty diversity, modeled on the Target of Opportunity Program;
- Communication of best practices to faculty search committees ;
- Improving retention through community building, mentoring, and other programs to support all faculty, with particular attention to underrepresented groups;
- Increasing the routine sharing of data to improve transparency.

Next Steps

Implementation of these Recommendations requires a robust partnership between faculty and administrators. The Task Force proposes that the Executive Committee of the Academic Council work with the Provost and other key administrators during the Summer and Fall of 2015 to discuss implementing these Recommendations. We further suggest the formation of future task forces to examine issues of diversity and inclusion as they relate to students/post-docs and staff.

I. INTRODUCTION

Duke University is a vibrant intellectual community. In partnership with administrators and students, Duke faculty have forged innovative programs within and across disciplines, and have directed attention to domestic and global challenges with complex cultural and social dimensions. Duke is a world leader in research and education in part due to its diversity. As local, national, and international communities become more diverse and interconnected, Duke has an opportunity to build upon its success by fostering greater diversity and inclusion among the faculty. Indeed, to maintain its influence and leadership position, it is imperative that Duke recruit broadly for excellence from among previously untapped talent pools.

This Report aims to strengthen the Duke community by reflecting upon Duke's past, assessing its current status, and making specific recommendations for the future. The Diversity Task Force (DTF) has examined faculty demographics; listened to the perspectives of faculty and administrators; studied existing hiring, promotion, and retention policies and procedures; and examined structures and practices in place at Duke and elsewhere for promoting diverse and inclusive environments. Two key themes have emerged from our efforts:

1. Demographic diversity alone is not a sufficient goal. Duke must simultaneously create a culture of inclusion where all individuals have a voice and feel safe, supported, and valued.
2. Fostering greater diversity and inclusion requires shared commitment and collaboration between administrators and faculty. We are *all* responsible, both individually and collectively, for ensuring that Duke maximizes its potential, and we must *all* lead with courage and determination.

These themes are reflected in the attention that this Report gives to conceptualizing diversity and inclusion, to analyzing demographic data, to examining institutional structures, and to advocating for broad-based actions. Amidst calls for fair treatment, safe environments, and equal compensation, Duke has a choice whether to lead or to follow other institutions.

The Report is organized into Eight Parts. Part Two reviews the creation and charge of the Task Force. Part Three reviews Duke's history, examines different types of diversity, and explores the related concept of inclusion. Part Four offers an analysis of the value of diversity. Part Five sets forth insights gained from the DTF's study of Duke's existing institutional structures. Part Six analyzes Duke 10-year data and AAUDE comparative data. Part Seven offers an overview of best practices, both at Duke and elsewhere, for promoting diversity and inclusion. Part Eight sets forth the DTF Recommendations. These Recommendations, which represent the consensus of the DTF Steering Committee, emerged from the work and insights of the full DTF membership, as well as input from administrators and other faculty. The Recommendations are organized into

eight broad areas; a number of these have been proposed in previous diversity plans at Duke. But additional effort in these areas is warranted, on the part of both administrators and faculty. To drive progress, this Report emphasizes the critical importance of (1) broad faculty engagement and (2) structures and systems for sustained activity and oversight.

II. TASK FORCE CHARGE AND DESCRIPTION

In February 2014, the Academic Council created a Task Force on Diversity, charged with “articulating a vision of a diverse and inclusive Duke University for the next decade and beyond, examining our current position in relation to that vision, and recommending actions that will move us toward it.” Acting on behalf of the Council, the Executive Committee of the Academic Council (ECAC) appointed co-chairs for the Task Force in March 2014.¹ In April 2014, ECAC appointed a Steering Committee, whose members were chosen from each of Duke’s Schools. The Steering Committee was intentionally designed to be diverse. The full Task Force was assembled in April 2014 and commenced work in May 2014. The Task Force consisted of approximately 60 faculty members, who were organized into seven subcommittees, each chaired by a member of the Steering Committee. See Supporting Documents for the Task Force Membership and Subcommittee structure.

Consistent with its charge, over the past year, the DTF has focused on (1) understanding Duke’s current status with regard to diversity and inclusion, (2) examining best practices, both internal and external to Duke, (3) articulating a vision for the future, and (4) making recommendations. Although the Council did not limit the Task Force in terms of coverage, the work of the Task Force focused on faculty diversity. While the Task Force recognized that faculty diversity is related to student and staff diversity in important ways, the Task Force concluded that it would be most productive, as a first step, to address issues most closely related to faculty experiences and those processes in which faculty actively participate.

¹ Maurice Wallace and Nan Jokerst were initially appointed co-chairs. Trina Jones became a co-chair in July 2014 when Maurice Wallace resigned due to his departure from Duke University.

III. DIVERSITY AND INCLUSION

This section begins with a brief summary of Duke's history regarding diversity and inclusion. It then examines various types of diversity and the related concept of inclusion.

A. Duke's History

Historically, through its policies and practices, Duke discriminated against Blacks,² women,³ sexual minorities,⁴ and persons of non-Christian faiths.⁵ Founded upon the "union of knowledge and religion set forth in the teachings and character of Jesus Christ...,"⁶ Duke had only small numbers of non-Christian faculty and students until the 1970s.⁷ Duke officially renounced racial segregation in student admissions in 1961-1962;² merged the Women's College into Trinity College in 1972;³ and expanded the University's non-discrimination policy to include sexual orientation in 1988.⁸ Despite these milestones and the changing demographics of the student population, the composition of the Duke faculty changed little through these years, remaining predominantly White and male and prompting the need for directed institutional action to increase faculty diversity. Because of Duke's legacy and its obligation to comply with federal and state laws, prior to 2003 Duke's institutional goals regarding faculty diversity focused primarily on Blacks and women. The University tended both to develop institutional policies and to measure its progress relative to faculty diversity based almost exclusively on the representation and status of these groups in the University community.⁹ Duke's Black Faculty Initiative (BFI), Black Faculty

² e.g., Duke University Archives: 1961-1962: Admissions policy is amended to affirm equality of opportunity regardless of race, creed, or national origin.

³ e.g., Women at Duke Illustrated, B. Booher, Duke University Archives, 2014; <http://caselaw.findlaw.com/us-4th-circuit/1044207.html>

⁴ e.g., <https://queerhistory.duke.edu/>

⁵ e.g., May 9, 2014 Amendment of Article I of University Bylaws: The aims of Duke University (the "University") were originally set forth in a statement that President John C. Kilgo wrote for Trinity College in 1903. Kilgo's statement, which grounded the University's purposes in the Christian tradition of intellectual inquiry and service to the world, was adapted for Duke University upon its establishment in 1924. Recognizing its origin in this tradition, its continuing relationship to The United Methodist Church, and the diverse constituency that has developed since its founding, the University is committed to creating a rigorous scholarly community characterized by generous hospitality towards diverse religious and cultural traditions. Jewish faculty and students: <http://dukemagazine.duke.edu/article/duke-university-alumni-magazine-402>

⁶ Duke University Archives: <http://library.duke.edu/rubenstein/uarchives/history/articles/charter-bylaws-aims-mission>

⁷ e.g., <http://dukemagazine.duke.edu/article/duke-university-alumni-magazine-402>.

⁸ <http://exhibits.library.duke.edu/exhibits/show/queer/intro/1980s>

⁹ See the webpages of Duke's Office of Institutional Equity for a list of the relevant federal laws: <https://web.duke.edu/equity/resources/laws.html>

Strategic Initiative (BFSI), and Women's Initiative are the most prominent manifestations of this approach to diversity.

The Black Faculty Initiative (BFI) was a five-year hiring plan that aimed to add one black faculty member to every hiring unit at Duke. The BFI commenced in 1988, after a 28-27 Academic Council vote, with the tie-breaking vote cast by the Chair of the Council. This was the first time the University had set a numerical goal for hiring Black faculty.¹⁰ The BFI was regarded by many as a failure, with a net gain of just seven Black faculty members by 1993.¹¹

Following the BFI, the University developed the Black Faculty Strategic Initiative (BFSI),¹² with the goal of doubling the number of Black faculty at Duke over the ten-year span from 1993-2003. The BFSI was deemed more realistic because the relatively small pools of Black Ph.D.s in some disciplines made the goal of adding a Black faculty member in every department virtually unattainable. The BFSI was a notable success, reaching its goal in 2002, a full year before the initiative was set to expire.

In 2002, President Nannerl Keohane convened and chaired a Steering Committee to assess the status of Duke's female faculty, students, staff, trustees, and alumnae. As part of the Initiative, a task force was charged with proposing recruitment and retention strategies targeted specifically at female faculty. At the conclusion of its work in 2003, the Steering Committee issued the Women's Initiative Report. Among its observations, the Report found women to be underrepresented among regular rank faculty and proposed actions to increase the proportion of female faculty and to monitor progress (e.g., revised policies on tenure clock relief for parental leave). Some proposed actions do not appear to have been adopted on a widespread basis (e.g., a formal mentoring process for female faculty, exit interviews for departing female faculty).¹³

In 2003, Duke launched the Faculty Diversity Initiative (FDI). The FDI is most noteworthy because it re-conceptualized diversity, so as to promote inclusion more broadly and for myriad purposes in addition to the representation and status of Blacks and women. Specifically, the FDI expanded the scope of the university's diversity efforts to "encompass a wider range of cultural, ethnic, racial and religious backgrounds and to focus as well on underrepresented groups such as

¹⁰ <http://today.duke.edu/2009/12/faculty.html>

¹¹ *Ibid.*

¹² <http://academiccouncil.duke.edu/wp-content/uploads/2008/12/facdiversityinitiative085.pdf>

¹³ The Women's Initiative Report calls for the development of a proposal "for the Deans to provide exit interviews of all departing faculty" and a proposal "to ensure that a formal mentoring process is in place." The DTF does not know if such proposals were developed or submitted; but to our knowledge neither activity came into existence on a university-wide basis.

Latinos/Latinas and women in science.”¹⁴ Importantly, at the FDI’s launch, Provost Lange expressly indicated that broadening the meaning and usage of diversity was not intended to convey a lessening in the attention and commitment to expanding the number of African-American faculty at Duke.¹⁵ A 10-point plan for increasing diversity was established, and included a recommendation to create a Faculty Diversity Standing Committee to assist the Provost in its implementation.¹⁶ In 2005, the position of Special Assistant to the Provost was created, now the Vice Provost for Faculty Diversity and Faculty Development, with jurisdiction over the Faculty Diversity Standing Committee and Faculty Diversity Working Group. In 2013, Provost Lange and Vice Provost Allen reported to the Academic Council on progress on the FDI’s 10-point plan and on-going efforts.¹⁷

While this brief history focuses primarily on faculty women and underrepresented racial minorities, it is also important to note that Duke was among the first U.S. universities to offer domestic partner benefits, effective in 1995. At the time, President Keohane said “[t]he most pressing argument for extending these benefits is our desire to live up to our policy of nondiscrimination,” and added, “[o]ur failure to provide these benefits puts us at a disadvantage with other institutions with which we compete for outstanding faculty and staff.”¹⁸

B. Expanding Conceptions of Diversity

As noted above, before the Faculty Diversity Initiative, Duke’s efforts to increase diversity focused on the underrepresentation of Black and female faculty. As the FDI anticipated more than a decade ago, diversity is now a more expansive concept than Duke has traditionally understood it to be. New or emerging diversities exist to which the University could devote extraordinary attention, and for which it might develop special initiatives. Here we provide rationales for several types of diversity, each with relevance to Duke’s mission.

1. Race, Ethnicity,¹⁹ Gender, and Sexual Orientation

Race, ethnicity, gender, and sexual orientation are essential elements of diversity because of the past and continuing use of these markers as bases for widespread discriminatory treatment. In the United States, women, racial, ethnic, and sexual minorities have been, and continue to be,

¹⁴ <http://provost.duke.edu/wp-content/uploads/stratPlan2006-ch03.pdf>

¹⁵ *Ibid.*

¹⁶ A Proposed Faculty Diversity Plan for Duke University, Report of the Provost’s Task Force of Faculty Diversity; March 2003.

¹⁷ Minutes of the Academic Council, April 18, 2013.

¹⁸ <http://www.dukechronicle.com/articles/1995/01/12/domestic-partner-plan-enacted#.VUSHyhdIBW0>

¹⁹ Ethnicity, as used in this Report, refers to underrepresented groups, such as Hispanics/Latino/as.

subject to pernicious stereotypes and biases (both conscious and implicit) that have limited their access to important social, political, economic, and educational opportunities. In the past, Duke and other academic institutions have participated overtly in this exclusionary behavior in both their admissions and hiring policies. In a society that has made race, ethnicity, gender, and sexuality salient and constitutive aspects of identity, these markers shape experiences, viewpoints, and beliefs. To be sure, no group is monolithic and the experiences of group members may differ. However, no man has the same experience as a woman, no white individual has the same experience as a person of color, and no heterosexual has the same experience as a sexual minority.

This history differentiates race, gender, ethnicity, and sexual orientation from many other forms of diversity (e.g., athletic ability, artistic talent, family legacy, geographical origin, etc.).²⁰ Unlike race, gender, ethnicity, and sexual orientation, many of these latter forms of diversity are generally considered positive characteristics that institutions voluntarily seek out for inclusion, not exclusion. Women, racial, ethnic, and sexual minorities by contrast are often viewed negatively. Positive measures thus continue to be required to ensure that adequate numbers of women, people of color, and sexual and ethnic minorities are represented in any given context.

Racial, gender, ethnic, and sexual orientation diversity enrich the marketplace of ideas because of the different viewpoints and experiences that sexual and ethnic minorities, women, and people of color may have. These differences may lead to new insights and different approaches to problem solving, which are critical in the university setting. To the extent that teaching extends beyond the presentation of information in the classroom and includes mentoring, role modeling, and extracurricular learning, these forms of diversity may also expand available opportunities for previously excluded groups (e.g., by making information and networks more accessible, by changing conceptions of what is possible).

More broadly, the mere presence of more women, racial, ethnic, and sexual minorities in places where they have previously been excluded or underrepresented may serve to challenge stereotypes about the capabilities of members of these groups, and may lead to a reversal of those structures and modes of thinking that have produced exclusionary practices in the past. The fact that Duke has a history of discrimination against women, racial, ethnic, and sexual minorities creates, one might argue, a heightened and enduring obligation both to address mechanisms that have been used to exclude and to prioritize the domestic targets of that

²⁰ Race and gender are also highly visible characteristics. This makes discrimination on these bases easier to implement and harder to avoid.

exclusion. In other words, greater diversity has the potential to undermine racism, sexism and discrimination against sexual and ethnic minorities, and benefits all of Duke.

2. Intellectual Diversity

Intellectual diversity lies at the heart of the entire enterprise of the modern university and is an essential component of overall faculty diversity. An intellectually diverse academic community will be comprised of a range of people who work on common questions, but from diverse perspectives, thus seeking answers and discovering insights that a less diverse community may miss. Specifically, an intellectually diverse community includes individuals with varying points of view. This kind of intellectual diversity is a prerequisite for both the pedagogical and research functions of the university.

There are many proxies for intellectual diversity. Indeed, a key feature of race, gender, ethnic, and sexual identity diversity is the potentially different viewpoints held by individuals in these groups. But there are other important sources of intellectual diversity, including diversity of political ideology and religious viewpoints. In fact, several arguments in favor of traditional racial, ethnic, gender, and sexual identity diversity also apply to these types of diversity. For instance, it is generally recognized that racial, ethnic, gender, and sexual identity diversity is important because it enables students to see role models who are “like them,” thereby helping underrepresented students see broader vistas of opportunity than they might discern with a more monolithic faculty. Students may also seek role models that share perspectives gained from less outwardly visible characteristics, such as ideological worldviews that may not be well represented in the faculty.

Two forms of intellectual diversity have special salience in the modern university: political ideology and religious tradition. Political ideology is salient because numerous reports have claimed that the composition of faculty political viewpoints is strongly skewed (or at least differs markedly) from the composition of viewpoints of the larger society.²¹ Because political ideology links to myriad research questions outside of the social sciences, such as global warming or embryonic stem cell research, political diversity can be expected to contribute to larger conversations across the university.

Religious background also occupies a special place at Duke. For some scholars, religious belief is an explicit and central part of their intellectual ethos, yet diverse religious perspectives are not uniformly welcomed across the University. As noted earlier, Duke’s origin is rooted in the United Methodist Church,⁵ and this affiliation was once a source of discrimination against individuals of

²¹ Cardiff, Christopher F., and Daniel B. Klein. "Faculty partisan affiliations in all disciplines: A voter-registration study." *Critical Review* 17.3-4 (2005): 237-255.

other faiths. Although Duke has become increasingly pluralistic, in the sense that diverse traditions are represented, not all faiths have an equal place or are well represented. Because of this mixed legacy, special vigilance may be required to ascertain the degree to which followers of diverse religious beliefs (or of none) are equitably treated on campus.

3. Global Perspectives

In an increasingly globalized world, a leading university can ill afford to be parochial in its outlook. Finding solutions to global problems such as rising inequality, shortages of potable water, climate change, infectious disease epidemics, and violent conflicts requires a deep understanding of the national, cultural, and political landscape in which these problems are unfolding. Faculty born and trained in the United States bring to their scholarship and teaching points of view that originate in a particular cultural and pedagogical heritage. Faculty who are not born or educated in the U.S. provide opportunities for other scholars and students to be exposed to, and to learn from, markedly different worldviews.

4. Other Forms of Diversity

Other identity markers contribute to a diverse community at Duke. These include, but are not limited to, age, ability, and socio-economic background.²² These factors have served in the United States as obstacles to inclusion and equal opportunity. Although the DTF did not examine these factors, the DTF suggests that Duke be mindful of them.

While this Report has highlighted multiple forms of diversity, the DTF recommends that Duke continue to give special attention to women, underrepresented racial and ethnic minorities, and sexual minorities. This prioritization is justified by (1) the pervasive history of discrimination at Duke on these bases; (2) data indicating that Duke has not completely overcome the vestiges of this history; and (3) the importance of these factors, as outlined below, to the teaching, research and service commitments of Duke.

C. Inclusion

Diversity extends beyond the issue of demographics. Duke benefits significantly from the presence of underrepresented groups. Yet, too often, members of these groups report feeling undervalued and excluded from social and professional networks within the University.²³ Actions must be taken and policies must be developed to ensure that underrepresented group members are treated as constitutive and essential members of Duke's faculty.

²² Socio-economic status is correlated with other demographic markers of diversity in the United States, but it is distinct. It also plays a growing role in the United States given the growing income gap. The Task Force notes the challenge of developing a measure for socio-economic status among faculty applicants and faculty members.

²³ 2010 Faculty Satisfaction Survey

Having a critical mass of faculty from underrepresented groups promotes inclusion by reducing the sense of isolation that some group members may experience. An inclusive culture, however, requires more than numerical representation and efforts aimed only at hiring processes; it also requires an ethos that truly values and respects diverse individuals. Creating an inclusive culture involves developing mechanisms to expose, counter, and eradicate the benign indifference, mere tolerance, deliberate dismissal, and micro and macro aggressions that members of underrepresented groups sometimes face. It requires that universities, as evolving institutions, be open to the ways that diverse faculty may transform institutions, as opposed to expecting that universities will stay the same and that diverse faculty will shed or downplay their differences. Creating a culture of inclusion also involves providing adequate support for research and scholarship and access to information regarding professional advancement. Further, it entails provision of readily accessible paths to enable underrepresented group members to connect, both within and outside of Duke. This is particularly important for faculty members who have few colleagues who share their scholarly interests. In addition, an inclusive culture provides a safe space in which underrepresented faculty can express concerns without fear of retribution. In short, a culture of inclusion cultivates respect, and empowers all faculty members with agency and voice.

IV. THE VALUE OF DIVERSITY

A. Diversity's Inherent Value

Diversity's "value" can be assessed from different perspectives. For some people, diversity should be pursued for its own sake because it challenges us to understand ourselves as we understand and appreciate those who are different from us while acknowledging the bond of our shared humanity. Diversity within a community creates the need and opportunity to weigh multiple points of view in making momentous decisions, in evaluating competing claims, and in solving problems. Those who embrace the view that diversity has inherent value, hold that having different experiences, ideas, and viewpoints represented in most contexts enriches our social relations and expands the horizon of human existence at both local and global levels. Thus, diversity is a good in itself; it is "an inherently humanistic value rather than the added value of any standard of excellence that a university or other corporation may pursue better to compete with other institutions or corporations in a free market economy."²⁴ Diversity also has a critical social justice component, whereby increasing awareness of different identities and communities

²⁴ Rodriguez-Garcia, José María; outcome of conversations with faculty in the Humanities at Duke.

is correlated with the collective desire to understand and correct inequity and the marginalization endured by individuals and communities identified by their differential status in gender, ethnicity, race, and other traits.

In fact, diversity is intricately linked to our public representation of the range of intellectual perspectives and scholarly approaches used in most disciplines in the humanities and social sciences at Duke and peer institutions. Yet despite this public representation, every year an increasingly diverse freshman student cohort comes to our campus possessed of cultural practices and experiences that challenge our deep-seated assumptions about the meaning and scope of multiculturalism. Unless Duke's faculty is similarly diverse, we will not succeed in promoting a robust 'diversity literacy' that is grounded in the day-to-day interactions among constituencies that represent the ever-changing palette of American cultures.

As Duke continues to advance internationally, we should not be content with simply implementing Anglo-centric models of cultural relativism wherein other communities are invited to participate in an ostensible global culture. In relation to Duke's partnerships abroad, it does not suffice that we ask ourselves what "we may bring to China" by exposing that country's students and our faculty counterparts to western democracy and the pluralistic understanding of values from an Anglo-American perspective. Rather, this worthy effort at mutual understanding should be supplemented by a deeper and more meaningful engagement with an equally important focus on what "China may bring to us."

Crucially, Duke's humanistic and morally inflected endeavors at home and abroad call for the presence of a more diverse faculty who may faithfully represent the growth of a 'deep diversity' in U.S. society by their very presence among us, and by acting as interpreters and translators of local and global cultures. As we multiply and deepen our dialogue and pursue opportunities around the globe and around the clock, we should strive to become more aware of the untapped potential for critical thinking that arises from our exposure (as students, faculty, and administrators) to different versions of the American experience.

B. Empirical Findings

This section summarizes the current state of empirical research on diversity in educational and work environments, highlighting evidence for both benefits and costs of faculty diversity. This section asks, "Based on empirical evidence, what are the pros and cons of increasing the diversity of Duke's faculty?" We assume that Duke seeks to provide high-quality education and research, to create a positive community environment, and to benefit society. With these goals in mind, the conclusions we present are those we feel are best supported by existing evidence. It is

important to note, however, that the strength of our conclusions is limited by the state of the evidence.

We focused on racial/ethnic diversity, especially regarding African-American and Latino-American groups, gender diversity, and diversity in sexual orientation. There is less research on diversity in sexual orientation than race and gender, and very little work on diversity of other types of social groups, such as religious or political minorities in academia. Although many of the principles and processes explored here likely apply to other types of diversity, our conclusions can only be supported with respect to the above-mentioned groups.

This summary does not provide detail about the research nor does it provide citations, with the exception of one or two examples per section. Please refer to the Supporting Documents for more detail about the research underlying these conclusions and a full list of references.

1. Faculty Diversity and Educational Outcomes

Duke has a diverse student body, and given demographic trends, it is likely to become more diverse in the future. Duke's faculty is far less diverse than the student body, as demonstrated in Section Six of this Report. The literature clearly demonstrates that students who are members of underrepresented groups perform better and reach higher educational outcomes if the faculty includes more role models and mentors of similar race, gender, and sexual orientation. Greater identification in the form of role models positively affects student choice of major and career, freeing students to choose majors based on interest and skill, not on race, gender, or sexual orientation. For example, Carrell *et al.* showed that female students with female professors performed better in introductory STEM classes, and were more likely to take advanced STEM classes and graduate with a STEM degree than were female students with male professors.²⁵

Importantly, underrepresented students are not the only ones who benefit from a more diverse faculty. Research indicates that multicultural interactions with a diverse set of other people promote positive educational outcomes for all students. Indeed, in a major case involving diversity in higher education, the U.S. Supreme Court accepted evidence that diversity improves learning outcomes."²⁶

²⁵ Carrell, Scott E., Marianne E. Page, and James E. West, *Sex and science: How professor gender perpetuates the gender gap*, No. w14959, National Bureau of Economic Research, 2009.

²⁶ Grutter v Bollinger, 539 U.S. 306 (2003).

2. Faculty Diversity and Research Quality

What are the possible costs and benefits of a diverse faculty for the quality of research at Duke? Research productivity and quality are complex outcomes, and thus, unsurprisingly, scholarly studies provide several different responses to this broad question.

Research also suggests that a more diverse faculty would create innovation in research by providing new perspectives, directing research to new topics, and reducing existing biases towards certain topics or ways of thinking. For example, as the National Institutes of Health (NIH) noted in a 2012 report, numerous studies have found that increased diversity in the biosciences research workforce can broaden the range of questions selected for study and expand the engagement of research participants with health concerns specific to their communities.²⁷

Finally, research provides mixed evidence on the idea that diversity promotes more creativity in research collaborations among faculty. Some research suggests that it does, but other research questions that conclusion. One reason for the confusing picture is that there are many ways to measure diversity. Diversity appears to be most beneficial when the type of diversity is relevant to the performance measure of interest.²⁸ That is, when demographically diverse faculty members take similar approaches to the question at hand, the benefits to faculty performance may be minimized. However, when demographic diversity reflects real differences in the perspectives, experiences, and ideas that faculty bring to the questions of interest, it is likely that diversity in the faculty will promote innovation.

3. Faculty Diversity and Community at Duke

Research paints a mixed picture of diversity's likely effects on Duke's community. First, it is clear that there would be substantial benefits to Duke's diverse student body, and to existing faculty members from underrepresented groups. A more diverse faculty would increase the sense that people from all backgrounds belong at Duke, lowering stress and increasing well-being. For example, in a large survey of higher education institutions, 40% of LGBTQ faculty reported

²⁷ Whitla, Dean K., et al. "Educational benefits of diversity in medical school: a survey of students," *Academic Medicine* 78.5 (2003): 460-466; Gurin, Patricia. "Expert Report." Gratz et al. v. Bollinger, et al." No. 97-75321 (ED Mich.);" Grutter, et al. v. Bollinger, et al." No. 97-75928 (ED Mich.)." *Equity & Excellence in Education* 32.2 (1999): 36-62; Noah, B.A. (2003). "The participation of underrepresented minorities in clinical research," *American Journal of Law & Medicine*, <http://www.ncbi.nlm.nih.gov/pubmed/12961806>; NIH Working Group on Diversity in the Biomedical Research Workforce, 2012.

²⁸ Bell, S. T., et al. "Getting specific about demographic diversity variable and team performance relationships: A meta-analysis," *J. of Management* (2010); Jehn, K., Northcraft, G., & Neale, M. 1999. Why differences make a difference: A field study of diversity, conflict, and performance in workgroups. *Admin. Sci. Quarterly*, 44: 741-763.

considering leaving academia because of a negative campus climate.²⁹ Research also shows that LGBTQ students experience more psychological problems than do heterosexual students.³⁰ Having a representative number of LGBTQ faculty is one sign of the kind of institutional commitment to equality that can make life within the university easier for LGBTQ students.²⁸

Research also indicates that a more diverse workforce likely benefits underrepresented faculty by reducing stereotype threat³¹ and creating a more inclusive organizational culture. For example, when faculty members are in the “solo status” position, being one of the only members of a given social category in their department or area, they tend to feel more distinct from other faculty and less satisfied with their jobs as a result.³² Increasing diversity would reduce the salience of those categories, and thus help reduce concerns that minority faculty have about how well they would fit in at Duke.³³

4. Challenges

Despite the clear benefits of increased faculty diversity described above, research in psychology and economics indicates that a more diverse faculty may experience more conflict.³⁴ Research also suggests, however, that effective leadership can channel these conversations in healthy and constructive ways to produce positive outcomes. For example, in a study of 5000 health-care employees from different organizations, a diverse workforce reported more satisfaction when the organization espoused a mindset that urges workers to “appreciate differences” rather than “ignore or deny differences” with respect to diversity.³⁵

²⁹ <http://www.campuspride.org/research/projects-publications/>

³⁰ Garcia, Jacob, et al. "Links between past abuse, suicide ideation, and sexual orientation among San Diego college students," *Journal of American College Health* 51.1 (2002): 9-14; Taliaferro, Lindsay A., and Jennifer J. Muehlenkamp. "Risk and protective factors that distinguish adolescents who attempt suicide from those who only consider suicide in the past year." *Suicide and Life-Threatening Behavior* 44.1 (2014): 6-22; Westefeld, John S., et al. "Gay, lesbian, and bisexual college students: The relationship between sexual orientation and depression, loneliness, and suicide," *Journal of College Student Psychotherapy* 15.3 (2001): 71-82.

³¹ Stereotype threat is being at risk of confirming, as self-characteristic, a negative stereotype of one's group. Steele, Claude M., and Joshua Aronson. "Stereotype threat and the intellectual test performance of African Americans," *Journal of Personality and Social Psychology* 69.5 (1995): 797.

³² Niemann, Yolanda Flores, and John F. Dovidio. "Relationship of solo status, academic rank, and perceived distinctiveness to job satisfaction of racial/ethnic minorities." *Journal of Applied Psychology* 83.1 (1998): 55.

³³ Ibid.

³⁴ Van Knippenberg, Daan, and Michaela C. Schippers. "Work group diversity," *Annu. Rev. Psychol.* 58 (2007): 515-541. Richeson, Jennifer A., Sophie Trawalter, and J. Nicole Shelton. "African Americans' implicit racial attitudes and the depletion of executive function after interracial interactions," *Social Cognition* 23.4 (2005): 336-352.

³⁵ Plaut, Victoria C., Kecia M. Thomas, and Matt J. Goren. "Is multiculturalism or color blindness better for minorities?," *Psychological Science* 20.4 (2009): 444-446.

V. DUKE STRUCTURES FOR PROMOTING DIVERSITY AND INCLUSION

Duke has a number of entities that are either directly charged with promoting diversity and inclusion or whose principal responsibilities touch upon these areas. These entities include the Office for Institutional Equity (OIE), the Vice Provost for Faculty Diversity and Faculty Development (VP-FDFD), the faculty Ombuds, Human Resources, and the General Counsel's Office. In addition to these University-wide structures,³⁶ various diversity and inclusion initiatives exist within Duke's Schools. These initiatives vary in form and scope; some are formal and permanent, others are *ad hoc* and temporary; some initiatives are Dean-driven, others are faculty directed. During the course of its work, the DTF engaged in twenty-eight 60-90 minute meetings with faculty and administrators from across the University. This section records key insights gleaned from those meetings and related research. We begin by summarizing general themes and then proceed to set forth more entity-specific observations. The DTF applauds the efforts of many of these administrators and greatly appreciates their time and candid feedback on how we might constructively move Duke forward. *We emphasize that any criticisms set forth below should be viewed as structural limitations rather than the failings of any individual, office, or committee.*

A. General Observations

Five general themes emerged from DTF meetings with administrators, faculty, and other personnel:

- First, there is a widespread belief that despite sincere public statements, *the University does not have a clearly expressed vision of and sustained commitment to diversity and inclusion.* Indeed, the DTF's review of important University documents (e.g., University bylaws, mission statement, strategic plan) revealed dispersed references, but no university-wide statement regarding diversity and inclusion.³⁷ The perceived absence of such a vision and commitment - shared by Duke's senior leaders, Deans, Department Chairs, and faculty - is an impediment to: (a) sustained, community-wide conversations about diversity and inclusion; and (b) efforts to implement policies and practices that

³⁶ With the exception of the Vice Provost for Faculty Development and Diversity, the aforementioned entities cover both Duke University and Duke University Health System.

³⁷ The May 9, 2014, revision to Duke's Bylaws: "Recognizing its origin in this tradition, its continuing relationship to The United Methodist Church, and the diverse constituency that has developed since its founding, the University is committed to creating a rigorous scholarly community characterized by generous hospitality towards diverse religious and cultural traditions. The University therefore pursues the following aims: to foster a lively relationship between knowledge and faith; to advance learning in all lines of truth; to defend scholarship against all false notions and ideals; to develop a love of freedom and truth; to promote a respectful spirit of dialogue and understanding..."

would more effectively advance diversity and inclusion. This perceived absence of leadership and articulated aspirations fosters a sense that Duke is reactive, as opposed to proactive, around issues of diversity and inclusion.

- Second, there is a need to strengthen structural mechanisms for addressing faculty concerns about discrimination, bias, and harassment, including those that may not rise to the level of legal action. Faculty members generally do not use OIE. In addition, many faculty are unaware of the faculty Ombuds and concerns have been raised about the structure and operation of the Ombuds' office. Faculty members also are generally unaware of the VPFD position; more critically, the position has limited resources and has been only occasionally involved in resolving issues of discrimination or other forms of unfair treatment among faculty.
- Third, a need exists to strengthen communication between and among schools and administrative offices whose responsibilities include diversity and inclusion.
- Fourth, the attention and priority given to diversity and inclusion varies significantly across Duke's schools. This manifests itself in substantial differences in, among other things, the composition, training, and functioning of search committees, hiring procedures, and retention and climate initiatives.
- Fifth, existing institutional structures require more effective enforcement mechanisms to ensure that diversity and inclusion are pursued in a sustained manner.

B. A Closer View of Duke's Structures

The following sections summarize existing University structures that are charged in some way with enhancing diversity and inclusion at Duke. For each structure, the analysis identifies areas of concern, each of which is addressed by the DTF's Recommendations.

1. The Office for Institutional Equity (OIE)

The Office for Institutional Equity is a University-wide resource for information and training concerning diversity and inclusion. OIE is responsible for administering Duke's nondiscrimination, affirmative action, and harassment policies, and for ensuring regulatory compliance with a number of federal statutes. Overseen by the Vice President for Institutional Equity, who is also the University's Chief Diversity Officer, the office also includes four directors, including a new Title IX Compliance Director, and seven program coordinators, assistants, and analysts. Notably,

Vice President Ben Reese helped to found and is the current President of the National Association of Diversity Officers in Higher Education.

During the course of its work, the DTF identified four areas of concern regarding OIE. First, OIE may be understaffed given that the Office covers both the University and the Health System. Second, faculty generally do not use OIE's services. Third, although some entities on campus have used OIE as a training resource, the evidence is mixed regarding the effectiveness of this training. Some entities report that the training was useful; others report that it was either not useful or was not readily available. Fourth, Duke's harassment policy has not been routinely updated, contains an outdated definition of harassment (which may be more restrictive than the definition employed by Duke's peer institutions and governmental entities), and may be insufficiently clear concerning confidentiality.

2. *The Faculty Ombuds*

The faculty Ombuds is responsible for facilitating the resolution of allegations brought by faculty and instructional staff concerning violations of University policies concerning academic freedom, academic tenure, equal employment opportunity, and nondiscrimination.³⁸ The present faculty Ombuds, Jeff Dawson, was very forthcoming in providing information to the DTF about the limitations of this position as it is presently configured and currently operates.

The DTF identified four general concerns with the faculty Ombuds' position. First, the role of the faculty Ombuds is unclear to faculty, and there is little readily available public information to clarify the Ombuds' function. Second, the faculty Ombuds receives little formal or mandatory training in critical areas, such as counseling, implicit and explicit bias, negotiation and mediation, Duke structures for handling complaints, and legal requirements. Third, the faculty Ombuds receives a large number of contacts from faculty, yet no data are kept nor is any follow-up routinely performed; indeed, in most cases (~70%) the initial faculty contact is the last. Fourth, there is only one faculty Ombuds, which may inhibit underrepresented groups from initiating contact.

3. *Vice Provost for Faculty Diversity and Faculty Development*

The position of Vice Provost for Faculty Diversity and Faculty Development (VP-FDFD) was created in 2006 by Provost Peter Lange to make "further progress toward the strategic goals" set forth in the Faculty Diversity Initiative and Duke University's 2006 Strategic Plan, *Making a Difference*. The VP-FDFD acts as a liaison between the Provost's Office and Duke's Schools in the

³⁸ Appendix N of the Faculty Handbook.

areas of faculty diversity and faculty development. Among other things, the VP-FDFD chairs the Faculty Diversity Standing Committee (FDSC) and sits on the Faculty Diversity Working Group. The VP-FDFD and the FDSC are also responsible for formulating, administering, and assessing a faculty climate survey for all regular-rank faculty at Duke.

The position of VP-FDFD has insufficient resources to make it as effective as it might be. The position is only part time (currently 60%) and lacks adequate administrative support. While the VP-FDFD and FDSC have met with the deans every three to four years, these interactions will not be sufficient to produce the sort of returns and oversight required to ensure that diversity and inclusion are high and consistent priorities across Duke's Schools. With the appropriate resources and personnel, and with support from the Provost, the VP-FDFD could play a critically important role in, among other things: (1) conveying University goals and expectations to the Deans of the various Schools; (2) partnering with the Schools and Departments/Division to develop local the unit's diversity plans and to monitor progress; (3) establishing best practice protocols for a variety of diversity and inclusion activities, including faculty recruitment, mentoring, and retention; (4) establishing effective responses to discrimination and harassment; (5) ensuring that diversity and inclusion training mechanisms are in place and are effective; (6) assembling and evaluating more comprehensive data; and (7) bringing various constituent groups together to develop programs geared toward improving Duke's climate for underrepresented minorities, women, and other underrepresented groups.

4. Human Resources (HR) and Other

There are a variety of other departments whose services affect Duke faculty. In particular, Human Resources offers numerous services for all Duke employees (e.g., health and retirement benefits). Many faculty matters, however, do not fall under the aegis of HR. Some HR programs, primarily accessed by staff, are open to faculty and may be of interest, such as the Personal Assistance (PAS) program and mediation. However, these options are largely unknown to and unused by the faculty.

VI. DUKE HISTORICAL AND COMPARATIVE FACULTY DATA AND POPULATIONS SERVED

Greater transparency through access to data leads to greater understanding and to better informed decisions. The DTF is grateful to the Provost, who opted to share Duke faculty demographic and comparative data with the DTF, and to the Office of Institutional Research. Here we present data for Duke faculty as a whole. School-level analyses were also conducted and are in the Supporting Documents. Sub-reports containing more detailed data, analyses, and recommendations concerning individual Departments and Divisions, and Faculty Satisfaction Survey data, will be provided to each unit individually, as well as to the Provost and President. It is our intent that these detailed analyses will be used as the starting point for discussions between faculty and their Deans/Division/Department Chairs regarding diversity and inclusion.

The gender, racial, and ethnic diversity of the Duke faculty were examined over a 10-year period, and compared to faculty data from other institutions of higher learning using data from the American Association of Universities Data Exchange (AAUDE). The separate School Reports also include data from the American Association of Medical Colleges (AAMC), the American Association of Colleges of Nursing (AACN), and the American Association of Law Schools (AALS). Demographic data were examined at the School, Division, and Department levels. The 10-year data spanned the period from 2004 to 2013, with the data sampled in November of each year.³⁹ The AAUDE comparisons to the Duke data were performed for 2012, the most recent year for which AAUDE data were available at the time of our analysis. All 10-year and AAUDE data were provided to the DTF by the Office of Institutional Research in a searchable format, using the Tableau software program. National data on the demographic profiles of groups such as doctoral degree graduates and medical residents were used to assess faculty candidate pipelines for underrepresented groups, when available. Finally, to understand the “customer” base for Duke faculty, demographic data and trends on student and patient populations are presented.

The analysis herein encompasses what Duke describes as ‘regular rank faculty’, which includes tenured and tenure-track ranks, and ‘Other Regular Rank’ faculty, which are identified within each school. It is important to note that *demographic data (e.g., gender, race/ethnicity) for individual faculty members are self-reported* for recent years, but for earlier years may include reporting by administrators within schools or departments. In addition, the *categories for race/ethnicity are limited to White, Black, Hispanic and Asian*, and therefore preclude analysis of important sub-categories within underrepresented minorities in specific fields (e.g., African vs. African-American; South Asian vs. East Asian; Mexican-American vs. Portuguese Hispanic). The

³⁹ The Faculty Compensation Committee provides a faculty salary equity report for non-clinical tenure-track faculty every two years, and therefore this Report does not include salary analysis.

Duke data did not indicate any Native American or >1 race faculty at Duke, which may be a flaw in the data or data acquisition methodology at Duke, as most AAUDE schools show some data for these groups. Data were also not available for other groups (e.g., LGBTQ), and thus were not analyzed in this section of the Report.

A. 10-year Duke demographic trends

Between 2004 and 2013, the total number of regular rank faculty at Duke grew from 2524 to 3332 (32% increase), with other regular rank faculty hired at a significantly greater rate than tenure/tenure-track (67% vs. 11%, respectively), as shown in Figure 1.

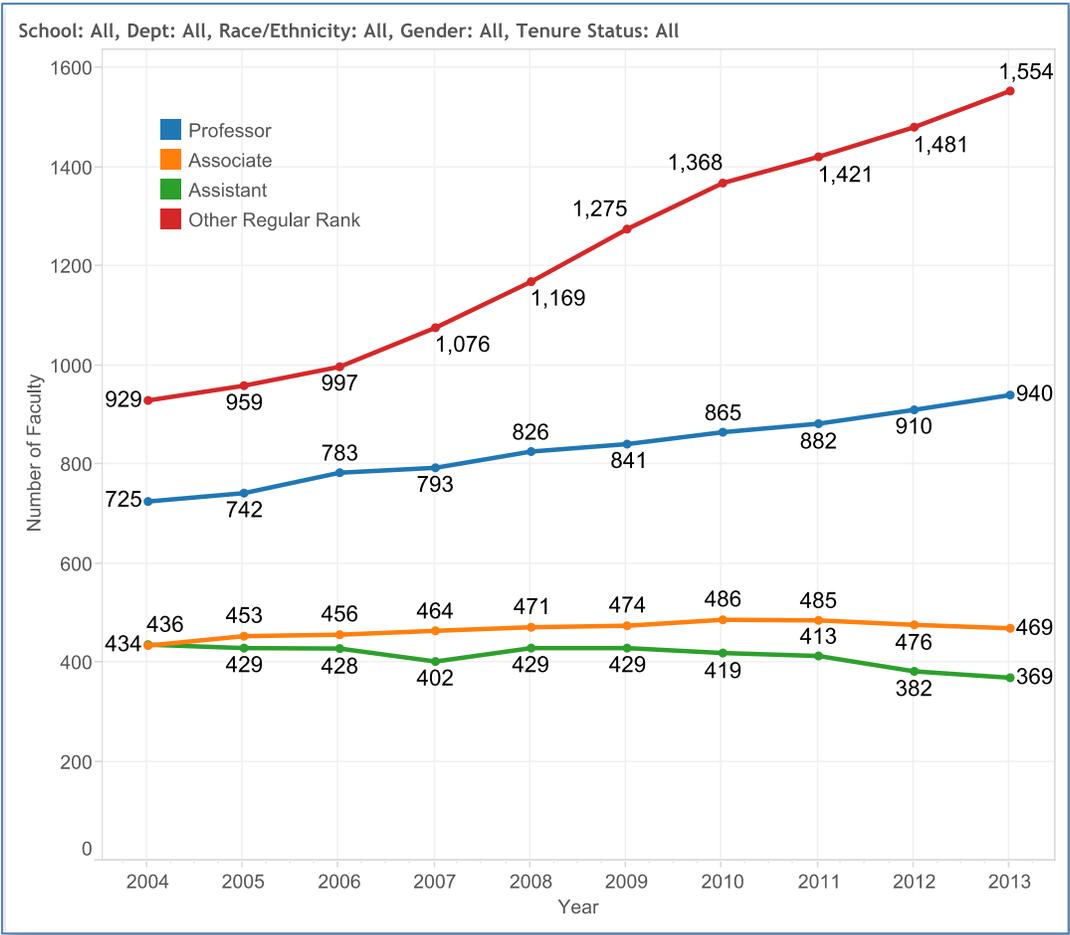


Figure 1. Regular rank faculty at Duke University, 2004-2013. Tenure/Tenure track Full (blue), Associate (orange), and Assistant (green) Professors; Other Regular Rank Faculty (red).

The total number of female faculty increased from 748 to 1211 from 2004-2013, representing an increase from 30% to 36% of all regular rank faculty, with female tenure/tenure-track faculty increasing from 23% to 28%, and female other regular rank faculty increasing from 41% to 46%, as shown in Figure 2.

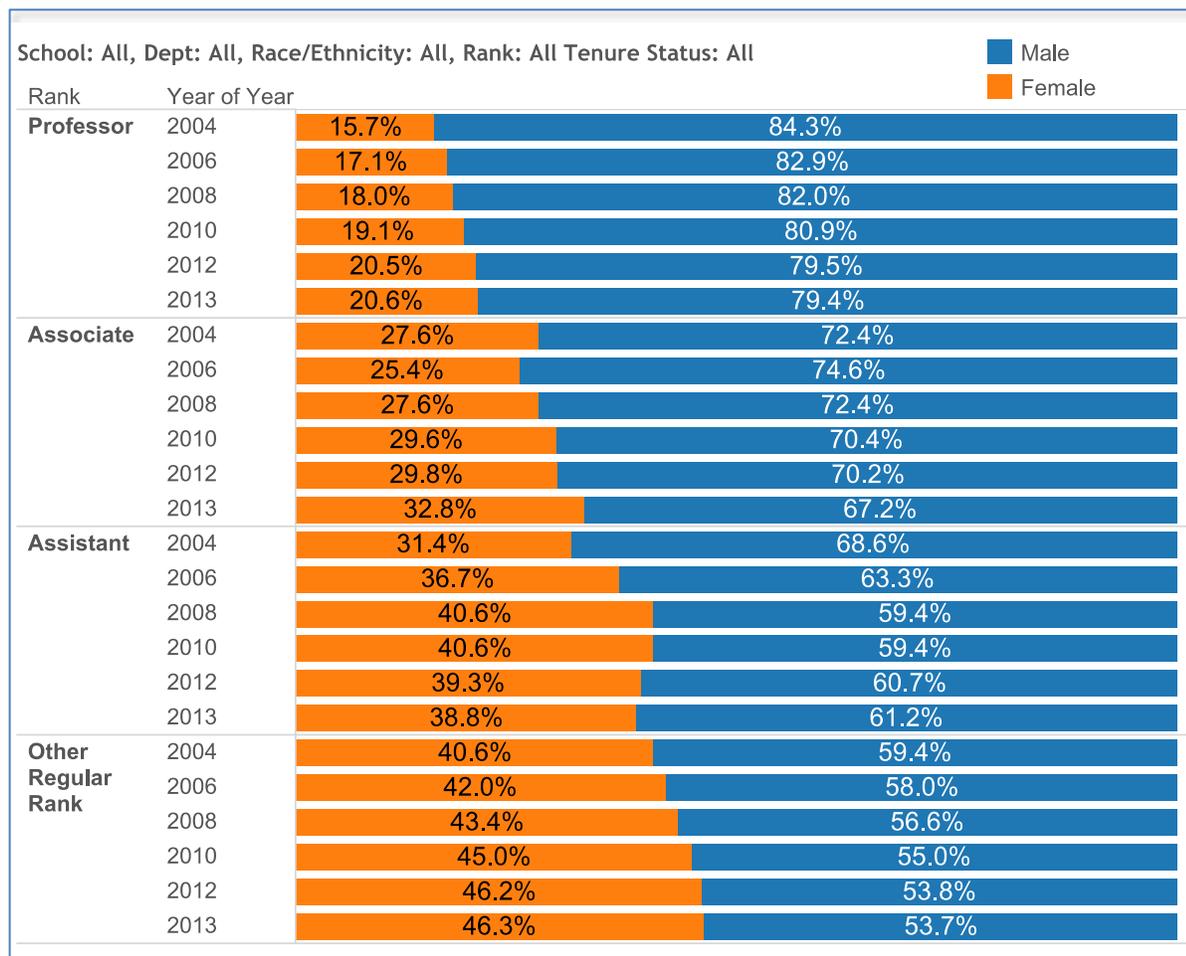


Figure 2. Percentages of female (orange) and male (blue) Regular Rank Faculty at Duke, for select years from 2004 to 2013.

Although the percentage of non-White faculty remains quite low, modest gains have been made in the percentages of Black faculty (increasing from 3.8% to 4.4%), Hispanic faculty (increasing from 1.8% to 2.6%), and Asian faculty (increasing from 11% to 15%), as shown in Figure 3.

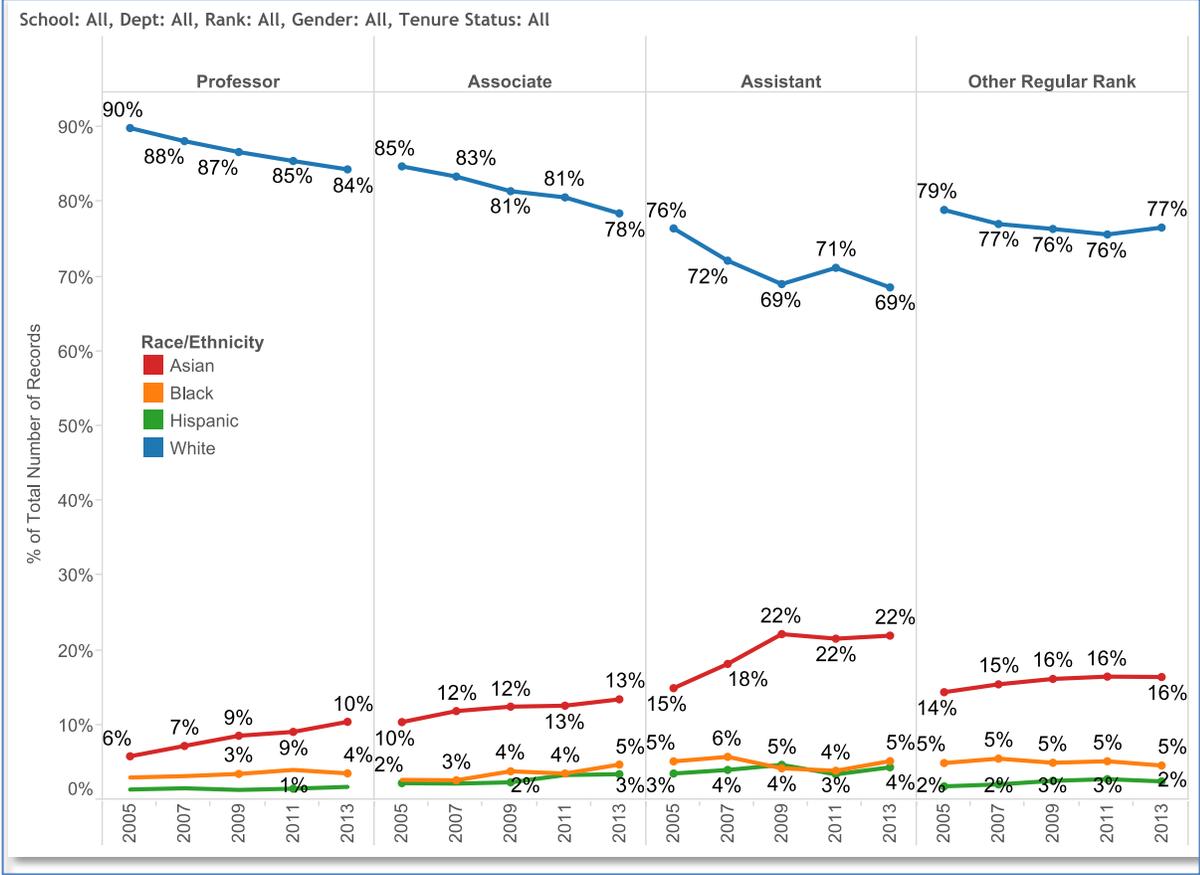


Figure 3. Regular rank faculty demographic data for race/ethnicity at Duke, 2004-2013. White (blue), Asian (red), Black (orange), and Hispanic (green).

B. AAUDE Comparative Data and Populations Served

Herein we compare the demographic and employment status data for Duke and AAUDE schools in 2012, the latest year for which AAUDE data are available. Within Duke as a whole in 2012, there were 3,249 regular rank faculty (RRF) and 1,768 tenure track faculty (TTF, 54.4% of all RRF).

Across Duke, in 2012, there were 1199 female RRF (36.9% of all RRF) and 479 female TTF (27.1% of all TTF). There were 2050 male RRF (63.1% of all RRF) and 1289 male TTF (72.9% of all TTF), as shown in Figure 4. In addition, female faculty have a lower TTF/RRF ratio than male faculty (40.0% vs. 57.3%).

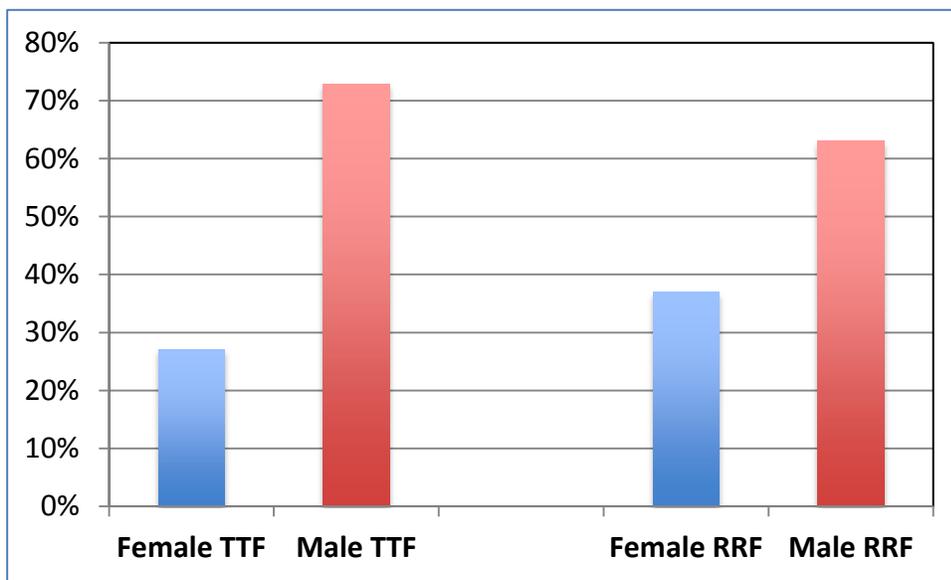


Figure 4. Percentages at Duke of female (blue) and male (red) Tenure/Tenure Track faculty (left columns) and all Regular Rank faculty (right columns) in 2012.

Next, we compare the percentages of female faculty as a function of rank at Duke to the comparable data for all AAUDE schools, as shown in Figure 5. This comparison shows that percentages of female faculty at Duke are uniformly lower than AAUDE percentages, and are particularly low for Associate Professors (6.3% lower) and Other Regular Rank Faculty (4.6% lower).

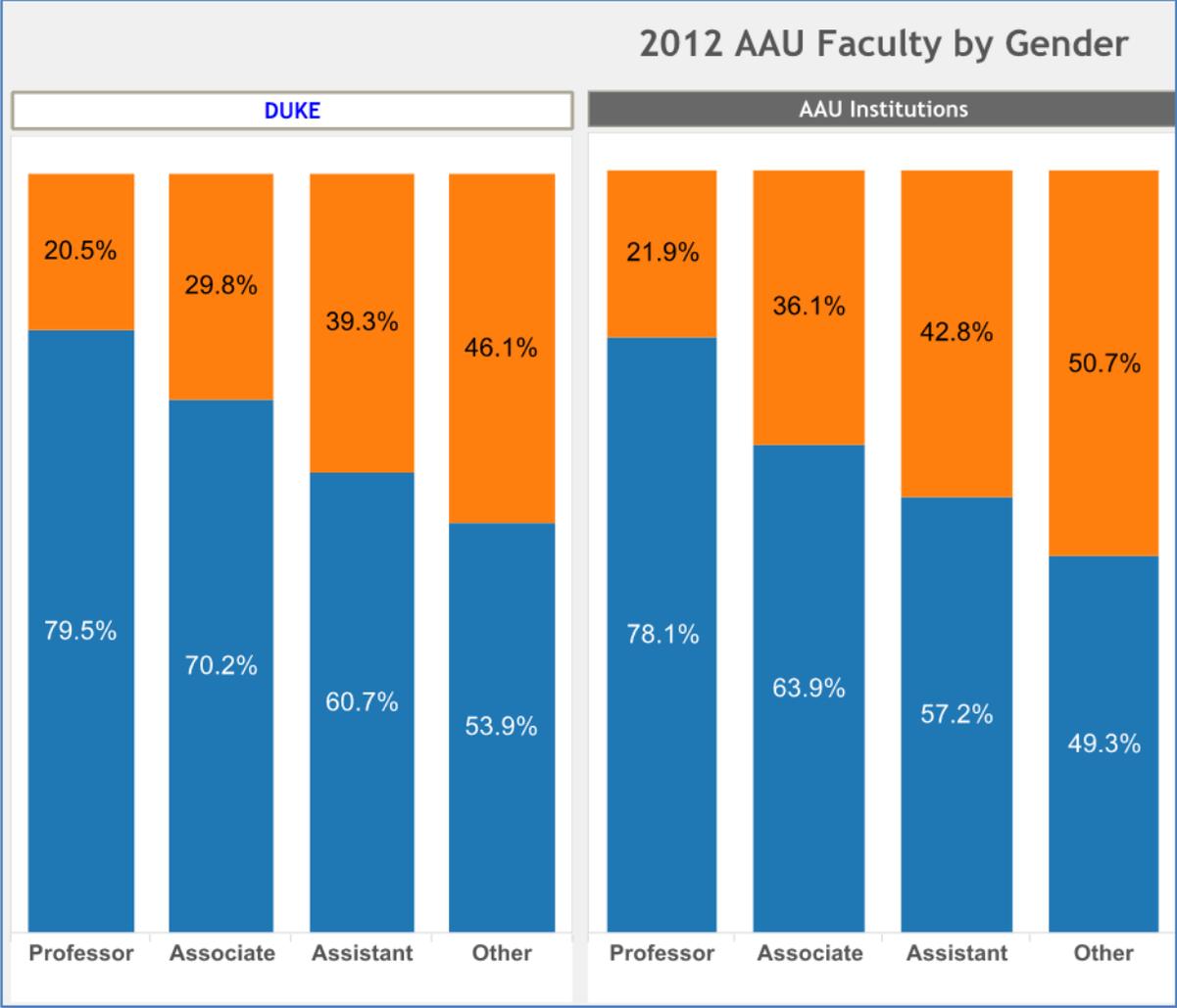


Figure 5. Comparison of percentages of female faculty (orange) and male faculty (blue) at Duke and all AAUDE institutions in 2012.

Comparing Duke to the top-ranked undergraduate institutions yields similar results. The top 20 US News and World Report National Undergraduate Institutions for 2015 that are private schools and that participate in the AAUDE are (in rank order, not including Duke): Princeton, Harvard, Yale, Columbia, Stanford, University of Chicago, MIT, University of Pennsylvania, Dartmouth,

Northwestern, Washington University, Cornell, Brown, and Vanderbilt. Table 1 shows the percentages of female faculty as a function of rank compared to these select AAUDE schools. The Duke percentages are uniformly lower than AAUDE percentages, with significantly lower percentages of female Associate Professors (5.2% lower) and Other Regular Rank faculty (6.8% lower). Examining only those institutions that are ranked equal to or higher than Duke (Princeton, Harvard, Yale, Columbia, Stanford, University of Chicago, MIT, University of Pennsylvania) yields the next row in Table 1, in which Duke is uniformly lower at all ranks than these peer schools in the percentage of female faculty.

There are many ways to parse data; one other reasonable comparison might be to exclude Clinical Sciences and Nursing since not all of the top-ranked AAUDE schools have these units.

Table 1 shows that, at the Full Professor level when excluding Clinical and Nursing faculty, Duke has a slightly higher percentage of female faculty, but that at all other ranks, Duke has a lower percentage of female faculty. These results also track for the Private Top 20 and Ranked Equal to or Above data for percentage of female faculty. Duke has a particularly low percentage of female Associate Professors and Other Regular Rank faculty, and lower female Assistant Professors.

	Female Faculty	Full Prof	Difference	Associate Prof	Difference	Assistant Prof	Difference	Other Reg Rank Fac	Difference
Duke	Duke	20.5%		29.8%		39.3%		46.1%	
	All AAUDE	21.9%	-1.4%	36.1%	-6.3%	42.8%	-3.5%	50.7%	-4.6%
	Private Top 20, AAUDE	21.8%	-1.3%	35.0%	-5.2%	39.8%	-0.5%	52.9%	-6.8%
	Ranked Equal or Above	21.7%	-1.2%	35.0%	-5.2%	41.5%	-2.2%	51.0%	-4.9%
Duke Minus Clinical and Nursing	Duke	21.6%		30.7%		33.9%		44.4%	
	All AAUDE	21.3%	0.3%	34.6%	-3.9%	38.8%	-4.9%	48.9%	-4.5%
	Private Top 20, AAUDE	21.3%	0.3%	33.8%	-3.1%	36.9%	-3.0%	48.1%	-3.7%
	Ranked Equal or Above	21.0%	0.6%	32.0%	-1.3%	34.5%	-0.6%	45.6%	-1.2%

Table 1. Percentage of female faculty at Duke compared to all AAUDE, Private Top 20 AAUDE, and AAUDE institutions ranked equal to or higher than Duke. The percentages and differences in percentages are shown for all of Duke and for Duke without Clinical Sciences and the Nursing School. Data are for 2012.

Next we compare Duke faculty percentages for minority faculty to AAUDE schools. Across Duke, in 2012, there were 138 Black RRF (4.2% of all RRF) and 70 Black TTF (4.0% of all TTF, 50.1% of all Black RRF); 86 Hispanic RRF (2.6% of all RRF) and 46 Hispanic TTF (2.6% of all TTF, 53.5% of all Hispanic RRF); and 480 Asian RRF (14.8% of all RRF) and 240 Asian TTF (13.6% of all TTF, 50.0% of all Asian RRF), as shown in Figure 6.

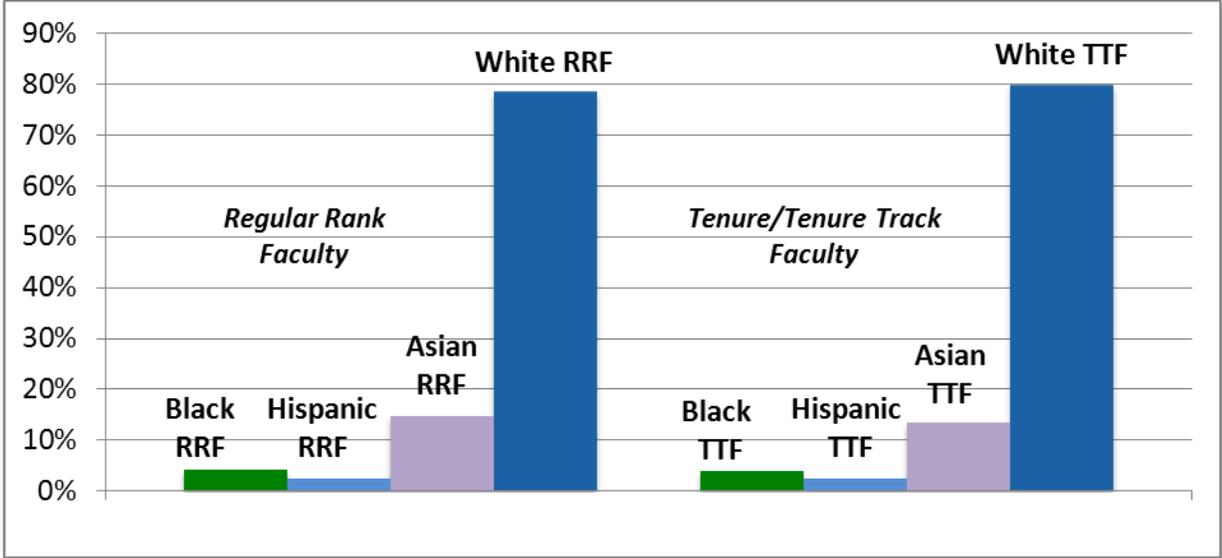


Figure 6. Duke overall faculty percentages by race and ethnic group.

Figure 7 shows the percentages of minority faculty as a function of rank compared to AAUDE schools. These percentages, both for Duke and AAUDE, are very small. For Black faculty, Duke has a slightly higher percentage at the Professor and Non Tenure Track ranks and slightly lower at the other ranks. For Hispanic faculty, Duke has at a lower percentage at all tenure track ranks, and is equivalent in the percentage of Other Regular Rank faculty. For Asian faculty, Duke has a comparable percentage at the Full and Associate Professor levels, and significantly higher at the Assistant Professor (+6.4%) and Other Regular Rank (+10.5%) levels.

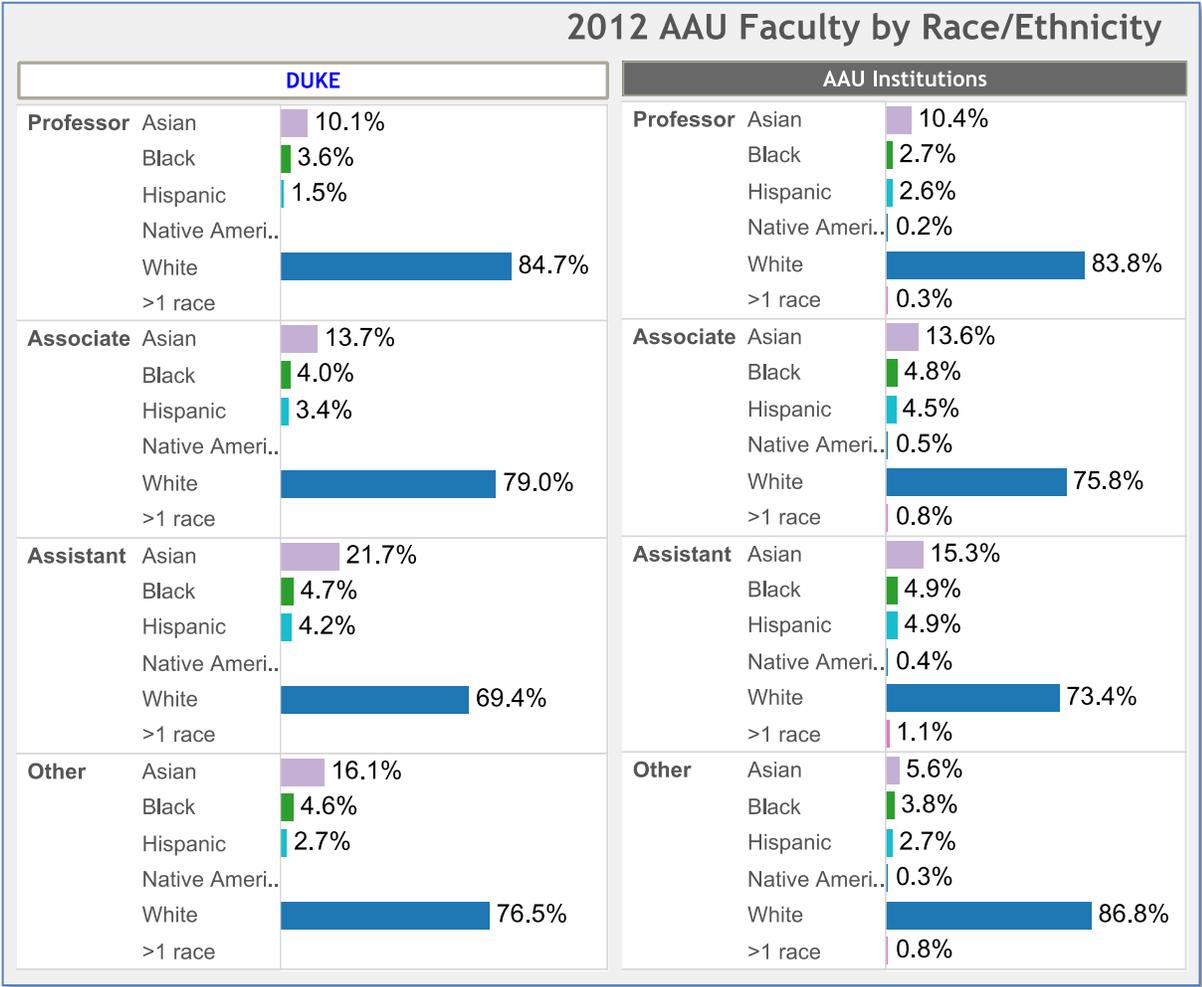


Figure 7. Duke overall faculty percentages by race and ethnic group compared to AAUDE percentages.

Comparing Duke to the top-ranked undergraduate institutions yields similar results. The top 20 US News and World Report National Undergraduate Institutions for 2015 that are private schools and that participate in the AAUDE are (in rank order, not including Duke): Princeton, Harvard,

Yale, Columbia, Stanford, University of Chicago, MIT, University of Pennsylvania, Dartmouth, Northwestern, Washington University, Cornell, Brown, and Vanderbilt. Tables 2, 3, and 4 show the percentages of Black, Hispanic, and Asian faculty as a function of rank compared to these select AAUDE schools. Examining only those institutions that are ranked equal to or higher than Duke (Princeton, Harvard, Yale, Columbia, Stanford, University of Chicago, MIT, University of Pennsylvania) yields the next row in Tables 2, 3, and 4.

There are many ways to parse data; one other reasonable comparison might be to exclude Clinical Sciences and Nursing from these data sets since not all of the top-ranked AAUDE schools have these units. Tables 2, 3, and 4 show the results for Black, Hispanic, and Asian faculty by rank, respectively.

As observed in Table 2, the percentages of Black faculty are small at all ranks and across all institutional analyses. The percentages of Black faculty at Duke are comparable to within +/- 2% in all categories and comparisons with the exception of a slightly higher number of Black Associate Professors.

	Black Faculty	Full Prof	Difference	Associate Prof	Difference	Assistant Prof	Difference	Other Reg Rank Fac	Difference
Duke	Duke	3.6%		4.0%		4.7%		4.6%	
	All AAUDE	2.7%	0.9%	4.8%	-0.8%	4.9%	-0.2%	3.8%	0.8%
	Private Top 20, AAUDE	3.1%	0.5%	4.9%	-0.9%	5.1%	-0.4%	3.6%	1.0%
	Ranked Equal or Above	3.1%	0.5%	4.0%	0.0%	5.4%	-0.7%	4.1%	0.5%
Duke Minus Clinical and Nursing	Duke	2.0%		7.0%		4.2%		4.0%	
	All AAUDE	2.8%	-0.8%	5.0%	2.0%	4.9%	-0.7%	3.8%	0.2%
	Private Top 20, AAUDE	3.3%	-1.3%	5.4%	1.6%	5.1%	-0.9%	3.5%	0.5%
	Ranked Equal or Above	3.4%	-1.4%	4.6%	2.4%	5.4%	-1.2%	4.0%	0.0%

Table 2. Percentage of Black faculty at Duke compared to all AAUDE, Private Top 20 AAUDE, and AAUDE institutions ranked equal to or higher than Duke. The percentages and differences in percentages are shown for all of Duke and for Duke without Clinical Sciences and the Nursing School. Data are for 2012.

The results for Hispanic faculty shown in Table 3 are likewise very small percentages, and the differences are fairly uniformly lower for all of Duke, but higher for Duke when Clinical Sciences and Nursing are excluded. The percentages of Hispanic faculty at Duke are comparable to within +/- 2% in all categories and comparisons with the exception of a slightly higher number of Hispanic Full and Assistant Professors when Clinical and Nursing are excluded.

	Hispanic Faculty	Full Prof	Difference	Associate Prof	Difference	Assistant Prof	Difference	Other Reg Rank Fac	Difference
Duke	Duke	1.5%		3.4%		4.2%		2.7%	
	All AAUDE	2.6%	-1.1%	4.5%	-1.1%	4.9%	-0.7%	2.7%	0.0%
	Private Top 20, AAUDE	1.9%	-0.4%	3.8%	-0.4%	4.5%	-0.3%	2.8%	-0.1%
	Ranked Equal or Above	2.1%	-0.6%	4.5%	-1.1%	4.9%	-0.7%	2.4%	0.3%
Duke Minus Clinical and Nursing	Duke	4.0%		3.9%		6.1%		2.8%	
	All AAUDE	2.6%	1.4%	4.7%	-0.8%	5.0%	1.1%	2.9%	-0.1%
	Private Top 20, AAUDE	1.8%	2.2%	3.6%	0.3%	4.0%	2.1%	3.0%	-0.2%
	Ranked Equal or Above	2.0%	2.0%	4.2%	-0.3%	4.2%	1.9%	2.7%	0.1%

Table 3. Percentage of Hispanic faculty at Duke compared to all AAUDE, Private Top 20 AAUDE, and AAUDE institutions ranked equal to or higher than Duke. The percentages and differences in percentages are shown for all of Duke and for Duke without Clinical Sciences and the Nursing School. Data are for 2012.

The percentages of Asian faculty at Duke, shown in Figure 4, are high compared to almost all of the AAUDE institutional comparisons performed herein, and are markedly higher at the Assistant Professor and Other Regular Rank faculty levels.

	Asian Faculty	Full Prof	Difference	Associate Prof	Difference	Assistant Prof	Difference	Other Reg Rank Fac	Difference
Duke	Duke	10.1%		13.7%		21.7%		16.1%	
	All AAUDE	10.4%	-0.3%	13.6%	0.1%	15.3%	6.4%	5.6%	10.5%
	Private Top 20, AAUDE	8.5%	1.6%	13.6%	0.1%	16.1%	5.6%	6.8%	9.3%
	Ranked Equal or Above	9.0%	1.1%	15.6%	-1.9%	17.1%	4.6%	8.0%	8.1%
Duke Minus Clinical and Nursing	Duke	10.2%		13.6%		21.8%		11.5%	
	All AAUDE	10.5%	-0.3%	13.3%	0.3%	15.2%	6.6%	5.5%	6.0%
	Private Top 20, AAUDE	8.5%	1.7%	12.3%	1.3%	14.2%	7.6%	6.8%	4.7%
	Ranked Equal or Above	9.0%	1.2%	13.8%	-0.2%	14.3%	7.5%	8.2%	3.3%

Table 4. Percentage of Asian faculty at Duke compared to all AAUDE, Private Top 20 AAUDE, and AAUDE institutions ranked equal to or higher than Duke. The percentages and differences in percentages are shown for all of Duke and for Duke without Clinical Sciences and the Nursing School. Data are for 2012.

Served Populations

As outlined in Section Four, the literature shows that students who are members of underrepresented groups achieve better educational outcomes if the faculty includes more role models and mentors of similar race, ethnicity, gender, and sexual identify. The various populations served by Duke and AAUDE faculty have higher percentages females: 56.8% of college students were female in the U.S. in 2012; Duke’s undergraduate student population is 50% female; the Duke patient population is 59.1% female; and the population of North Carolina and the U.S. are both approximately 51% female.

Likewise, the percentages of minority faculty at Duke (and AAUDE schools) are not representative of the various populations served, as shown in Figure 8. The percentages of Duke’s Black and Hispanic faculty are lower than those of Duke undergraduate students (10% Black, 7% Hispanic, 21% Asian)⁴⁰ and Duke’s patient population (28.4% Black, 4.0% Hispanic, and 1.9% Asian).⁴¹ As a general comparison, the percentages of minority faculty at Duke are also not representative of the populations of North Carolina or the United States. In North Carolina, the population is 71.7% White, 22% Black, 1.6 % American Native, 2.6% Asian, and 8.9% Hispanic or Latino. The US population is 77.7% White, 13.2% Black, 1.2% American Native, 5.3 % Asian and 17% Hispanic or Latino, according to the 2013 U.S. statistics.⁴²

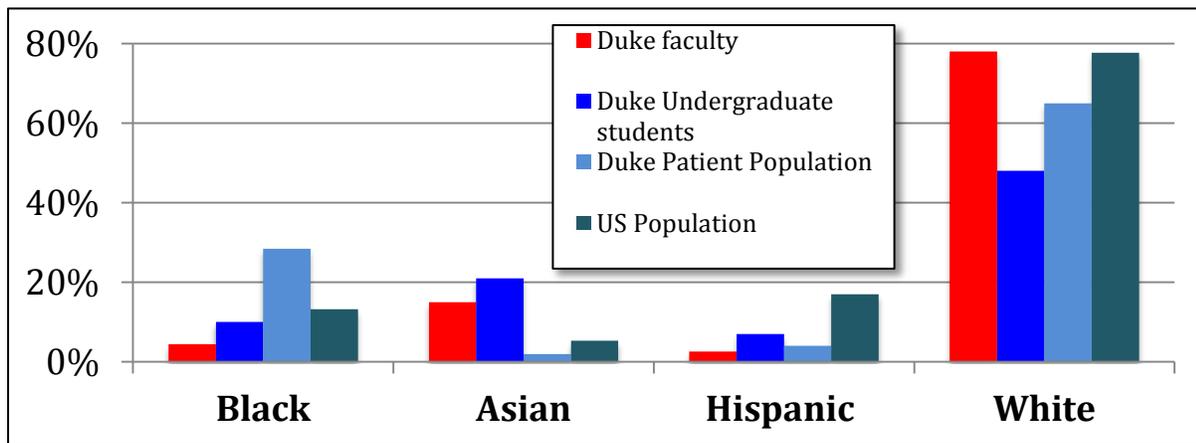


Figure 8. Black, Asian, Hispanic and White percentages within Duke faculty (red, 2012 data), the Duke undergraduate student population (dark blue; from Duke Quick Facts, Fall 2014); the Duke patient population (light blue, 2014); and the US population (grey/blue, 2013 U.S. statistics).

⁴⁰ <http://newsoffice.duke.edu/all-about-duke/quick-facts-about-duke>

⁴¹ Duke Health Technology Solutions; Unique visits to DUHS from 1/1/2014 to 10/24/2014.

⁴² U.S. QuickFacts, <http://quickfacts.census.gov/qfd/states/00000.html>

VII. BEST PRACTICES

What are effective practices for promoting faculty diversity and inclusion? What has worked elsewhere, and what is working here at Duke? To address these questions, the DTF interviewed deans and key administrators at Duke, and examined practices at institutions reputed to have outstanding success in these areas (University of Michigan and Texas A&M). The DTF also drew upon existing scholarly literature and resources provided by organizations such as American Association of University Professors and the National Science Foundation Advance program. Our findings are organized into the following areas:

- Leadership and Institutional Commitment
- Culture of Inclusion
- Countering Bias and Common Misperceptions
- Faculty Searches and Recruitment
- Faculty Tenure and Promotion
- Mentoring
- Equity and Retention
- Diversity in Administration

Each of these areas is described in detail in the Supporting Documents, with links to key resources.

One key finding is that achieving real and lasting results requires an *institutional commitment* to systemic change. Commitment, direction, and funding must come from above, while energy, talent, and ideas must be tapped at all levels. The university must empower and equip individual schools and departments for necessary changes while simultaneously holding senior leaders of these units *accountable* for their own commitment to and achievement of diversity and inclusion benchmarks.

A second key finding is that achieving a diverse faculty at Duke requires more than simply increasing the numbers of women and minority faculty. *Inclusion* is the heart of diversity and often its greatest challenge. A climate of inclusion means that all faculty have agency and voice and are treated with respect. Such a climate promotes faculty engagement, productivity, and collaboration, and enhances efforts to recruit and retain an outstanding and diverse faculty and student body.

A third key finding is that *implicit bias* impedes fair assessment of women and minority candidates in search, appointment, tenure, and promotion processes. It also promotes behaviors and structures that yield a climate of exclusion and disempowerment rather than inclusion and empowerment. We all have implicit biases. Yet there are proven methods for educating faculty

and leadership to recognize and counteract existing biases. While some at Duke take advantage of these strategies, more education and interventions are needed.

With respect to *faculty searches*, diversity should not be simply an ingredient that is added to a list of considerations in the hiring process. Rather, to achieve a diverse faculty, diversity must be viewed as a core value that is pursued proactively and is woven into the fabric of strategic hiring plans. Searching for and *recruiting* diverse faculty should not be limited to filling vacancies within the faculty, but should be treated as a long-term, perpetual process. Practical areas to address in the search process include diverse committee compositions and inclusion of a diversity advocate on the committee, a committee charge that emphasizes diversity, writing a position announcement and description that casts a wide net, recruiting during the search, counteracting evaluation bias in forming short lists and during campus visits, and actively recruiting during the campus visit. Institutional support is vital for helping individual Schools and Departments/Divisions transform their search and recruitment practices and for holding them accountable in the process.

To ensure the inclusion and flourishing of diverse faculty among all ranks, attention must also be given to processes for *tenure and promotion*. Special care must be taken to ensure clear communication of expectations for tenure and promotion and that women and minority faculty receive equitable resources and encouragement as they work toward these goals. As noted above, measures must also be taken to counteract implicit bias on the part of all faculty involved in these processes, including Deans and Chairs, tenure and promotion committees, and members of the Appointment, Promotion, and Tenure (APT) committee. Moreover, contributions to diversity can be valued as a key component of a candidate's research, teaching, or service. Measures should also be implemented to ensure diversity among those honored with Distinguished Professorships and named Chairs.

Vertical and peer *mentoring* is a key factor in ensuring the success and inclusion of diverse faculty at all career stages, and has been shown to improve faculty satisfaction and engagement. In developing structures and policies for mentoring, Departments and Divisions must recognize the distinct mentoring needs of women and minority faculty and may choose to meet these through dedicated programs and structures. Mentoring skills should not be taken for granted, but should be cultivated through training and education, and evaluated and rewarded by the institution. Effective structures at other institutions include team models, a Director of Faculty Mentoring that works with mentoring facilitators across the campus, and faculty leadership initiatives that foster leadership skills among women and underrepresented minorities.

Retention begins with a commitment by the faculty and administrative commitment to create and maintain an inclusive work environment. Creating an equitable climate for all faculty

includes attention to gaps in pay *equity* and other forms of compensation between white male faculty and nonwhite and female faculty as well as the distribution of service responsibilities and availability of childcare. Ensuring that women and minority faculty are well represented at the highest ranks and are supported in their efforts at securing promotion are important ways of reducing overall pay gaps. Transparent reporting of pay ranges and other forms of compensation and resources by rank within departments and divisions, establishing clear policies and procedures related to setting faculty salaries, and training administrators in salary-setting are also key strategies for ensuring equity in compensation. In addition, negotiation training for both administration and faculty promotes equitable compensation and can increase retention. Proactive and responsive retention offers promote *retention* in the short and long term.

Universities should give due attention to the *inclusion of women and minorities in senior administrative roles*, where they are underrepresented. Creating the support and space for underrepresented minorities to obtain and hold these positions entails prior work in building up diversity and inclusion among the faculty as well as an openness to external hires. A robust process for identifying women and underrepresented minority faculty and faculty candidates with leadership potential should be paired with a more widely accessible leadership development program designed to cultivate diverse leadership.

VIII. RECOMMENDATIONS

As noted elsewhere in this Report, in some areas Duke has made excellent progress and has developed outstanding programs and practices designed to promote diversity and inclusion. Yet, in other areas, Duke faces challenges and lags behind some of its peers. The DTF is confident that with proper attention, Duke can be a leader in diversity and inclusion, setting the standard for others to follow. Achieving this goal, and creating a more inclusive and diverse Duke, necessarily involves a collaborative partnership between faculty, administrators, staff, and students. To paraphrase President Brodhead, we are all responsible for the Duke that we are and the Duke that we create.⁴³ The following Recommendations are designed to facilitate and to strengthen this University-wide partnership and to offer constructive guidance in areas meriting action.

- **Recommendation One – Vision and Leadership**
- **Recommendation Two – Structural and Functional Changes**
- **Recommendation Three – School/Department/Division Diversity Plans**
- **Recommendation Four – General Training in Diversity and Inclusion**
- **Recommendation Five – Hiring Programs**
- **Recommendation Six – Faculty Searches**
- **Recommendation Seven – Retention**
- **Recommendation Eight – Data and Transparency**

Recommendation One – Vision and Leadership

Leadership

Responsibility for advancing diversity and inclusion lies with all members of the Duke community: with the Trustees, President, Provost, Chancellor, Deans, Chairs, and faculty playing a critical leadership role. University leaders and members of the Duke community must not only articulate a vision for diversity and inclusion, they must be vocal, engaged, and consistent advocates for it.

The DTF underscores that the faculty have a collective responsibility to ensure the diversity of our ranks. While faculty must partner with administrators to identify and implement policies to augment faculty diversity, the faculty have a privileged role in constantly recreating ourselves. Faculty commitment to diversity and inclusion can be effectively demonstrated through active engagement of these issues.

⁴³ From address to the Duke Community in Spring, 2015, in front of the Duke Chapel.

Position Statement

To our knowledge, Duke has no official, university-wide position statement affirming its commitment to diversity and inclusion. Building upon the recent words of President Brodhead and Provost Kornbluth,⁴⁴ the DTF offers the following statement on diversity and inclusion for Duke University:

Duke is committed to fostering an open and inclusive environment and to achieving a community of diverse faculty, students, administrators, and staff. Every student, faculty, and staff member — whatever their race, gender, nationality, ethnicity, or cultural heritage, whatever their religious or political beliefs, whatever their sexual orientation and gender identity—has the right to respect and inclusion in the Duke community. All members of the University community have a responsibility to engage actively in upholding these values.

The DTF recommends that the Academic Council work with the Duke Administration to finalize and adopt a position statement modeled on the above. Once adopted, the DTF recommends that the Board of Trustees include the statement in the University's Bylaws. We expect that this will be a momentous occasion for the entire Duke community to discuss and affirm its commitment to diversity and inclusion.

Once adopted, the DTF also recommends that the position statement be widely publicized at all levels of Duke. Importantly, Duke's web presence on diversity and inclusion is weaker than many other top institutions, representing a missed opportunity to convey Duke's commitment to these values.⁴⁵ The DTF recommends that the position statement be prominently displayed on the websites of all key University administrators and that of each school. We also recommend that each school develop a diversity and inclusion statement that is both consistent with the University statement and that highlights each school's individual commitment in light of its mission.

⁴⁴ <https://today.duke.edu/2015/03/326statement>

⁴⁵ <http://www.diversity.cornell.edu/>

Recommendation Two – Structural and Functional Changes

The DTF emphasizes the importance of addressing faculty-specific diversity and inclusion concerns. With this in mind, we recommend the following revisions to existing structures that affect faculty. These revisions seek to strengthen the Vice Provost for Faculty Diversity and Faculty Development position (at the University level) and to engage and empower the faculty at the local Department/Division and School levels. More specifically, these revisions are designed: (1) to improve vertical and horizontal communication between and among Schools and various administrative entities; (2) to establish clear and transparent accountability mechanisms for faculty and administrators; and (3) to develop effective resources for faculty to use. The DTF’s structural and functional changes are described below and summarized in Figure 9.

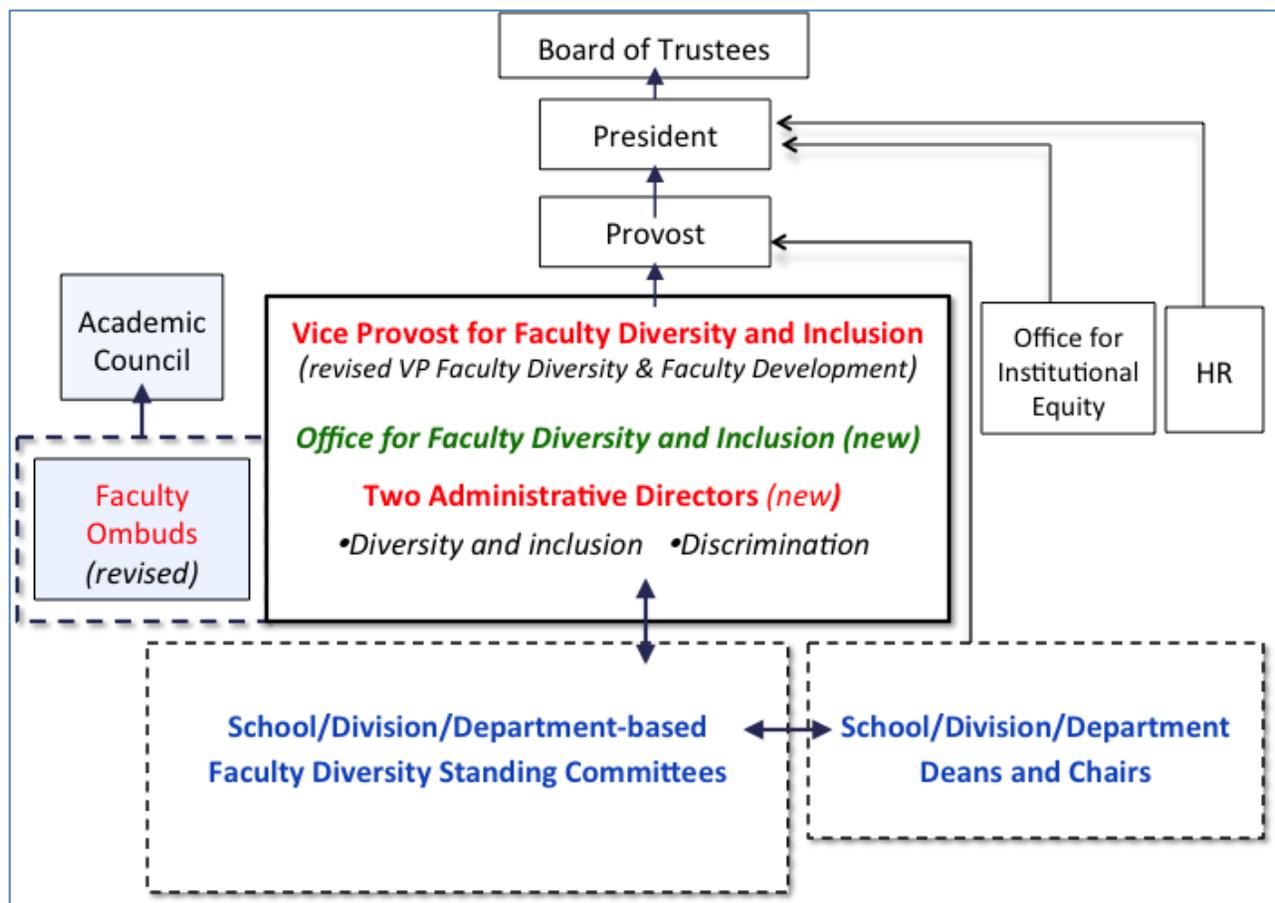


Figure 9. Structural and functional revisions.

Vice Provost for Faculty Diversity and Inclusion (VP-FDI). The DTF recommends an expansion and reconceptualization of the current position of Vice Provost for Faculty Diversity and Faculty Development. In consultation with the Provost and President, the new VP-FDI, a tenured faculty member, would be responsible for (1) developing, implementing, and monitoring faculty-oriented diversity and inclusion policies and programs, and (2) supervising efforts to address faculty concerns of bias, harassment, and discrimination. Recognizing that it is not possible for one individual to effectively perform these expanded functions, the DTF recommends that the VP-FDI oversee a new Office for Faculty Diversity and Inclusion and its administrative personnel, as described below.

Office for Faculty Diversity and Inclusion (new). Under the supervision of the VP-FDI (described above), the Office for Faculty Diversity and Inclusion would be responsible for the implementation of University-wide faculty-oriented diversity and inclusion efforts. The DTF recommends that the Office include at least two full-time administrative directors. These directors must have professional training and experience in diversity and inclusion. The directors, who will need sufficient staff, would bear responsibility in two broad areas pertaining to faculty: (1) diversity and inclusion strategies; and (2) cases involving bias, harassment, and discrimination. These areas are described in greater detail below:

1. Faculty Diversity and Inclusion Strategies

The Office for Faculty Diversity and Inclusion would

- a. Develop and oversee appropriate training modules for faculty, Chairs, Deans, and search committees (e.g., in implicit bias during faculty searches).
- b. In partnership with the Provost's Office of Institutional Research, collect, compile, and analyze faculty data (e.g., demographic and comparative data, pipeline data, satisfaction survey data, salary/raise data, APT data, retention data).
- c. Help Deans and School/Division/Department-based Faculty Diversity Standing Committees (described below) develop and implement effective diversity and inclusion strategies.
- d. Support the efforts of, and respond to, concerns raised by faculty groups (e.g., the Black Faculty Caucus, the Women's Faculty Network, LGBTQ faculty).
- e. Conduct confidential exit interviews of all faculty who depart from Duke, and compile aggregate data.

2. Faculty Concerns Involving Bias, Harassment, and Discrimination

The DTF recommends that the Office for Faculty Diversity and Inclusion handle faculty concerns about discrimination, bias, and harassment, including those that do not rise to the level of legal action. As noted in a letter to the DTF from the Senior Women in Science Advisory Committee (see Appendix): “While the OIE is well-positioned to respond to legal challenges” there is a need for a separate entity “to work towards the resolution of disputes at an earlier stage, and towards prevention of harassment and discrimination. We envision that this entity serve as a resource for faculty who believe they have experienced bias, discrimination or harassment. The staff of this entity may, for example, undertake investigations, facilitate mediation, or recommend actions to the appropriate leader.”

The DTF recommends that one of the directors in the Office for Faculty Diversity and Inclusion:

- a. Provide a point of contact and resource for faculty concerns of bias, discrimination, and harassment, including those that do not rise to the level of legal action
- b. Investigate and attempt to resolve faculty complaints⁴⁶
- c. Collect data and analyze patterns regarding types of claims and sources of problems.

These proposed structural changes offer faculty members multiple portals through which to raise concerns or seek assistance (e.g., the faculty Ombuds, and the new Office described herein). Given the discomfort that some faculty have expressed with existing channels, the DTF strongly believes that it is important for faculty to have multiple options. The DTF recognizes that Duke must meet legal reporting and compliance requirements. Therefore, the Office for Diversity and Inclusion will need to work with appropriate University structures (e.g., Office of Counsel, OIE) to ensure that these obligations are satisfied.

School and Department/Division Standing Committees on Diversity (S/D-FDSC): The DTF recommends that each School/Department/Division have a Faculty Diversity Standing Committee (S/D-FDSC), chaired by an influential (tenured, if possible) faculty member. Some Schools have large and/or academically distinct Departments or Divisions that may merit an S/D-FDSC internal to the Department/Division. The overall intent of these local S/D-FDSCs is to position faculty within each unit to assume a greater leadership role - in partnership with their Dean/Chair – in advancing diversity and inclusion in the unit. Among other things, the DTF envisions the following for the unit S/D-FDSCs:

⁴⁶ Cases that involve faculty on the one hand and non-faculty, such as students, postdocs, and staff, on the other merit special attention. It is unclear that processes exist to deal with these scenarios.

- That each S/D-FDSC partner with its Dean/Chair in developing their unit’s annual Diversity Plan.
- That each S/D-FDSC prepare an annual report and participate in annual progress meetings between the School’s Dean and the Vice-Provost for Faculty Diversity and Inclusion, as outlined in Recommendation Three.
- That representatives from S/D-FDSCs will serve on a Faculty Advisory Committee to the Vice Provost for Faculty Diversity and Inclusion.
- That a member of the S/D-FDSC⁴⁷ serve on each faculty search committee within the School/Department/ Division.
- That each S/D-FDSC receive funding sufficient to undertake activities consistent with its charge (e.g., to enhance the reach and reputation of the school among diverse populations, to assist with faculty recruitment and development, to enhance networking, and to build an inclusive environment).
- That the Chairs of all of the S/D-FDSCs meet as a group each semester to share information and ideas.

The Faculty Ombuds. The DTF supports the findings of the Ombuds’ Review Committee⁴⁸ and notes that many of the recommendations set forth below are similar to those reached by the Ombuds’ Review Committee.

The DTF recommends that the faculty Ombuds’ position be revised to include the following:

1. Clarification of the role and purpose of the Faculty Ombuds. Consistent with standards set forth by the International Ombudsman Association,⁴⁹ the DTF recommends that the Faculty Ombuds operate as someone who “advocates for fair and equitably administered processes and does not advocate on behalf of any individual within the organization.”
2. That the Ombuds act not simply as an information resource and a dispute resolution mechanism, but that the Ombuds be encouraged to suggest policy revisions and other institutional changes in response to complaints received by the office.

⁴⁷ This person would help the search committee to locate and draw upon resources and networks to ensure a diverse candidate pool.

⁴⁸ See Report of the Faculty Ombuds Review Committee (April 2015), available at <http://academiccouncil.duke.edu/wp-content/uploads/2008/05/Ombuds-Review-Committee-Report-FINAL.pdf>.

⁴⁹ <https://www.ombudsassociation.org/About-Us/IOA-Standards-of-Practice-IOA-Best-Practices.aspx>

3. A requirement of mandatory training in counseling, implicit and explicit bias, negotiation and mediation, Duke structures for handling complaints, legal requirements, etc. both prior to appointment and regularly during the course of the Ombuds' term.
4. A requirement of de-identified data collection by the Ombuds regarding, at minimum: (a) the number of contacts received from faculty; (b) the types of complaints/concerns; and (c) actions taken.
5. A mechanism for following up with faculty who seek assistance from the Ombuds.
6. That the Ombuds provide a report at the end of each semester to ECAC, the President, and the Provost, and a yearly report to the Academic Council, summarizing activities, identified problem areas, and recommendations for systemic change. At minimum, these reports should contain the demographic information referenced in (4) above. The reports should also contain information about those policies, programs, procedures or practices which may be problematic for Duke or which negatively affect the health, safety, or rights of faculty.
7. That the Ombuds have access to sufficient staff to process cases efficiently and to carry forth the responsibilities of this position.
8. A clear statement should be prominently displayed in various locations on Duke's website, clearly defining the role of the faculty Ombuds and how the Ombuds functions. The Ombuds' website at UNC Chapel Hill provides a useful example of an easily accessible and informative website.⁵⁰
9. The establishment of two faculty Ombuds with different demographic characteristics. The DTF believes that multiple points of access are important for a large and diverse campus community.
10. Revision of Appendix N to ensure that the Ombuds is structurally neutral. IOA standards state that "Ombuds should hold no other position in the organization that might compromise independence" and "the Ombuds should not report to, nor have the appearance of reporting to, any compliance office or function of the organization." Appendix N requires the faculty Ombuds to work with OIE and the Chair of the Faculty Hearing Committee. This nexus should likely be severed. Appendix N, and other relevant procedures, should also be revised to ensure that faculty members are afforded sufficient agency and control over how their cases are handled.

⁵⁰ <http://www.ombuds.unc.edu/>

11. The IOA take the position that contacts with the Ombuds must be strictly confidential and that contact with the Ombuds does not count as “notice” to the University. Duke should work with the Office of Counsel to ensure that communications with the faculty Ombuds are confidential. An assurance of confidentiality may enable aggrieved individuals to come forward with greater ease.
12. That a central University Ombuds be appointed to coordinate the activities of the various Ombuds on Duke’s campus (e.g., the faculty Ombuds and the student Ombuds operating out of OIE and the School of Medicine).

The Office for Institutional Equity (OIE). The DTF envisions that OIE will continue to be responsible for the development of the University’s harassment and discrimination policies, but OIE will not assume primary responsibility for administering those policies with regard to faculty matters. The DTF envisions that the Vice President for Institutional Equity and the Vice Provost for Faculty Diversity and Inclusion will interact as necessary to ensure that the University meets its regulatory compliance requirements.

With regard to OIE’s training function and its continuing jurisdiction over the University’s harassment and nondiscrimination policies, the DTF recommends:

1. A review of the University’s harassment policy.
2. A review of OIE’s training modules.

Recommendation Three - School/Department/Division Diversity Plans

The DTF recommends that each School, Department, or Division develop its own Diversity Plan. These plans should be produced through a collaborative partnership between the Department/Division Chairs and Deans, their corresponding Faculty Diversity Standing Committee (as outlined in Recommendation Two), and the Vice Provost for Faculty Diversity and Inclusion.

The Diversity Plans should include:

- 1-, 3-, and 5-year-benchmarks and measurable goals toward greater diversity and inclusion;
- Strategies and best practices that the School/Department/Division will use to achieve these goals;
- Methods and guidelines for mitigating bias and promoting diversity and inclusion in faculty search and APT processes;
- Other practices and resources that might enhance the success and inclusion of underrepresented faculty (e.g., funding to attend conferences, leadership training events, more effective mentorship arrangements);
- Metrics and plans for annually assessing progress toward goals and an annual assessment report;
- Structures of accountability, including transparency in reporting and decision-making, to hold faculty and leadership responsible for the benchmarks and goals in their Diversity Plans.

To facilitate development of the Diversity Plans, the Provost and Deans shall provide the S/D-FDSCs with recruitment, hiring, and retention statistics, satisfaction survey results, data on Duke and comparative faculty demographics, and other de-identified data for their Department/Division or School, as outlined in Recommendation Eight.

Recommendation Four – General Training in Diversity and Inclusion

The DTF recommends that the Office for Faculty Diversity and Inclusion assume responsibility for identifying and overseeing the implementation of appropriate training modules to be used in the Schools. While all faculty would likely benefit from appropriate training, the DTF believes that it is essential to identify and implement effective training modules for faculty serving on APT, search committees, and S/D-FDSCs, as well as those serving in leadership roles (e.g., Deans and Chairs), and as mentors. Among other things, training should include harassment prevention, implicit and explicit bias, and cultural awareness.

Recommendation Five – Hiring Programs

1. The DTF strongly encourages the University to refocus the Target of Opportunity Program on its original goal of hiring women and underrepresented minorities, and to significantly expand the allotment of faculty lines under this Program. We recommend the formation of a centralized University committee to oversee Target of Opportunity hiring.
2. As each School/ Department/Division develops its Diversity Plan, the Provost should work with Deans, Chairs, and corresponding S/D-FDSCs to set clear diversity hiring goals, noting areas of need for increased diversity.
3. The DTF recommends that the Provost and Deans withhold lines (i.e., not approve searches) for Schools and Departments/Divisions that do not make progress, without adequate written explanation, toward increased diversity and inclusion.
4. The DTF recommends the continuation and expansion of the University's Provost Postdoctoral Fellowship Program, which seeks to recruit women and minorities into postdoctoral positions. We recommend that this program be designed to prepare postdocs for faculty positions at Duke. This, or a similar program, could also be developed in partnership with other universities to increase the pipeline of diverse faculty candidates.
5. Deans and Department/Division Chairs have a significant impact on diversity and inclusion. The DTF recommends that the President, Provost and Chancellor review and modify existing hiring guidelines and practices to ensure that diversity and inclusion are core values in the selection of Deans and Department/Division Chairs. The DTF believes that this review should also extend to the hiring of other senior administrators (e.g., Vice Presidents, Vice Provosts, etc.).

Recommendation Six – Faculty Searches

Faculty search practices vary widely across Duke’s Schools, particularly with respect to advancing faculty diversity and inclusion. To address this issue, the DTF recommends the following actions:

1. The Development of a Faculty Search Toolkit, to be posted on the Provost’s Office of Faculty Affairs and the Office of Faculty Diversity and Inclusion websites. The Toolkit will contain information about how to diversify candidate pools, minimize implicit and explicit bias in search and hiring processes, and otherwise enhance the recruitment of diverse faculty. Many of Duke’s peer institutions⁵¹ provide Faculty Search Toolkits, typically accessed through their Provosts’ websites.⁵² Suggested best practices for the development of Duke’s Faculty Search Toolkit can be found in the Supporting Documents.
2. While the recommendation above provides Duke-wide guidance on enhancing diversity during faculty searches, each School/Division/Department will likely need faculty search and recruitment guidelines tailored to the unit’s organizational and diversity challenges. We recommend that each S/D-FDSC and Dean work with the Office of Faculty Diversity and Inclusion to develop unit-specific procedures and practices.
3. Because the composition of a search committee plays a critical role in achieving a diverse candidate pool, the DTF recommends that each S/D-FDSC work with its Chair/Dean to formulate faculty search committees, that search committees be diverse, and that the composition of the search committees be made public as soon as the committee is formulated. As noted in Recommendation Two, we recommend that at least one S/D-FDSC member serve on each search committee.
4. The DTF recommends that before faculty candidates are brought to campus, the search committee will submit to the Dean/Chair and the S/D-FDSC a report that describes the committee’s efforts to identify diverse candidates. We recommend withholding approval of short list candidates from search committees that cannot present a compelling justification for a lack of diverse candidates.

⁵¹ <https://faculty.diversity.ucla.edu/resources-for/search-committees/search-toolkit>;

<https://facultysearch.stanford.edu/>; <http://medicine.yale.edu/owm/resources/facultysearch.aspx#page1>

⁵² In contrast, at Duke, information posted on the Provost’s Office of Faculty Affairs website provides no guidance on faculty searches. Some Schools describe procedures for conducting faculty searches in the Faculty Handbook, but these typically focus on lines of authority and communication. Duke’s OIE provides a general diversity toolkit, with useful resources for the Duke Community as a whole, and when asked are available to assist faculty search committees, but most search committees do not use these resources.

5. Where applicable, we recommend that the timeline for faculty searches be revised to an earlier date in order to allow sufficient time to engage all faculty and to ensure a diverse pool.
6. As faculty consider various intellectual areas for future faculty hires that are consistent with the unit's goals, we recommend that they research available data on the demographic characteristics of individual sub-disciplines, and consider searching in areas with higher percentages of underrepresented individuals.
7. When possible, we recommend that diverse candidates be hired in groups (cluster hires), and efforts and resources be devoted to creating community among them to aid in recruitment and retention.

Recommendation Seven – Retention

The action items included in this Recommendation are specifically geared toward creating a more inclusive environment for faculty, which the DTF believes will strengthen retention efforts. These actions fall into four broad categories: (1) mentoring; (2) community building; (3) data collection and analysis; and (4) issues related to non-tenure track regular rank faculty. The DTF recommends:

Mentoring

1. That the Vice Provost for Faculty Diversity and Inclusion develop guidelines for faculty mentoring programs, which will include training for mentors (as indicated in Recommendation Four, above). As a component of this program, the DTF recommends that faculty members eligible for promotion and tenure have access to a committee of former APT faculty members in order to secure confidential advice about the tenure and promotion process.
2. That the University recognize faculty who provide excellent contributions through committee service and mentoring.
3. That the University make financial resources available to junior faculty for professional enhancement opportunities and pilot research grants.

Community Building

4. That the University provide funds and administrative support to enable regular gatherings and other community-building activities of affinity groups, such as female, LGBTQ,⁵³ Black, Latino/a, and STEM female faculty.
5. That, in addition to supporting the group-initiated activities of identity groups (set forth in 4 above), that the Vice Provost for Faculty Diversity and Inclusion develop programs for sustained conversation and engagement among diverse groups of faculty.⁵⁴
6. That, in addition to the satisfaction survey, Duke engage other metrics for evaluating its culture and climate.⁵⁵
7. That Duke participate and improve its standing in organizational “ratings” systems for diverse groups.⁵⁶

Data Collection

8. That the Vice Provost for Faculty Diversity and Inclusion conduct confidential exit interviews of all faculty who depart from Duke (as noted in Recommendation Two).
9. That retention packages and statistics be reviewed (after the fact) for each School by the Vice Provost for Faculty Diversity and Inclusion to ensure equal treatment for women and minorities.

⁵³ For example, the University might support a monthly gathering of LGBTQ faculty/staff that would allow a comfortable ‘gathering place’ to emerge. Once a year, or once a term, the group could host a public conversation/workshop about climate, career, and new research that might be of particular interest to this group.

⁵⁴ For example, it is critical for all faculty to have a safe environment in which to communicate dissent. The VPFDI should host a confidential meeting once per semester for each underrepresented group to voice their concerns. De-identified reporting from these meetings could be useful for pinpointing specific areas and Schools that need attention.

⁵⁵ The Diversity Engagement Survey (DES) is strongly recommended as a tool for assessing culture and climate within Schools and Departments/Divisions and identifying target areas and strategies for improvement.

⁵⁶ For example, two organizations “rate” campuses based upon their LGBTQ friendliness: Princeton Review and Campus Pride. The Princeton Review rates the Top 20 LGBTQ Friendly schools, of which Stanford is #1, and Duke is not on the list. Other schools in Duke’s peer group include Yale (#13), and Rice (#20).

<http://www.princetonreview.com/SchoolList.aspx?id=707>. Duke does not participate in Campus Pride.
<http://www.campusprideindex.org/>

Issues Related to Non-Tenure Track, Regular Rank Faculty

10. That the University review salary information, contractual terms, and dismissal data by School/Department/Division of all non-tenure track, regular rank faculty. Given the sharp increase in non-tenure track, regular rank faculty, this action is required to monitor the growth in short-term contracts and to ensure fair and equitable hiring, salary, and dismissal practices.
11. That the University include non-tenure track faculty in the biannual faculty equity report (including SOM clinical faculty).
12. That the University consider implementing 6-month notice for faculty who have a contract duration of 1 year, and review policies associated with short-term faculty contracts.

Recommendation Eight - Data and Transparency

1. Among the most useful source materials explored for this Report was the wealth of information captured in the detailed demographic, satisfaction, and comparative data. To realize sustained faculty engagement, equity monitoring, and partnership between faculty and administration, the DTF proposes that each S/D-FDSC and its Chair/Dean, as well as the VP-FDI, have access to, monitor, and report to the faculty the unit de-identified data included in this Report, and additional data.⁵⁷
2. The Provost and VP-FDI should:
 - a. Monitor and report to the Academic Council pay equity for total compensation for all regular rank faculty (including non-tenure track), including the School of Medicine.
 - b. Monitor and report to the Academic Council the success frequencies and time to promotion by race/ethnic/gender groups for tenure and promotion to all ranks for each School.
 - c. Analyze and report longitudinal faculty demographic data, in order to identify demographic patterns in retention.
 - d. Analyze and report the demographic characteristics of faculty who choose to leave Duke.
 - e. Review the demographic data for Distinguished Chairs, ensure that there is a diverse group of reviewers for the Distinguished Chair committees at the University and Schools levels, and consider diversity when awarding Distinguished Chairs.
 - f. Revise the Satisfaction Survey to include questions that will elicit information about bias with respect to gender, race, sexual orientation, gender identity, national origin, religion, and political affiliation.
 - g. Review the demographic data for Distinguished Chairs, ensure that there is a diverse group of reviewers for the Distinguished Chair committees at the University and Schools levels, and consider diversity when awarding Distinguished Chairs.

⁵⁷ De-identified data should include: 10 year School/Division/Department Duke and comparative data; search, recruitment, hiring and pipeline data; by percentiles, base salary, total compensation, raise, and promotion information; resource allocation (e.g., space, start-up and travel funds) and workload data; performance measures; time to promotion and retention data; Distinguished Chair data; and satisfaction survey data.

- h. Revise the Satisfaction Survey to include questions that will elicit information about bias with respect to gender, race, sexual orientation, gender identity, national origin, religion, and political affiliation.

IX. NEXT STEPS

1. Implementation. This Report and its Supporting Documents (available at the end of May 2015) provide a wealth of information and analysis that the Diversity Task Force hopes will form the basis for both reflection and action. Of the Eight Recommendations described above, some can be implemented by faculty without input from University administrators. But for many of the Recommendations, implementation will require strong administrative leadership, working in partnership with the faculty. Toward this goal, the DTF proposes that the Executive Committee of the Academic Council work with the Provost and other key administrators during the Summer and Fall of 2015 to discuss implementing these Recommendations.
2. Local Engagement and Empowerment. Although this Report focuses on faculty diversity, the DTF's aim has been to improve the culture and climate for *all* faculty at Duke. Broad faculty engagement is essential to building an inclusive community at Duke, and to enabling our community to realize its full potential. While University-level implementation of these Recommendations may take months to come to fruition, we recommend that at the School/Department/Division level, faculty use this Report and the individual School/Department/Division Reports as a starting point to begin (or to continue) formulating unit-level diversity goals and action plans.
3. Student and Staff Diversity. The Diversity Task Force focused its efforts on *faculty* diversity and inclusion. At the same time, we recognize the need to address diversity and inclusion among staff and students. The DTF strongly recommends the formulation of future task forces to examine issues of concern to these important constituent groups.

May 4, 2015