



Duke
UNIVERSITY

Faculty Excellence through Diversity and Inclusion

Report of the Faculty Diversity Task
Force Implementation Committee

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Executive Summary

In May of 2015, the Diversity Task Force (DTF) of the Academic Council submitted a comprehensive report and recommendations to guide the university in its efforts to enhance faculty excellence, diversity and inclusion. In response, Provost Kornbluth formed the Faculty Diversity Task Force Implementation Committee (IC) to evaluate and assist in the implementation of the DTF recommendations. This report summarizes the work of the IC during the 2015-2016 academic year. While full implementation of all DTF recommendations will require on-going work for years to come, the IC completed, set in motion, or laid the groundwork for progress on many of the recommendations. We highlight progress in three key areas:

1. Leadership and Accountability. To strengthen resources for and oversight of university-wide strategies and functions to advance faculty excellence, diversity and inclusion, the IC defined the responsibilities of the new position of the Vice Provost for Faculty Advancement (VPFA) and the office that he/she will oversee. The VPFA will work with the Provost, deans, faculty, and administrative offices to enhance and monitor Duke's efforts to attract and retain preeminent scholars and educators, ensuring that high standards and fair practices are employed in faculty recruitment, promotion, retention and career advancement. A search to fill this position is currently underway.

2. Faculty Empowerment. To engage and empower the faculty at the local level, the IC provided guidelines for the responsibilities of school/department Faculty Diversity and Inclusion Standing Committees (FDISCs). The overall goals of FDISCs are to facilitate partnership among the faculty, school leadership, and the VPFA; to enable greater faculty leadership in promoting faculty diversity and inclusion; and to provide a means for sustained attention to issues relating to diversity and inclusion at the school and university levels. Key roles for the FDISCs include partnering with school leadership to develop School Faculty Diversity and Inclusion Plans and monitor school progress; and to ensure that equitable practices are employed during faculty searches.

3. Faculty Hiring and Retention. To accelerate Duke's progress in hiring outstanding and diverse faculty, significant resources (the provost's Strategic Faculty Initiative Fund) must be dedicated and sustained over several years. To maximize the impact of provostial and school resources, these funds are to be used to support three primary efforts: incentives to advance faculty diversity through traditional searches; enhancing faculty diversity through a refocused target of opportunity program (the Provost's Strategic Opportunity Hiring Program); and promoting faculty retention by creating a climate of inclusion.

Introduction

Although Duke has made progress in increasing the demographic diversity of our faculty in recent years, our progress has been slow and fragile – and we remain far from realizing the vision of a faculty body that more closely resembles the diversity of the students, patients and society we serve.

In 2014-15, the Diversity Task Force (DTF) of the Academic Council conducted a comprehensive examination of faculty diversity and inclusion at Duke. The [DTF report and supporting documents](#)¹, submitted to the Academic Council in May 2015, included a number of substantive recommendations. Building upon this work, Provost Sally Kornbluth formed the Faculty Diversity Task Force Implementation Committee (IC) in August 2015, whose charge was to:

- 1. Evaluate what is required to implement each recommendation, including but not limited to: the key individuals to be involved, the processes that must be put in place, possible financial implications, and suggested communication and accountability mechanisms where appropriate.*
- 2. Develop a plan for implementation of each recommendation that includes the individuals/units to be involved.*
- 3. Prioritize items in the implementation plan and propose a timeline for the work to be performed.*
- 4. Work to implement, or delegate implementation of, each recommendation and provide oversight and guidance.*

This report summarizes the work of the Implementation Committee over the course of the 2015-2016 academic year. While full implementation of all DTF recommendations will require on-going work for years to come, the IC completed, set in motion, or laid the groundwork for progress on many of the DTF recommendations. We prioritized our work by focusing on the areas we viewed as likely to have the greatest impact and which form the foundation for on-going efforts.

¹ See <http://academiccouncil.duke.edu/dukes-commitment-diversity-and-inclusion>

The DTF recommendations were grouped into the following eight categories, each with sub-recommendations, as follows:

1. Vision and Leadership
2. Structural and Functional Changes
3. School/Division/Department Faculty Diversity Plans
4. Training in Diversity and Inclusion
5. Hiring Programs
6. Faculty Searches
7. Retention
8. Data and Transparency

It is important to emphasize that the eight recommendations are interrelated – with each recommendation calling upon structures, functions, or activities described in others.



1. Vision and Leadership

This recommendation stresses at least three critical concepts: (1) that diversity and inclusion are essential to excellence; (2) that responsibility for advancing diversity and inclusion lies with all members of the Duke community; and 3) that university leaders must articulate a vision for diversity and inclusion, and be its vocal, engaged, and consistent advocates.

Noting that Duke has no university-wide statement affirming our commitment to diversity and inclusion, the DTF recommended the creation of such a statement, its broad dissemination across Duke, and its ultimate inclusion in the University's bylaws. *The IC developed the following text, with input from President Brodhead, Provost Kornbluth, and the Executive Committee of the Academic Council. The text was approved by the Academic Council on 12 May 2016, and is now posted on both the [Academic Council](#) and the [Office of the Provost](#) web sites. At the request of the IC, the Office of the President has forwarded the text to the Executive Committee of the Board of Trustees, with a request that the Board adopt the statement or develop one of its own.*²

Excellence, Diversity and Inclusion

A statement by the faculty, the Provost and the President of Duke University

May 2016

To achieve our mission and meet the needs of a rapidly changing world, Duke strives to create a climate of collaboration, creativity, and innovation within and across disciplines. Our success depends upon the robust exchange of ideas – an exchange that flourishes best when the rich diversity of human knowledge, perspectives and experiences is heard. We nonetheless acknowledge that our policies and practices have often failed to ensure equality of participation within our community. Our renewed commitment and responsibility to one another is articulated in the following statement.

Duke University Community Commitment

Because diversity is essential to fulfilling the university's mission, Duke is committed to building an inclusive and diverse university community. Every student, faculty, and staff member—whatever their race, gender, age, ethnicity, cultural heritage or nationality; religious or political beliefs; sexual orientation or gender identity; or socioeconomic, veteran or ability status—has the right to inclusion, respect, agency and voice in the Duke community. Further, all members of the University community have a responsibility to uphold these values and actively foster full participation in university life.

² The Board of Trustees is also expected to receive for its consideration a statement on diversity and inclusion developed by a group convened by Vice President Ben Reese, which met in May 2016 to begin deliberations.

Although the entire Duke community has the obligation to uphold these values, *a special duty rests with leaders who oversee schools, departments, institutes, programs, and the university as a whole.* To deepen this core expectation for effective leadership, we recommend:

1) When the University seeks to fill senior leadership positions (Deans, Institute and Initiative Directors, Vice Provosts, the Provost, and the President), search committees are charged to assess demonstrated commitment to furthering diversity and inclusion within higher education; and

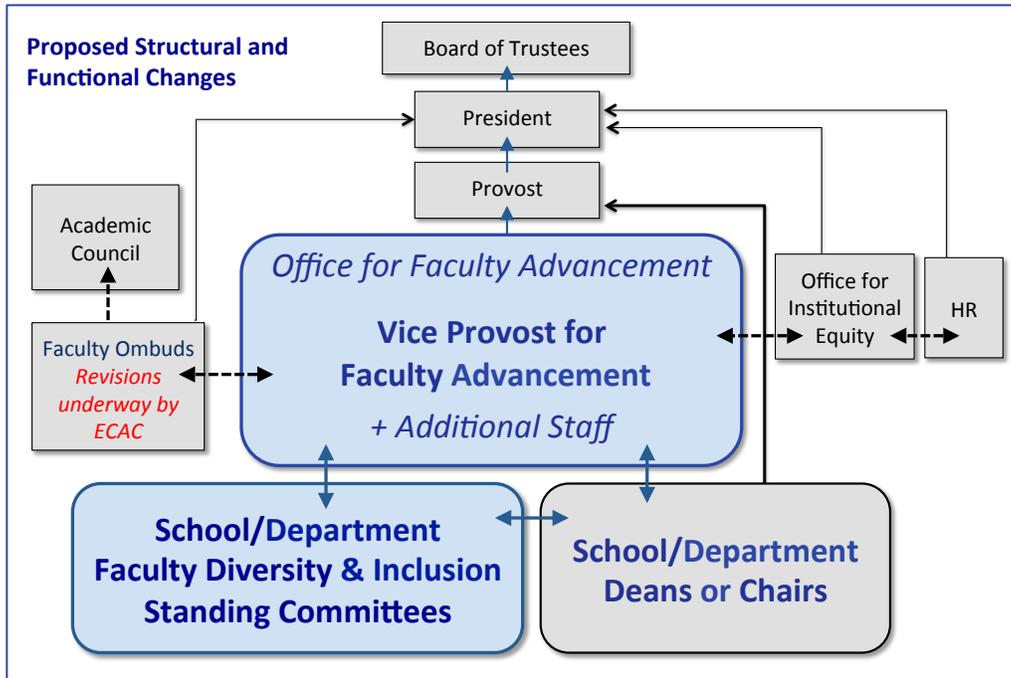
2) Performance reviews of individuals in senior leader positions evaluate the leader's record on these issues.

2. Structural and Functional Changes

This multi-faceted recommendation was designed to address faculty-specific diversity and inclusion concerns through structural and functional changes. The overall objectives are to improve vertical and horizontal communication among schools and administrative entities; establish clear and transparent accountability mechanisms for faculty and administrators; and develop effective resources for faculty. A diagram of the relationships among new and existing structures is depicted below, modified from the DTF report.

As summarized below, *the IC focused its efforts on developing the responsibilities and partnership relationships of the two new entities (highlighted in blue): the Vice Provost for Faculty Advancement (who will oversee the Office for Faculty Advancement); and the School/Department Faculty Diversity and Inclusion Standing Committees.*³

³ The DTF recommendations on revisions to the role of the Faculty Ombuds are currently being pursued by the Executive Committee of the Academic Council. The IC believes that the DTF recommendations to evaluate OIE's harassment policy and training modules should be considered by the new Vice Provost for Faculty Advancement, with attention to their impact on faculty.



The Vice Provost for Faculty Advancement

The position of the Vice Provost for Faculty Advancement, and the Office he/she oversees, are designed to strengthen resources for and oversight of university-wide strategies and functions to advance faculty excellence, diversity and inclusion. The IC discussed the crucial functions of the new Vice Provost position, and its relationship to other structures. Because Provost Kornbluth hoped to initiate a search immediately, *the IC articulated the scope of this position in the form of an advertisement, which was incorporated into the search announcement (see [Appendix 2](#)) of January 2016. As of this writing, the search is underway, with the participation of IC members.*

School Faculty Diversity and Inclusion Standing Committees

To empower faculty at the local level, the DTF report recommended that each school (or division/department, depending on size) have a Faculty Diversity and Inclusion Standing

Committee (FDISC).⁴ The objectives of the FDISCs are 1) to facilitate partnership among the faculty, School leadership, and the Vice Provost for Faculty Advancement; 2) to enable greater faculty leadership in promoting faculty diversity and inclusion; and 3) to provide a means for sustained attention to issues relating to diversity and inclusion throughout the University.

The IC recognized that each school would likely approach the formation of FDISCs in its own way, based on its size, culture, and existing governing structures. With this in mind, *the IC developed a working paper (Appendix 3) to provide guidance on the responsibilities of the FDISCs, as well as factors to be considered to maximize their effectiveness.* Importantly, the structures and responsibilities aim to respect the integrity of faculty deliberations while enhancing the faculty's knowledge and participation in ways that advance the goal of excellence through diversity and inclusion.

A draft of this document was presented at the Dean's Cabinet Meeting on November 9, 2015. Provost Kornbluth distributed the final document to the deans on December 9, 2015, with a request to:

- Distribute to your faculty the DTF report as well as the reports for your individual schools/divisions, both of which are available at <http://sites.duke.edu/diversitytaskforce/> (net id protected).
- Convene your faculty to discuss the contents of these reports and the attached guidelines and examples. *[examples were provided from the Sanford School of Public Policy and the Medical School]*
- Form School Faculty Diversity and Inclusion Standing Committees, so that these structures are in place in time for the arrival of the new VP.
- Begin to work on developing a School Faculty Diversity and Inclusion Plan. *[see below]*

⁴ Units such as Institutes that have faculty hiring authority should develop similar structures.

3. School/Division/Department Faculty Diversity & Inclusion Plans

The DTF recommended that each school or unit develop its own faculty diversity plan. It was envisioned that school plans would be produced through collaboration among the Deans/chairs, their corresponding Faculty Diversity and Inclusion Standing Committees, and the Vice Provost for Faculty Advancement (see Recommendation #2 above).

The IC provided suggestions for the content of School Faculty Diversity and Inclusion Plans⁵, as well as examples from the Sanford School and the School of Medicine. The IC recommended that, among other elements, each Plan should include:

- *1-, 3-, and 5-year-benchmarks and measurable goals toward greater diversity and inclusion;*
- *Strategies and best practices that the School will use to achieve these goals;*
- *Metrics and plans for annually assessing progress toward goals.*
- *Methods and guidelines for mitigating bias and promoting diversity and inclusion in faculty search, appointment, promotion and tenure processes;*
- *Description of existing and proposed programs to enhance professional development and inclusion of all faculty, with particular attention to underrepresented groups.*

4. Training in Diversity and Inclusion

Due to the complexity of identifying effective training modules, the IC concurred with the recommendation of the DTF that *the new Office for Faculty Advancement should assume responsibility for identifying and overseeing the implementation of appropriate training modules on topics such as implicit and explicit bias, cultural awareness and harassment prevention.* We are also aware that this is likely to be one of the recommendations in Duke's Strategic Plan. We also concur with the DTF that it is essential to identify and implement effective training modules for those faculty serving

⁵ Plan guidelines were included in the document on purview of the school Faculty Diversity and Inclusion Standing Committees (Appendix 2).

on the Appointments, Promotion and Tenure committee, on faculty search and review committees, and in other leadership roles.

Strategic Faculty Initiative Funds

To accelerate Duke's progress in hiring outstanding and diverse faculty, significant financial resources must be dedicated and sustained over several years.⁶ *Funds are not unlimited*, however, either at the level of the Provost's Office or at that of the schools. We must therefore maximize the impact of our collective resources, in ways that are sustainable long-term, to advance faculty diversity hiring goals. It is also true that *different schools will require differing approaches*, based on their different faculty growth and budgetary constraints, and their specific diversity challenges.

The Strategic Faculty Initiative Funds will be dedicated exclusively to advance faculty diversity and inclusion goals. These funds will be used to support three primary efforts:

- Advancing faculty diversity through traditional search incentives (see 6. Faculty Searches).
- Advancing faculty diversity through the Provost's Strategic Opportunity Hiring Program (see 5. Hiring Programs).
- Advancing faculty retention by working to create a climate of inclusion (see 7. Retention).



⁶ The three efforts supported by the Strategic Faculty Initiative Funds will likely require \$4M-\$5M per year, based on similar plans announced by peer institutions.

The Vice Provost for Faculty Advancement will be responsible for disbursement of the Strategic Faculty Initiative Funds, with advice from the **Faculty Advancement Advisory Committee**, a committee of representative faculty formed by the Provost with input from ECAC. Advisory to the Provost and convened by the Vice Provost for Faculty Advancement, the Faculty Advancement Advisory Committee will advise on the use of Strategic Faculty Initiative Funds, and monitor and facilitate progress to achieving faculty diversity and inclusion goals.

5. Hiring Programs

The DTF made five recommendations with respect to hiring programs. These can be summarized as recommendations regarding 1) faculty target of opportunity hiring; 2) the development of school faculty diversity and inclusion plans; 3) withholding of faculty lines from schools/departments that do not make progress on diversity hiring without adequate explanation; 4) expansion of the Provost's Post-doctoral program; and 5) ensuring that diversity and inclusion are core values in the selection of senior administrators.⁷

In addition to the faculty diversity and inclusion plans discussed above, the IC focused primarily on the first and fourth of the DTF recommendations related to hiring: the target of opportunity program, and the provost's post-doctoral program. However, in an effort to develop structures and procedures that hold the greatest promise of advancing faculty diversity, the IC considered these two programs in conjunction with our discussion of Recommendation 6: revisions to traditional faculty search practices.

Based on our discussions, *the IC views a substantially revised target of opportunity program and modifications of traditional search practices as essential to accelerate Duke's progress in hiring outstanding and diverse faculty.* Below, we discuss our

⁷ The IC's guidelines for (2) School diversity hiring plans are presented above. We discussed (3) withholding of faculty lines from schools/departments that do not make progress on diversity hiring, and believe that this remains an appropriate measure of last resort for the Provost and VPFA. The IC also discussed (4) the importance of ensuring that diversity and inclusion are core values in the selection of senior administrators, and is heartened by recent leadership hires, but we did not develop a process to institutionalize this goal. We would argue that holding leaders accountable for advancing diversity and inclusion should also be a key element in the review of administrators for reappointment.

proposed revisions to Duke's target of opportunity program. This is followed by our conclusions on the provost's post-doctoral program. In Recommendation 6, we describe modifications to and incentives for traditional faculty searches.

The Provost's Strategic Opportunity Faculty Hiring Program

Dedicated hiring programs have proven essential for increasing faculty diversity at Duke.⁸ Nevertheless, while data are not available to examine all of Duke's 'target of opportunity' hiring, anecdotal information suggests that over the years substantial resources have also supported the recruitment – without a search – of significant numbers of faculty who are not from underrepresented groups. It is therefore essential that we implement sound and transparent mechanisms for the allocation of funds, with appropriate faculty input, to ensure that designated funds are used to enhance faculty excellence by advancing diversity and inclusion goals.

The Provost's Strategic Opportunity Hiring (SOH) Program – a renaming of the 'target of opportunity' program – involves hiring faculty without a traditional search. While the SOH Program bears similarities to conventional target of opportunity programs, it differs from the latter in that the new SOH program:

- *Is linked to pre-identified strategic hiring priorities;*
- *Has enhanced oversight mechanisms;*
- *Can be used to hire junior and mid-career as well as senior candidates.*

The following structures and guidelines are designed to improve accountability, oversight, assistance, and success in strategic opportunity hiring. Because faculty hiring procedures differ among schools, where warranted, the Provost's office will work with individual deans to develop modified approaches in keeping with the intent of these guidelines.

⁸ The most recent iterations of target of opportunity diversity efforts are the 2003 Faculty Diversity Initiative and the diversity goals of the 2006 Strategic Plan, with provost support of approximately \$1-2M/year. P. Lange and N. Allen, Faculty Diversity Initiative Update: Biannual Report to the Academic Council, 2013.

Oversight

- The Strategic Opportunity Hiring Program will be overseen by the Vice Provost for Faculty Advancement, with input from the Faculty Advancement Advisory Committee.

Candidates

- The SOH Program will be directed toward *hiring faculty at all levels, including junior, mid-career and senior faculty*. This contrasts with Duke's previous target of opportunity program, which has commonly focused on hiring senior faculty.
- The SOH Program will focus on identifying external candidates, but may also include internal individuals who advance faculty excellence through diversity and inclusion.
- The VPFA will work with schools/departments to help identify potential SOH candidates who are consistent with the unit's FDI Plans. To this end, *funds will be made available, on a competitive basis, to help departments/schools identify potential SOH candidates* (e.g., through visiting professorships, speaker series, seminars, or other department-specific mechanisms).

Procedures

- Each year, the VPFA will notify deans, chairs and faculty of the funds allocated to the SOH program for the upcoming academic year, and apprise them of application procedures.
- If a school/ department has identified a candidate or candidates whose hiring will significantly advance faculty excellence through diversity and inclusion as articulated in school FDI Plans, the dean/chair will submit a request to the VPFA to approach the candidate(s).
- The VPFA and Faculty Advancement Committee will evaluate the request —based on meetings with and/or information provided by the dean/chair and the unit's FDI Standing Committee — in light of individual merit, the unit's FDI Plan and Duke's strategic priorities. The Faculty Advancement Committee will submit their recommendation to the VPFA.
- Taking into account the recommendations of the VPFA and the Faculty Advancement Committee, the Provost will approve or decline requests for SOH funds and notify schools/departments.

- If successful, the Provost's office will typically commit to a 5-year walk-down in salary and shared start-up costs (see section on Funding Models below).
- The school/department, in collaboration with the office of the VPFA, will develop structures to maximize the success of the transition to Duke, particularly for junior faculty hires. Funds for such efforts may be requested of the VPFA.

Possible Revised Post-doc-to-Faculty Program

In 2007, Provost Lange created the Provost's Postdoctoral Program, the goal of which was to increase the diversity of scholars who have potential for becoming tenure track faculty at Duke University or peer institutions, particularly in fields with few women and/or underrepresented minorities. The program currently admits ~2 post-docs per year, none of whom have been hired into tenure-track faculty positions at Duke. While training talented and diverse scholars and educators for success at other institutions is an admirable goal, it represents a significant investment in a missed opportunity to diversify Duke's faculty.

Given our lack of success in advancing faculty diversity at Duke through the Provost's Postdoctoral Program, *we recommend either discontinuing the program and using the resources for other Strategic Faculty Investment Fund efforts, or piloting a limited but substantially revised program* modeled on successful programs elsewhere, such as the Carolina Postdoctoral Program for Faculty Diversity at UNC-Chapel Hill.

6. Faculty Searches

Because most faculty hiring takes place through traditional departmental searches, it is essential that *fair and equitable practices are employed during all stages of faculty recruitment*. The following describes *modifications to Duke's search procedures, including structures for oversight and review, as well as possible incentives to accelerate progress in advancing faculty diversity through traditional searches*.

Modification of Traditional Faculty Search Practices

The Provost's Office Responsibilities

Search Guidelines

Most of our peer institutions provide detailed guidelines that describe best practices in faculty search and hiring procedures, with particular attention to approaches designed to advance diversity and inclusion goals⁹. We recommend that the VPFA develop similarly detailed guidelines, post on the Provost's web site, and notify all deans, directors, and relevant administrators of expectations.

Search Oversight

The Office of the Vice Provost for Faculty Advancement will, among other duties, *assist schools/departments in the development of their faculty search procedures, monitor progress of approved searches, and evaluate long-term trends.*

Searches that occur across or outside of school boundaries (e.g. Institutes, special initiatives) will be overseen by the VPFA, participating schools, and Vice Provost for Interdisciplinary Studies where relevant.

School Deans and Faculty Responsibilities

School-Specific Traditional Search Procedures

Building on the Provost's Office guidelines, each school (or department) will *develop transparent procedures for conducting faculty search and recruitment, tailored to their field-specific practices and organizational structure.* It is expected that School-specific search policies will be developed by the School Faculty Diversity and Inclusion Standing Committees (FDISCs), working in partnership with their deans and the office of the VPFA.

School Deans and Faculty Oversight

While search practices will differ among schools and disciplines, it is expected that the School Faculty Diversity and Inclusion Standing Committees will consult with their Deans on:

- Formation of the faculty search committee.
- Crafting of the faculty position announcement and its distribution, to attract a diverse candidate pool.

⁹ <http://advance.umich.edu/good-practices.php>; Columbia: <http://facultydiversity.columbia.edu/best-practices-faculty-search-and-hiring>; Harvard: <http://faculty.harvard.edu/resources-conducting-faculty-search>

- The slate of candidates to be interviewed, based on a summary submitted by the ad hoc search committee on efforts to achieve a diverse candidate pool.

In addition, School FDISCs will:

- Consult with search committees on resources and effective strategies for increasing the diversity of candidates and mitigating bias in evaluation of candidates.
- Provide annual feedback to the Dean/Chair and the VPFA on successes and potential areas of improvement.

Traditional Faculty Search Incentives

Given that the vast majority of faculty hiring occurs through traditional searches, a productive use of Strategic Faculty Initiative Funds is to *provide incentives for units to advance faculty diversity through traditional searches*. For example, Strategic Faculty Initiative Funds may be used:

- To subsidize salary or start-up costs for individuals identified through traditional faculty searches who advance diversity goals.
- For an additional search in a subsequent year, in effect, producing a cluster hire of diverse faculty through a combination of departmental and Strategic Faculty Initiative Funds.
- To provide additional support for the newly hired faculty (e.g., graduate student support, start-up package supplements) or to fund other departmental needs.

Funding Models to Advance Faculty Hiring Goals

While the IC was not asked explicitly to examine funding models, issues of funding arose naturally in our discussions of priorities and incentives, as well as in our research of faculty diversity initiatives at other Institutions. From this, a number of financial

approaches emerged. It is likely that *different schools will require different financial models, based on differences in their anticipated faculty growth, retirements and departures, budget outlook, endowment, fund-raising potential, school-specific diversity challenges and goals, and other factors.* Given the need for flexibility among schools, we offer the following for consideration.

Funding to Advance Diversity through Traditional Searches

Approximately 40 searches are approved each year for non-clinical faculty, about half of which represent replacements for retirements or departures. Because these are approved searches, their costs are typically included in school budgeting. If a significant fraction of these annual searches lead to the hiring of outstanding faculty who advance diversity and inclusion goals, the number of hires would equal or exceed those hired through the SOH program. Thus, to make rapid, substantial and sustainable progress *we must work to ensure that a significant fraction of traditional department searches advance diversity, through a combination of effective search practices, oversight, and incentives.* Examples of possible incentives to advance diversity through traditional searches are described above.

Funding of the Provost's Strategic Opportunity Hiring Program

The SOH program is similar to traditional target of opportunity programs in that it involves hiring without a traditional search, but the new program will have enhanced oversight and will focus on the recruitment of outstanding faculty at all levels who advance strategic priorities with respect to faculty excellence, diversity and inclusion.

Current 5-year walk-down model

In recent years, the Provost's office has funded individual target of opportunity hires – whether they advance diversity or not – in the form of a 5-year walk-down in costs to the schools. Not surprisingly, this is unpopular with schools deans, particularly those who inherit the ballooning commitments of their predecessors. In addition, for schools under severe budget constraints, it is not a sustainable funding model.

Nevertheless, this model can be sustainable and effective under the following conditions: where schools anticipate faculty retirements in the years during the walk-down, and are willing to commit the future vacancy to a current SOH position. In this

event, recruitment of an SOH candidate (and 5-year walk down) makes it possible to simultaneously advance diversity goals and fill a faculty position earlier than vacated.

Endowed Chairs

The most stable way to fund a faculty position is by endowing the position. If faculty diversity is to be a cornerstone of the new Strategic Plan, development officers should be encouraged to prioritize fundraising efforts towards endowed chairs dedicated to increasing diversity and inclusion. Possible endowment models include:

- Provost/School Match Model

In this model, schools raise funds for half of the funds needed for the endowed chair, with the Provost providing matching funds.

- Donor Match Model

In this model, a significant donor with a passion for advancing faculty diversity at Duke endows half of the chair, as an incentive for other donors to match and name the chair.

7. Retention

The DTF recommendations related to faculty retention aim to create a more inclusive faculty environment, and comprise 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 IC agrees that a respectful, inclusive environment is essential to faculty retention. Based on the sparse data available from faculty satisfaction surveys, the IC notes that faculty from underrepresented groups in a number of schools report disproportionately lower satisfaction with their working environments and less support from their unit's leaders. The IC believes that the hard task of changing culture and climate requires leadership and buy-in at all levels, and will be a critical task for the new VPFA, working in partnership with school deans and associated FDISCs. Indeed, a key goal of Duke's new strategic plan is to advance the success, satisfaction and retention of faculty

through effective mentoring programs and other community building efforts, with particular attention to faculty from underrepresented groups.

There is also a critical need for the collection of data to understand and address the sources of faculty dissatisfaction. While confidential exit interviews can be a valuable source of information, we need to identify and act upon growing discontent before a faculty member begins to look elsewhere. In particular, there are questions as to whether faculty retention packages are equitable with respect to women and minorities across schools. Examination of these and other equity issues raised by the DTF (e.g., salary, space, and other resources) should be undertaken by the VPFA, shared with the deans and school FDISCs, and addressed where problems are identified.

As a complement to the faculty recruitment efforts described in detail in this report, the IC suggests devoting a portion of the Strategic Faculty Initiative Funds toward retention packages for faculty from underrepresented groups. It is expected that these funds would not be the sole source of support but would augment funds committed by the schools to retention efforts.

8. Data and Transparency

The DTF recommended that the rich body of de-identified data collected on Duke faculty, and comparisons to our peers, be made available to faculty in order to sustain faculty engagement, monitor equity, and identify areas for improvement. Most importantly, each school's or unit's FDISC should have access to demographic, satisfaction, resource equity and other data, to enable these committees advance diversity and inclusion goals in partnership with their deans and the VPFA.

The IC made some progress in this area, but further work is needed. Specifically, the Provost's Director of Institutional Research has agreed to work with schools and institutes to make their demographic and satisfaction survey data available to their deans or directors and FDISCs. Issues that remain to be resolved include the need to ensure confidentiality (both internally and with peer institutions), and the fact that not all schools have yet formed an FDISC or other faculty body which would be provided with confidential access. Once the FDISCs and the VPFA are in place, these and other issues related to data access can be addressed.

The Cultural Taxation of Faculty from Underrepresented Groups

In Duke's tradition of shared governance, faculty members voluntarily serve on a vast number of university, school and department committees. This is healthy in that it ensures that the perspectives of the faculty are heard in most major university decisions. The downside to this shared governance responsibility, however, is that with the proliferation of new initiatives comes a burgeoning of new committees, the serving on which takes faculty time away from their primary educational and scholarly responsibilities. This is particularly true of faculty from underrepresented groups who, though small in numbers, are regularly tapped for committee membership to ensure diverse perspectives. This "cultural tax" is particularly acute when the work of a committee involves diversity and inclusion.

Mindful of this, it is ironic that DTF recommendations, and this report, call for the creation of a number of new faculty governance bodies to advance diversity and inclusion. The context for this is faculty frustration with the slow progress we have made over the years. The new faculty committee structures are an attempt to empower the faculty to achieve more rapid progress. Indeed, faculty engagement efforts in the Sanford School have yielded rapid and positive results, despite the added faculty burden. It is our hope that with time, cultural changes and commitments to diversity and inclusion will become so ingrained at all levels that 1) the burden of ensuring equity will not rest primarily on faculty from underrepresented groups who serve on these committees, but that any and all faculty will embrace the values we seek to uphold regarding diversity and inclusion; and/or 2) the need for constant monitoring by faculty committees will no longer be required. It is important to acknowledge that service on these committees represents a significant time commitment, particularly for faculty from underrepresented groups, and compensation (e.g., relief from other service responsibilities, discretionary funds) may be appropriate.

Appendices

Appendix 1: Charge to the Implementation Committee

August 2015

Charge to the Faculty Diversity Task Force Implementation Committee

The Diversity Task Force (DTF) of the Academic Council, in consultation with individuals throughout the Duke community, has developed a comprehensive report to guide the university in its efforts to maintain and enhance its commitment to faculty diversity and inclusion. The DTF report and supporting documents, submitted to the Academic Council in May 2015, include specific recommendations that will need to be evaluated and appropriate mechanisms identified and undertaken for its implementation. Therefore, a Faculty Diversity Task Force Implementation Committee will be established both to assist the Provost in developing an implementation strategy for centrally-driven or long-range recommendations, and for coordinating with the Executive Committee of the Academic Council to implement action items that do not require Provostial involvement and/or can be developed at the unit or faculty level.

The Faculty Diversity Task Force Implementation Committee (IC) will examine each of the recommendations in the DTF report and:

1. Evaluate what is required to implement each recommendation, including but not limited to, the key individuals to be involved, the processes that must be put in place, possible financial implications, and suggested communication and accountability mechanisms where appropriate.
2. Develop a plan for implementation of each recommendation that includes the individuals/units to be involved.
3. Prioritize items in the implementation plan and propose a timeline for the work to be performed.
4. Work to implement, or delegate implementation of, each recommendation and provide oversight and guidance.

The IC will report to the Provost on each recommendation as it is addressed based upon the timeline it develops. It can divide into subcommittees and invite the participation of other members of the Duke community, as it deems appropriate. The committee will maintain regular communication with the Provost and ECAC on progress. The committee will be expected to serve until May 31, 2016. At that time, the committee will deliver to the Provost, and copy to ECAC, a report detailing 1) Action items underway, 2) Recommended plans for implementation of those action items that must be driven by the Provost's office, and 3) Recommended plans for implementation of faculty-driven action items. A final report will be delivered for discussion by ECAC and the Academic Council.

In order to facilitate rapid progress on a key recommendation in the DTF report, the IC, or a subset thereof, will also serve as the search committee for the Vice Provost for Faculty Diversity and Inclusion, a new position to be created as part of the implementation of the DTF report.

Sally Kornbluth
Provost
James B. Duke Professor of Pharmacology and Cancer Biology
Duke University

Appendix 2: Position Advertisement for VPFA

Search Advertisement

Vice Provost for Faculty Advancement

A major research institution with an operating budget of more than \$2 billion, Duke University is located in Durham, North Carolina, with research and educational programs that reach across the globe. In order to promote a superior educational environment, advance the frontiers of knowledge within and across disciplinary boundaries, and contribute to the international community of scholarship, Duke employs more than 3,400 tenure track and regular rank faculty across its ten schools. To support the excellence and development of its faculty, Duke invites nominations and applications for a significant academic leadership position as the Vice Provost for Faculty Advancement.

The Vice Provost for Faculty Advancement provides intellectual leadership, guidance, and oversight of University-wide strategies and programs to enhance faculty excellence. Because diversity and inclusion are essential aspects of faculty excellence, a core component of the Vice Provost's responsibilities is to promote diversity and inclusion in the faculty. To enhance Duke's efforts to attract and retain preeminent scholars and educators, the Vice Provost for Faculty Advancement works with the Provost, Deans, faculty, and administrative offices to ensure that high standards and fair practices are employed in faculty recruitment, appointment, promotion and career advancement. In collaboration with units across the University, the Vice Provost develops and monitors programs to sustain faculty excellence and to enhance faculty success and satisfaction. To fulfill these responsibilities, the Vice Provost for Faculty Advancement will oversee the development and implementation of a University-wide strategic plan for faculty advancement, diversity, and inclusion. The Vice Provost will also create, staff, and supervise the Office for Faculty Advancement, Diversity and Inclusion, the goals of which are to:

- Serve as a central resource for faculty throughout their careers (e.g., orientation of new faculty; mentorship; leadership development);
- Develop mechanisms to achieve greater faculty access to institutional support structures and programs;
- Evaluate the effectiveness of existing faculty support programs and identify new initiatives that may be required;
- Collect and interpret data relating to faculty appointments, diversity, satisfaction, and other metrics, in collaboration with the Provost's Office of Institutional Research;
- Work with the Provost to establish hiring guidelines, policies and procedures to increase faculty diversity;
- Assist Duke schools and units to develop, implement, and assess their faculty diversity and inclusion plans and promote collaboration across the University;
- Initiate programs to foster campus-wide awareness of and commitment to faculty diversity goals;
- Serve as a resource for faculty with concerns about bias, discrimination, and harassment; collect and interpret data to identify sources of problems; work with faculty, chairs, deans and the Provost to address problems; partner with University entities to facilitate their efforts to ensure that Duke's legal reporting and compliance obligations are met.

The Vice Provost for Faculty Advancement reports directly to the Provost, and collaborates closely with other members of the Provost's senior leadership. The Vice Provost should be an intellectual leader among the faculty, a strong advocate for faculty development and mentoring, as well as faculty diversity

and inclusion, and an energetic and effective administrator. Duke University aspires to move beyond a limited understanding of diversity and seeks applicants equipped to lead substantive dialogue directed at transformative growth. Applicants and nominees for this position must be faculty members, and should be eligible for tenured faculty appointment within one of Duke's academic units.

Applications and nominations should be sent electronically (Microsoft Word or Adobe PDF files preferred) to: DukeVPFacultyAdvance@spencerstuart.com. Applications should include a letter of interest that includes a statement of the applicant's vision for faculty advancement, diversity and inclusion at Duke (two page maximum), and CV. Nominations should include the candidate's CV and a brief description of why the individual should be considered for the position.

Duke University is an Affirmative Action/Equal Opportunity Employer committed to providing employment opportunity without regard to an individual's race, color, religion, age, gender, sexual orientation, national origin, genetic information, veteran status, or disability.

Vice Provost for Faculty Advancement Search Committee

Paul Magwene, Department of Biology – Chair
Grainne Fitzsimons, Fuqua School of Business
Ed Balleisen, Vice Provost for Interdisciplinary Studies
Guy-Uriel Charles, School of Law
Viviana Martinez-Bianchi, School of Medicine
Aaron Kay, Psychology & Neuroscience
Jennifer West, Pratt School of Engineering

Appendix 3: Guidelines: Faculty Diversity & Inclusion Standing Committees

Presented by E. Klein and T. Jones at the Dean's Cabinet Meeting on November 9, 2015.

Suggested guidelines distributed to the Deans by Provost Kornbluth on December 9, 2015, with a request to:

- Distribute to your faculty the DTF report as well as the reports for your individual schools/divisions, both of which are available at <http://sites.duke.edu/diversitytaskforce/> (net id protected).
- Convene your faculty to discuss the contents of these reports and the attached guidelines and examples.
- Form School Faculty Diversity Standing Committees, so that these structures are in place in time for the arrival of the new VP.
- Begin to work on developing a School Faculty Diversity Plan.

School-based Faculty Diversity and Inclusion Standing Committees

Suggested Guidelines

Diversity and inclusion are central to Duke's research, teaching, and service missions. Consistent with the University's tradition of faculty governance in partnership with administrative leaders, each School or unit (herein referred to as School¹⁰) will have a Faculty Diversity and Inclusion Standing Committee (FDISC). Due to the unique employment characteristics of faculty, and the responsibilities of the unit-based Faculty Diversity and Inclusion Standing Committees described herein, it is essential that the FDISCs are distinct from other School-based diversity committees focused on students

¹⁰ Unit is defined as a school, division or department, depending on size and intellectual scope; large schools may have divisional or departmental FDISCs.

or staff, although it is expected that these groups would work in partnership where appropriate.

The purposes of the FDISCs are 1) to facilitate partnership among the faculty, School leadership, and the Vice Provost for Faculty Advancement; 2) to enable greater faculty leadership in promoting faculty diversity and inclusion; and 3) to provide a means for sustained attention to issues relating to diversity and inclusion throughout the University. This working paper outlines responsibilities of the FDISCs before setting forth factors to be considered to maximize their effectiveness. Importantly, the structures and responsibilities described herein aim to respect the integrity of faculty deliberations while enhancing the faculty's knowledge and participation in ways that advance inclusive goals.

I. Responsibilities and Purview

In collaboration with their Dean (or Chair for larger units), and the Vice Provost for Faculty Advancement, the FDISCs will have the following responsibilities:

A. Faculty Diversity and Inclusion Plans

- Develop a long-term Plan for increasing faculty diversity¹¹ and inclusion within their School. Among other elements, each Plan should include:
 - *1-, 3-, and 5-year-benchmarks and measurable goals toward greater diversity and inclusion;*
 - *Strategies and best practices that the School will use to achieve these goals;*
 - *Metrics and plans for annually assessing progress toward goals.*
 - *Methods and guidelines for mitigating bias and promoting diversity and inclusion in faculty search, appointment, promotion and tenure processes;*
 - *Description of existing and proposed programs to enhance professional development and inclusion of all faculty, with particular attention to underrepresented groups.*

B. Data Analysis

¹¹ From the 2014 Faculty Diversity Task Force Report: "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."

- Serve as the faculty point-of-contact for review of relevant data and information on Duke faculty and comparison cohorts (e.g., faculty at peer institutions, student/patient populations) including:
 - Findings of the faculty satisfaction survey
 - Demographic data
 - Pipeline data
 - De-identified salary and raise data
 - Data on appointments, promotions, tenure and retention
 - Allocation of workload and resources (e.g., lab space)
- Evaluate other data (e.g., curricular offerings) to identify opportunities to advance diversity and inclusion goals.

C. Hiring

- Consult with the Dean/Chair on:
 - The formulation of faculty search committees.
 - Faculty position announcements and their distribution.
 - The slate of candidates to be interviewed in light of a summary submitted by the search committee on efforts and outcomes to achieve a diverse candidate pool.
- Consult with the faculty search committees on resources and effective strategies for increasing the diversity of candidates and mitigating bias in evaluation of candidates.
- Provide annual feedback to the Dean/Chair and the Vice Provost for Faculty Advancement on successes and potential areas of improvement.

D. Inclusion and Retention

- Recommend, sponsor and/or oversee programs to promote the success, inclusion and professional development for all faculty within their schools, with particular attention to creating a culturally inclusive and professionally supportive climate for faculty in underrepresented groups.
- Consult with the Dean/Chair and VP for Faculty Advancement on faculty retention issues.
- Review and, if needed, revise school procedures regarding harassment and discrimination to ensure compliance with University policies.
- Ensure that faculty and administrators are well-informed regarding harassment and discrimination policies and procedures, as well as best practices for ensuring a culture of civility among faculty.

E. Partnership with School and University Structures

- A member of each School FDISC will serve on the Vice Provost for Faculty Advancement's Faculty Advisory Committee,¹² in order to facilitate communication between faculty within Schools and the VP Office, as well as among the School FDISCs.
- The FDISCs will partner with their Dean to 1) develop School Faculty Diversity and Inclusion Strategic Plans and, on an annual basis, evaluate progress and develop action items for the coming year; and 2) consult on faculty hiring and retention (described above) to advance faculty diversity and inclusion goals.
- As representatives of the faculty within each School, members of the FDISC will develop mechanisms to collect faculty input and keep faculty informed. The FDISCs will also partner with existing School faculty governance structures (e.g., faculty council; curriculum committee; student- or staff-focused diversity committees) to share information and explore mechanisms for advancing diversity and inclusion broadly within each School.

II. Maximizing the Effectiveness of School-based FDISCs

Because of the centrality of the FDISC's to Duke's overall objectives, it is essential that School leaders:

- Emphasize the importance of diversity and inclusion to School excellence, and the centrality of the FDSICs in these efforts.
- Empower the FDSICs with substantive participation in core School functions.
- Staff and otherwise equip the FDSICs to succeed.
- Because service on an FDISC represents a significant commitment, both in importance and in time¹³, members should receive relief from other service responsibilities, or other accommodations such as discretionary funds.

While the details of selecting FDISC members will vary from school to school, there should be a preference for faculty viewed as leaders by their colleagues, and consideration given to methods of election or nomination.

¹² This assumes that the new Vice Provost for Faculty Advancement chooses to continue to convene a faculty advisory committee.

¹³ In composing the membership of the FDISCs, it is important to bear in mind that minority faculty often have disproportionately greater mentoring and service responsibilities than non-minority faculty; see, e.g., Knowles, M. F., & Harleston, B. W. (1997). *Achieving diversity in the professoriate: challenges and opportunities*. Washington, DC: American Council on Education.