

2009 Duke University AAP
Executive Summary

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Introduction

In March 1970, Duke University adopted its first Affirmative Action Plan (“Plan”) for Equal Opportunity. President Sanford introduced it by noting that it “was something far beyond a necessary compliance with governmental policy.” Almost four decades later, as the national climate and debate over affirmative action intensified on campuses, at the symposium titled *What Difference Does Difference Make?*, President Keohane remarked:

“As the current backlash against affirmative action and minority recruitment in several parts of our country makes crystal clear, we have taken too much for granted. As a result, we have not yet made a compelling argument, both to skeptical folks on campus and to many in the world outside, for the importance - to learning - of multiple perspectives, different ideas and values on a university campus.”

Under the leadership of President Brodhead, we remain committed to the principles of fairness and equity that illuminated our first Plan in 1970, with the inclusion of diversity as a key element in the university’s strategic plan; and the continuation of processes implemented over the years to ensure an inclusive community will continue to anchor and guide us in the future.

With this update of the Plan, the Office for Institutional Equity brings a set of challenges and opportunities to the members of the University community. Although the Plan is a compliance document fulfilling part of the responsibilities of Duke University as a federal contractor, in the words of a 1970 Trustees’ resolution, we adhere to a policy of equal opportunity “not solely because of a legal requirement, but because it is a basic element for human dignity.”

Description of the Affirmative Action Plan

An affirmative action plan includes certain elements that require annual updates to incorporate current data. The first is the *workforce analysis*, a tabulation of the composition of Duke’s workforce by race and sex within job group categories (type of work) and organizational units. The second is the *utilization analysis* which compares Duke’s current workforce with general workforce availability data to determine whether women or minorities are underutilized within job group categories at Duke. When underutilization of minorities and women is identified, a placement goal is set to move towards adequate representation. The 2009 updates of the workforce and utilization analysis are provided in the Faculty and Staff sections of this report.

Two supporting sections follow these updates. The Initiatives to Alleviate Underutilization section discusses the causes of problem areas and potential corrective actions. Processes for measuring the progress and effectiveness of the affirmative action program are described in the Monitoring and Reporting section. Additional information can be found in the five appendices to the plan.

A separate affirmative action plan is prepared and disseminated for Duke University Health System.

Duke University Faculty and Staff Profile

Data for undertaking affirmative action analyses are obtained from a January 2009, snapshot of the Duke University payroll system and Faculty Management and Profile Systems. Affirmative Action analyses include regular rank faculty and full-time staff.

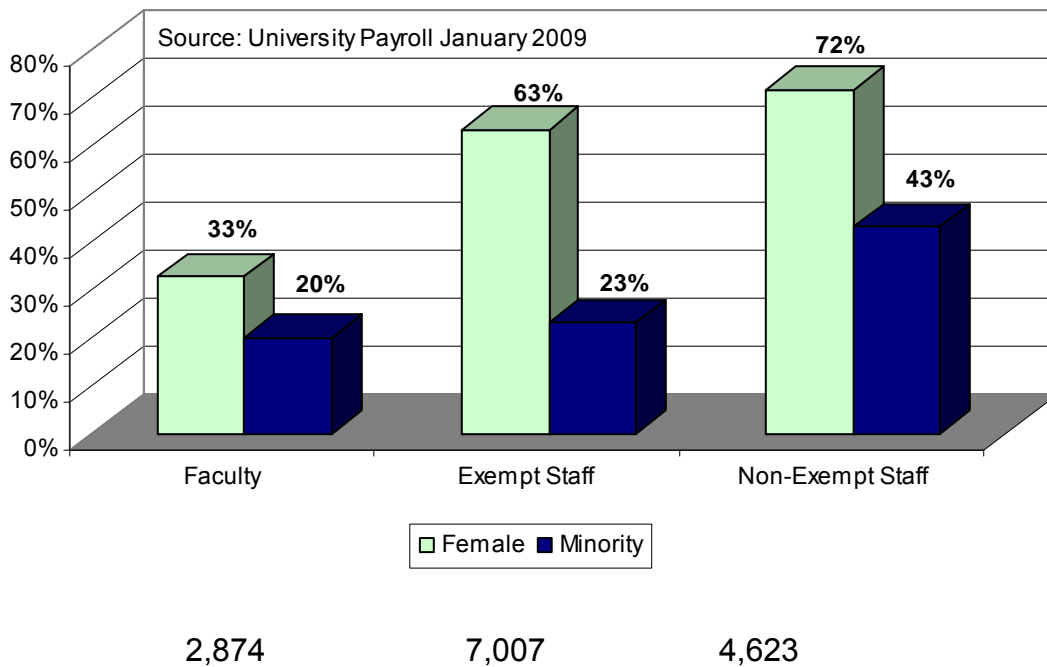
Regular rank faculty includes persons in tenure-track positions as well as other full-time non-tenure track faculty who have a definite instructional component to their appointment and who hold appointments in units offering degree credit with the intent of ongoing contractual relationship to the university and that such relationship is subject to periodic review.

Full-time staff includes all employees who work at least 20 hours per week and 39 weeks per year. House staff, intern, student and temporary employees are excluded from these analyses.

Faculty and Staff - Representation by Race and Gender

For 2009, we report 14,504 faculty and staff at Duke University. The distribution of faculty, exempt and nonexempt staff is displayed in the graph below.

The regular rank faculty reflects a 5% increase over last year's plan. Overall, staff increased by 2%, exempt staff grew by 6% during the one year period, while nonexempt staff declined by 3%. Minority and female representation for faculty and staff has remained relatively consistent over the past three years.



Regular Rank Faculty and Staff by Organizational Unit

A profile of faculty and staff by disciplines and occupational categories for each of the management entities is fully described in the Faculty and Staff sections of this Plan.

Faculty	Total	Women All Races	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Arts and Sciences	644	206	130	37	19	74	0
Professional Schools	385	80	68	15	6	47	0
Schools of Medicine & Nursing	1845	654	377	70	40	267	0
Total	2,874	940	575	122	65	388	0

Staff - Exempt and Nonexempt	Total	Women All Races	Minorities				
			Total	Black	Hispanic	Asian	American Indian
University Administration	530	283	85	71	5	9	0
Office of the Executive Vice President	1,926	850	901	799	61	35	6
Office of the Provost	2,844	1,841	749	457	71	216	5
School of Medicine	5,458	4,007	1,636	848	96	675	17
School of Nursing	86	71	24	21	3	0	0
Private Diagnostic Clinics	705	635	201	179	14	6	2
Medical Center Ancillary Units	24	22	7	5	0	1	1
Agencies	57	44	21	19	0	2	0
Totals	11,630	7,753	3,624	2,399	250	944	31

UTILIZATION ANALYSIS FOR FACULTY AND STAFF 2007 - 2009

Utilization analysis compares Duke's current workforce with availability data to determine whether females or minorities are underutilized within job group categories. When underutilization of females or minorities is identified, a placement goal is set to move toward adequate representation. The placement goal is set equal to availability for the underutilized job group, and is met if the hiring rate is equal to or exceeds the goal. Staff hiring data are obtained from the Office of Human Resources. Faculty data are obtained from the Faculty Management System (Campus faculty) and Faculty Profile System (Schools of Medicine and Nursing faculty), and represent a January, 2009 snapshot.

The following table identifies faculty groups which experienced underutilization during 2007 – 2009.

Faculty						
Regular Rank Faculty	Women			Minorities		
	2007	2008	2009	2007	2008	2009
Arts & Sciences						
Humanities						
Natural Sciences						
Social Sciences	●	●	●	○	○	
Professional Schools						
Divinity School	○			○		
Fuqua School of Business	○	○	○	○		
Nicholas School of the Environment	○			○	○	○
Pratt School of Engineering						
Biomedical						
Civil						
Electrical				○	○	○
Mechanical				○	○	○
School of Law			○	○	○	○
Schools of Medicine and Nursing						
Basic Sciences	●	●	●			
Clinical Sciences				●		●
School of Nursing				○	○	○

● Underutilized - ≥ 2 Standard Deviations

○ Approaching underutilization – ≥ 1 Standard Deviation

Staff

Job Group	Women			Minorities		
	2007	2008	2009	2007	2008	2009
Exempt Staff						
Administrative						
11	Executive & University Officials	●	●	○	●	●
12	Senior Administrators				●	●
13	All Other Mgrs/Administrators				●	●
Professionals						
31	Pay Levels 14-16				●	●
32	Pay Levels 11-14				●	
33	Pay Levels 11-13					
34	Pay Levels 11-12					
35	Pay Levels 10-11				●	●
36	Research Associates (00)	●	●	●		
37	Professional Librarians (00)	●	●	○		
Nonexempt Staff						
38, 39	Nurses-Clinical & Staff (10-11)				●	●
Clerical						
41	Pay Levels 2-4					○
42	Pay Levels 5-6					
43	Pay Levels 6-7					
44	Pay Levels 7-10					
Technical/Paraprofessional						
51	Pay Levels 4-6	○	●	●		
52	Pay Levels 6-9					
53	Pay Levels 8 & above					
Skilled Crafts						
61-65	All pay levels*	●	●	●	●	●
Service						
71	Pay Level 1*	●		●		
72	Pay Levels 2-5*	●	●	●		
73	Pay Level 2					
74	Pay Levels 3-4					
75	Pay Levels 5-10	●	●	●	●	

● Underutilized - ≥ 2 Standard Deviations

○ Approaching underutilization – ≥ 1 Standard Deviation

* Selected staff represented by a bargaining unit

Current Initiatives and a Framework for Moving Forward

The Office for Institutional Equity (OIE), in collaboration with the Office of Human Resources (HR) and others, has recently initiated several programs to address the underrepresentation of females and minorities and to create awareness of best practices in sustaining a more diverse and equitable workplace. During the past three years, the methodology used to estimate external availability has been enhanced and utilization analyses have been refined, thus improving our ability to more accurately identify areas of concern and formulate realistic placement goals. The Office for Institutional Equity staff visits search committees to share best practices, and to discuss diversity goals. Human Resources and OIE staff monitor recruitment patterns and employment transactions, especially in areas where we have placement goals. Increased attention has been focused on recruitment and retention for senior administrative positions, where we have experienced underutilization for the past three years.

Duke is committed to building an environment that offers equal opportunity for all individuals and has created programs to meet this commitment. Several initiatives for faculty and staff are in place to better understand and address matters of recruitment, retention and professional development of current staff. We recognize that self-assessment, enhanced managerial accountability, education and resources are fundamental to making progress.

Institutional initiatives focus on the following:

- Expand the scope of recruitment and retention efforts,
- Offer training and mentoring opportunities to current employees,
- Promote a respectful and inclusive workplace,
- Improve accountability measures for diversity and work culture initiatives, and
- Enhance internal monitoring and reporting systems.

While elements of the framework above are already incorporated into Duke University's policies and practices, there is still much work to be done in enhancing the effectiveness of these efforts by ensuring consistency in implementation across the University. A concerted and sustained effort is necessary to enhance an equitable, diverse and inclusive environment at Duke. This is a shared responsibility that will require the commitment of all members of the Duke community.
