Affirmative Action Plan
2015
Women and Minorities

Executive Summary

This document is available in alternative format upon request.

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Executive Summary

INTRODUCTION

The Duke University Affirmative Action Plan is a compliance document fulfilling part of the responsibilities of Duke University as a federal contractor. In addition to complying with federal regulations, the Affirmative Action Plan (the Plan) describes an affirmative action program as a management tool. It includes those policies, practices and procedures that we implement to ensure equal employment opportunity. The Plan serves as a guide in monitoring progress and developing initiatives to enhance equal opportunity, and sustaining diversity and equity efforts in all sectors of employment at Duke University. The process for developing the Plan allows us to engage in self-analysis for the purpose of discovering any barriers to equal employment opportunity.

DESCRIPTION OF THE 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 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 estimates in the relevant labor markets to determine whether women and minorities are underutilized within Duke’s workforce. When underutilization of women or minorities is identified in specific job groups, a placement goal is set to move towards adequate representation. The 2015 updates of the workforce and utilization analyses are provided in the Faculty and Staff sections.

Two supporting sections follow these updates. The Initiatives to Alleviate Underutilization section discusses areas of improvement and describes strategies and corrective actions. Process and guidelines for assessing progress and effectiveness of the affirmative action program are described in the Monitoring and Reporting section. Additional information is included in the appendices.

Duke University Affirmative Action Plan includes faculty and staff at the following entities:

Faculty
- Arts and Sciences
- Pratt School of Engineering
- University Institutes and Centers
- Divinity School
- Fuqua School of Business
- Nicholas School of the Environment
- Sanford School of Public Policy
- School of Law
- School of Medicine
- School of Nursing

Staff
- University Administration
- Office of the Executive Vice-President
- Office of the Provost
- School of Medicine
- School of Nursing
- Private Diagnostic Clinics
- Medical Center Ancillary Units and Agencies
FACULTY AND STAFF PROFILE OVERVIEW

Duke University’s Plan includes demographic profile and utilization analyses for regular rank faculty and full-time staff. Regular rank faculty includes persons in tenure-track positions as well as other full-time nontenure track faculty who have a definite instructional component to their appointment, hold appointments in units offering degree credit with the intent of an ongoing contractual relationship to the university with such relationship subject to periodic review. Faculty information is obtained from the Office for Institutional Research and reflects a November 2014 snapshot.

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. Staff data are derived from the payroll system and reflect a December 2014 snapshot.

For the 2015 Plan, we report 15,325 faculty and staff at Duke University. Over the past several years, there has been modest growth among regular rank faculty. The number of staff population has remained relatively unchanged. Representation of women and minorities for all groups has also remained essentially the same as previous years.

Representation of women and minorities for faculty, exempt and nonexempt staff is presented in Figure 1. Women category include women of all races, and the minority category includes both men and women who self-identify as Hispanic, American Indian, Asian, Black, Native Hawaiian/Pacific Islander, or two or more races.

![Figure 1. Representation of Women and Minority Groups](image-url)
FACULTY PROFILE

For 2015, we report 3,394 regular rank faculty, representing 37% women and 22% minorities. These figures include faculty at the Schools of Medicine and Nursing.

Table 1 describes the demographic profile of regular rank faculty by tenure status noting the percentage of faculty in each group by sex and racial categories.

As noted below, among the 1,310 tenured faculty there are 25% women and 17% minority faculty, with a much higher representation of women and minority faculty among the tenure track and nontenure track positions. Asian faculty are the largest minority group by far, followed by Black and Hispanic faculty.

<table>
<thead>
<tr>
<th>Tenure Status</th>
<th>Total</th>
<th>Women</th>
<th>All Minorities</th>
<th>URM</th>
<th>Ethnicity/Race</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Hispanic</td>
</tr>
<tr>
<td>Tenured</td>
<td>1,310</td>
<td>25%</td>
<td>17%</td>
<td>6%</td>
<td>2%</td>
</tr>
<tr>
<td>Tenure Track</td>
<td>439</td>
<td>38%</td>
<td>31%</td>
<td>10%</td>
<td>4%</td>
</tr>
<tr>
<td>Nontenure track</td>
<td>1,645</td>
<td>47%</td>
<td>23%</td>
<td>8%</td>
<td>3%</td>
</tr>
<tr>
<td>Total Faculty</td>
<td>3,394</td>
<td>37%</td>
<td>22%</td>
<td>7%</td>
<td>3%</td>
</tr>
</tbody>
</table>

The “Women” category includes women of all races. “All Minorities” include Hispanics, Asians, Blacks, American Indian, Native Hawaiian/Pacific Islander and two or more races. URM is underrepresented minorities, and is all minorities without Asians. “Other” is the combination of American Indian, Native Hawaiian and Pacific Islander and two or more races. There are 12 faculty in the Other category.
As we continue to strive for progress, Duke’s concerted effort to enhance diversity and to recruit and retain women and minority faculty has resulted in modest gains for both groups. As noted in Figure 2, the growth among women and minority faculty has been proportionately higher than the increase among total faculty.

![Five Year Growth Chart]

**Figure 2. Faculty Growth Patterns for 2011-2015**

While the growth among faculty has resulted in gains for women and minority faculty and we have made progress in achieving placement goals in selected departments, underutilization persists in many departments. Limited hiring opportunities and increasing availability of qualified women and minority faculty has in part contributed to the underrepresentation.

Recruitment and retention of women and minority faculty remains an important institutional priority. The leadership at the University – the president, provost, chancellor, deans, and department chairs – has pledged support for, and commitment to, diversity initiatives outlined by the provost.

These initiatives include:

- Emphasis on recruitment and retention of women and minorities in areas/disciplines where they are underrepresented;
- Sustained focus on each hiring opportunity with outreach and support for search committees;
- Continued support for the Provost’s Postdoctoral Program;
- Efforts to support an optimal working environment for faculty; and
- Promoting work-life policies and practices.
STAFF PROFILE

Table 2 presents the demographic representation of Exempt and Nonexempt staff within occupational categories noting the percent of staff by sex and race groups in each category.

The “Women” category includes women of all races. The “All Minorities” category includes Hispanics, Asians, Blacks, American Indian, Native Hawaiian/Pacific Islander and two or more races. American Indian, Native Hawaiian/Pacific Islander and two or more races are combined under “Other” category. There are less than 150 staff in the Other category.

The data are obtained from the University’s payroll system and reflect a December 2014 snapshot. House staff, student, temporary, contract, and part-time employees, defined as those working less than 20 hours per week or less than 39 weeks per year, are not included in this Plan.

Table 2. Representation of Women and Minorities for Staff by Occupational Category

<table>
<thead>
<tr>
<th>Occupational Category</th>
<th>Total Staff</th>
<th>Women All Races</th>
<th>All Minorities</th>
<th>Ethnicity/Race</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Hispanic</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Asian</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Black</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>White</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Other</td>
</tr>
<tr>
<td>Exempt Staff</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Executive/Administrative</td>
<td>605</td>
<td>320/53%</td>
<td>78/13%</td>
<td>9/1%</td>
</tr>
<tr>
<td>Professional</td>
<td>7,162</td>
<td>4,751/66%</td>
<td>1,796/25%</td>
<td>204/3%</td>
</tr>
<tr>
<td>Nonexempt Staff</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clerical</td>
<td>1,912</td>
<td>1,670/87%</td>
<td>687/36%</td>
<td>46/2%</td>
</tr>
<tr>
<td>Technical/Paraprofessional</td>
<td>1,372</td>
<td>990/72%</td>
<td>507/37%</td>
<td>71/5%</td>
</tr>
<tr>
<td>Skilled Crafts</td>
<td>131</td>
<td>0/0%</td>
<td>30/23%</td>
<td>2/2%</td>
</tr>
<tr>
<td>Service</td>
<td>749</td>
<td>337/45%</td>
<td>628/84%</td>
<td>60/8%</td>
</tr>
<tr>
<td>TOTALS</td>
<td>11,931</td>
<td>8,068/68%</td>
<td>3,726/31%</td>
<td></td>
</tr>
</tbody>
</table>

For the 2015 Plan, we report 11,931 staff at Duke University, only 5 fewer than last year. Representation of women, all races, at 68% and all minorities at 31% has essentially remained the same as last year. The Exempt staff comprises 65% of the total staff. The Professional category with 7,162 staff is the largest group. The Professional category includes positions among professional staff in administrative, technical, student and client services, and financial services.

Based on the current availability estimates, women tend to be well represented in all occupational categories, except top tier positions in the Executive/Administrative category and among Skilled Craft positions. We continue to struggle with representation of minorities among senior level positions in both Executive/Administrative and Professional categories. Minorities are overrepresented in Service positions with 84% of the 749 staff.
INITIATIVES FOR MOVING FORWARD

Duke University 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. We recognize that self-assessment, enhanced managerial accountability, education and resources are fundamental to making progress. Specific information regarding initiatives is noted in the *Initiatives to Alleviate Underutilization* sections of this Plan.

Institutional initiatives focus on the following:

- Expanding the scope of recruitment and retention efforts;
- Offering coaching, professional development and mentoring opportunities;
- Promoting and sustaining a respectful and inclusive workplace;
- Improving accountability measures for diversity and work culture initiatives; and
- Enhancing internal monitoring and reporting systems.

The Office for Institutional Equity, in collaboration with the Office of Human Resources, Provost, deans and department heads, has initiated several programs to alleviate the underrepresentation of women and minorities and to create awareness of best practices in sustaining a more diverse and equitable workplace. During the past few 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 offer support for conducting a compliant and equitable search process. Human Resources and the Office for Institutional Equity staff monitor recruitment patterns and employment transactions, especially in areas where placement goals have been identified.

While elements of the framework and initiatives described above are 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 incorporate the fundamental principles of equal opportunity, diversity and inclusion in all aspects of the Duke experience.