

# Appendices

- A. Statement of Student Demands ([online here](#))
- B. President Joel Seligman’s Response to the Student Petition ([online here](#))
- C. Report on Bias-Related Incidents AY15-16
- D. Report on “We’re better than THAT” Anti-Racism and Anti-Hate Speech Committee
- E. Student Code of Conduct Statement of Policy ([online here](#))
- F. Report on College Initiatives on Race and Diversity ([online here](#))
- G. Status Report on Faculty Development and Diversity Efforts in Arts Science & Engineering ([online here](#))
- H. Town Hall Transcript Summaries and Analysis ([online here](#))
- I. HERI Campus Climate Survey Summary
- J. Diversity Engagement Survey Executive Summary
- K. Enrollment Data 2006-2015
  - a. Arts, Sciences & Engineering and Eastman School of Music
  - b. Arts, Sciences & Engineering
  - c. Eastman School of Music
  - d. School of Nursing
  - e. Undergraduate Students with Nursing
  - f. Graduate Students with Nursing
- L. Faculty Data 2006-2015
  - a. URM Faculty total count # 2006-15
  - b. URM Faculty total count % 2006-15
  - c. Asian & URM Faculty total count # 2006-15
  - d. Asian & URM Faculty total count % 2006-15
- M. Staff Ethnicity by Paygrade 2015
  - a. Clerical Staff Ethnicity
  - b. Nursing Staff Ethnicity
  - c. Research Technician Staff Ethnicity
  - d. Clinical Technologies Staff Ethnicity
  - e. Professional Administrative Staff Ethnicity
  - f. Senior Administrator Staff Ethnicity
  - g. Supervisory and Support Staff Ethnicity
  - h. Strong Staffing Staff Ethnicity
  - i. Percent Change of URM Faculty, 2006-2015
- N. Peer Institution URM Enrollment
- O. Arts, Science & Engineering and Eastman School of Music Graduation Rates
- P. Faculty Diversity Officer Reports
- Q. Special Opportunities Fund Commitments by Type of Support ([online here](#))
- R. Proposed Presidential Diversity Council and Inclusion Action Council Membership
- S. AAU Peers Tenured and Tenure Track Faculty by Ethnicity and Gender

## Appendix A: Statement of Student Demands

On Behalf of the Underrepresented Minority Students at the University of Rochester,

We and our allies come together to demand that President Joel Seligman and the University of Rochester's administration implement immediate and lasting changes that will reduce intolerable acts of racism that students of color endure at our university. It is no longer sufficient for the university to solely acknowledge racial issues. We demand that the university partakes as a whole in fostering a community that addresses the needs and safety concerns of minority students. We can't be Ever Better if we're not together.

We, University of Rochester minority students, intend to discuss these demands with President Joel Seligman over the next two weeks and expect a commitment to specific and mutually agreed upon next steps by Friday, December 4th, 2015. Our list of demands is provided below:

### Provide a Safe and Productive Learning Environment

**WE DEMAND** the immediate blocking and/or removal of anonymous social media applications such as YikYak from the University of Rochester server.

**WE DEMAND** that the University create and enforce comprehensive racial awareness and inclusion curriculum and training throughout all campus departments and units, mandatory for all faculty, staff, students and administrators. This curriculum must be vetted, maintained, and overseen by a board comprised of students, staff, and faculty of color and allies. It must include, but not be limited to addressing the effects of implicit and explicit bias, racism, prejudice, and bigotry, and how these things negatively impact our campus community. This commitment should start during freshman orientation for students.

**WE DEMAND** the University put as much emphasis and funding in promoting the "Bias Related Incidents" reporting program as they have the CARE Program. The lack of focus on this important tool sends the wrong message about the University's commitment to combating racial injustice.

**WE DEMAND** that the University create and implement a campaign to combat racial injustice at our university similar to signing onto the national campaign to combat sexual misconduct, "It's On Us."

**WE DEMAND** a statement of recognition from President Seligman, the Dean of the College, and the Dean of Students to many current and former students of color for the hostile and exclusionary climate.

**WE DEMAND** the protection of faculty and staff members who voice solidarity with students and/or express their concerns and experiences with the administration.

**WE DEMAND** President Seligman hold a Town Hall Meeting focusing on issues specific to race. This issue has not received the recognition and attention it requires.



## Improve Inclusion and Representation

**WE DEMAND** transparency in the recruitment processes utilized by the Office of Faculty Development and Diversity to increase the number of faculty members from underrepresented minority backgrounds. In addition, we would like undergraduate minority students included in the process by speaking with candidates and attending job talks. Studies show that students that are taught by teachers that look like them generally do better academically. It is important that race is not confused with diversity and it is imperative that we focus on growing the number of faculty members from minority backgrounds specifically.

**WE DEMAND** the revision of the Student Code of Conduct. The Discrimination and Harassment Policy needs to be expanded to further protect students. In comparison, the Sexual Misconduct Policy is more detailed than the Discrimination and Harassment Policy. Revisions to the Student Code of Conduct should address hate speech both in person and through social media. We demand the university follow harassment policies consistently to protect students from hostility.

## Increase Funding and Support of Underrepresented Minority Students and Departments

**WE DEMAND** the creation of a fund to support cultural groups served by the Minority Student Advisory Board (MSAB). These funds will allow our organizations to develop programming without barriers. These funds should be managed by the Office of Minority Student Affairs (OMSA).

**WE DEMAND** OMSA be provided with their own office space separate from the Center for Education Abroad in order to efficiently serve their students. We, as students, do not have adequate space to receive the proper resources, support, and open environment that we need.

**WE DEMAND** that the David T. Kearns Center and Minority Student Affairs be provided additional funding to provide enrichment programming and support to minority students. Also, that the Paul Burgett Intercultural Center have adequate staffing to address the needs of students on campus.

**WE DEMAND** the Frederick Douglass Institute be established as its own department by 2018. For several years students majoring in African American Studies have had limited course options, which has affected their ability to fulfill their major; this is unacceptable. If the Frederick Douglass Institute is made into its own department this will give the administration a chance to hire more diverse faculty. In 1999, students fought to have this department supported and expanded. The fact that FDI has been underfunded and received minimal support for the last ten years sends the wrong message about our University's commitment to the legacy and history of Frederick Douglass.

**WE DEMAND** the establishment of the Douglass Leadership House as a permanent part of our community with funding. DLH is one of the few safe spaces for students to convene and discuss various

issues around race. The Douglass Leadership House serves as a vital resource for ALL students, especially minority students and needs to become a permanent landmark at the University of Rochester. This will provide DLH the ability to become a permanent space for students to feel safe, learn, and dialogue around issues of race and culture.

## Appendix B: President Joel Seligman's Response to the Student Petition

*November 23, 2015*

Ten years ago, I began my service here, emphasizing that diversity is a core value of our University. I meant by that respect for all students, faculty and staff regardless of race, gender, nationality, religion, sexual orientation or beliefs. Our aspiration is to create a University that is welcoming and supportive of all in our community.

During the past ten years, we have made progress. More remains to be done. It is clear to me that the climate on our campus is not all that it should be. Some of our students, faculty and staff have experienced instances of hostility, notably recently because of their race.

I cannot ignore evidence that our campus climate can be improved.

In recent months, there have been a number of racist postings in social media, most notably in Yik Yak, which provides anonymity to its users in their communications. In one instance, there was encouragement of sexual assault against a specific individual. Earlier this year, when a decision was made to extend the right of Douglass Leadership House to continue to operate in our Fraternity Quadrangle, statements were communicated that were racist and threatened violence.

This is a part of a broader story which also involves faculty, administrators and staff. Separately, some weeks ago, after receiving reports of some faculty and staff believing that our campus was not sufficiently supportive, I approved administering a campus-wide survey of faculty and staff to assess our campus climate. This survey will be administered throughout our University beginning early next semester. Results are anticipated to be available by May.

On November 20th, I received a petition from the Minority Student Advisory Board, the Spanish and Latino Students' Association, the Douglass Leadership House and the Black Students' Union requesting that I and the University administration "implement immediate and lasting changes that will reduce intolerable acts of racism that students of color endure at our university." Let me commend the students for the order and seriousness of this effort. The students presented me in my office a list of proposals, each of which will be thoughtfully reviewed. A march with approximately 150 students around campus was peaceful and entirely consistent with our tradition of academic freedom.

Because the desire for improvement in our racial climate is fully congruent with University's commitment to diversity and inclusion, I am today announcing a series of specific steps to address the right of all in our community to be part of a community that is safe and supportive. These steps will address the concerns of minority students, but are intended to be supportive of all in our community, regardless of race, gender, sexual orientation, national origin, religion or beliefs.

## Commission on Race and Diversity at the University of Rochester

I am today announcing the formation of a Presidential Commission on Race and Diversity at the University of Rochester and charging this Commission by the end of January to conduct town hall meetings and provide an initial assessment of four topics:

- What is the state of our campus climate for all races today?
- What programs have strengthened this climate?
- What elements of campus life are not consistent with the healthiest campus climate?
- What are the Commission's recommendations to improve our community?

These town hall meetings will be scheduled for the River Campus, the Medical Center and the Eastman School of Music. These town hall meetings will be open to the public. The initial and subsequent reports will be made available to the public after initial presentation to me and the University Board of Trustees.

The Commission may base its findings and recommendations on written submissions or oral testimony from our students, faculty, staff, alumni, Board of Trustees and our community.

The Commission's work will continue throughout the spring semester and include preparation of a final report taking into account the faculty and staff survey that separately will be administered during the spring semester.

I am appointing Paul Burgett, Vice President, Senior Advisor to the President, and University Dean, and Richard Feldman, Dean of the College, as Co-Chairs of this Commission. The Commission will be composed of administrators and staff, faculty and students. Specifically, today I am appointing the following administrators and staff to the Commission: Linda Chaudron, Associate Vice President and Senior Associate Dean for Inclusion and Culture Development at the Medical Center; Myra Henry, Director of Administrative Services for River Campus Libraries; Vivian Lewis, Deputy to the President and Vice Provost for Faculty Development and Diversity; Anthony Kinslow, Associate Vice President for Human Resources; and Gail Norris, Vice President and General Counsel. The Commission will include faculty members, one of whom will be a Co-Chair or a designee of the Faculty Senate and one of whom will be the Chair or a designee of the Medical Faculty Council. I also will ask the Faculty Senate in consultation with the Medical Faculty Council to recommend two other faculty members. The Commission will include students, one of whom will be Grant Dever, the President of the Students' Association; one student identified by the College minority student leadership; one student identified by student leadership in the Medical Center; and one student identified by student leadership in the Eastman School of Music. I will participate in the Commission as an ex officio member, attending town hall meetings and the organizational meeting of the Commission.

An announcement of the full membership of the Commission will be made within the next few days. An initial organizational meeting will be held no later than December 4.

## Appendix C: Report on Bias-Related Incidents AY15-16

To: Bias-Related Incident Report Executive Team

From: Jessica Guzman-Rea, Director, Paul J. Burgett Intercultural Center

Re: 2015 – 2016 Bias-Related Incident & Community Concern Reports Summary

July 7, 2016

### 2015-2016 Summary of Bias-Related Incident Reports

Semester	Total # of Bias-Related Incident Reports Submitted	Actual # of Bias-Related Incidents
Fall 2015	10	8
Spring 2016	11	8

Motivation of Incident	Location of Incident	Outcomes
Race/Ethnicity – 7	Digital Land – 5	Documented – 6
Gender – 5	Residential Hall – 5	Resources, Support, Referrals*, and Educational Interventions Provided – 10
Gender Identity or Expression – 1	Academic Building – 2	Reports submitted to the Bias-Related Incident Report Executive Team for Review & Response – 0
Religion – 1	Posters/Fliers/Stickers – 1	
National Origin – 1	River Campus Grounds– 1	
Politics – 1	Eastman School of Music Campus Grounds – 1	
Ability – 1	Other (Not Listed) – 1	
Other (Not Listed) – 1		

- Referrals include, but are not limited to the Care Network, Center for Student Conflict Management, Residential Life, Public Safety, University Counseling Center, Title IX Coordinator, Office of Minority Student Affairs, and the Office of the Dean of Students.

## Summary of Community Concern Reports

(Data Collected from August 1, 2015 – May 31, 2016)

Type of Community Concern	Total # of Community Reports Submitted	Actual # of Students Impacted
Humanitarian Concern	21	65
Natural Disaster	10	65
<b>Total</b>	<b>31</b>	<b>130</b>

As per the recommendations from the Bias-Related Incident Report Executive Team, everyone will receive bi-weekly updates beginning Monday, August 29, 2016. I will also report on these statistics to the Undergraduate Staff Meeting, College Diversity Roundtable, International Roundtable, Student Support Network, etc. Communication to the University Campus will also be coordinated via the *Campus Times*, Weekly Buzz, and @Rochester. In regards to the Community Concern Reports, I will have weekly summaries of the reports sent directly to my email every Monday at 8:30 AM. This summary will then be shared with interested parties.

## Appendix D: Report on “We're better than THAT” Anti-Racism and Anti-Hate Speech Committee

*October 18, 2016*

**Co-Chairs:** Norman Burnett (OMSA), Beth Olivares (Kearns)

**2015-2016 Committee members:** Samantha Andrew (Eastman Student), Bethany Anguiano (Student), Jonathan Burdick (Enrollment), Matt Burns (ODOS), Meredith Crenca (Student), Justin Delinois (Student), Grant Dever (Student), Itzel Figueroa (Student), Jessica Guzman-Rea (BICC) James Mandelaro (Communications), Delvin Moody (Student), Monique Patenaude (Communications), Anthony Plonczynski-Figueroa (Kearns), Elmer Rodriguez (Student), Alyssa Shoup (Alumni), Jay Strobeck (Warner Student), Bridgette Thomas (Student), George VanderZwaag (Athletics), Christopher Vasquez-Dorn (Student), Daniel Watts (Residential Life).

**2016-2017 Committee members:** Dan Watts (Residential Life), Jessica Guzman-Rea (BICC), Jon Burdick (Enrollment), George VanderZwaag (Athletics), Matt Burns (ODOS), Monique Patenaude (Communications), Jim Mandelaro (Communications), Sarah Van Munster (Deans Office), Sasha Eloi (OMSA), Meredith Crenca (Student), Tyler Vasquez-Dorn (Student), Justin Delinois (Student), Elmer Rodriguez (Student), Ix Chel Mendieth de la Torre (Student), Bianca DeJesus (Eastman Student), Susan Ojukwu (Student), Daniel Krieg (Student), Jasmin Edjang (Student)

### Background

Commissioned by President Seligman in December 2015, after the student protest, co-chairs Norman Burnett and Beth Olivares are leading this effort with a working group of senior administrators and students from all signatory organizations, Fraternity and Sorority Affairs, Athletics, Students' Association and the Multicultural Greek Council. The group met weekly during the spring 2016 semester, and has reconvened with some new members in the fall of 2016. Last semester, we developed the "We're better than THAT" slogan, the awareness campaign, and a series of activities and recommendations, some of which have been completed or approved, and some of which are currently underway.

We are operating from the premise that what we create should be sustainable over time; that is, it should not be a one-time effort or event. We also believe that it should impact all members of the community. However, we are focusing first on students in Eastman and Arts, Sciences and Engineering.

### Vision statement

Racism and hate speech have no place at the University of Rochester. We aspire to be a community whose members are equally valued and respected.

“We’re better than THAT” places the power and responsibility to shape our community in each of our hands. By learning ways to react when we offend others or are offended by them, or when we are a witness to an ugly comment or conversation, we can acknowledge and act on this shared

responsibility. Throughout this semester and in the future, the "We're better than THAT" campaign will educate students, faculty and staff on ways to approach difficult conversations on divisive topics and to stop hate speech and racism in our community.

## Mechanisms

A behavior-changing and inescapable set of events, experiences and marketing materials that impel awareness, response and action, in both the short and long terms.

### The campaign will:

- connect with students in multiple ways that acknowledge their various roles--as students, workers, athletes, Greeks, members of a residential community, friends, members of a religious or spiritual community, researchers, teachers, etc.;
- be inescapable;
- acknowledge UR, American and world racial histories;
- build on existing structures—for example: One Community (see below), residential life training and programming, TA training, Workshop leader training, communal principles, and more;
- acknowledge individual progression over time (continuum of racial understanding) while holding community to standards;
- not rely on exclusively people of color to implement or sustain

## Recommendations

- Make this an on-going committee with a budget (completed)
- Freshman Orientation
  - Will focus "One Community" program on race, starting 2016 (completed)
  - Require a brief reading of all pre-freshmen; discuss during small group meetings, starting 2016 (positively reviewed by Curriculum Committee, completed)
  - A working group should develop and implement additional interactive and substantive anti-racism program, starting 2017 (in progress)
- Develop and maintain an interactive website (in progress)
- High-impact events should feature the campaign each semester (in progress)
- On-going educational programming for students on race (in progress)
  - Develop our own anti-racism educational materials
  - Embed these materials in already-established trainings (TA, RA, study group leaders, etc.)
  - Conduct regular dialogues led by trained students, faculty and staff
  - Ensure that annual diversity conference has sessions specifically for students, consider cancelling classes
  - Create and implement required web-based anti-racism training for student employees
- Curricular Immersion (requires review of Curriculum Committee)
  - Expand course offerings for the development of student dialog leaders
  - Connect this course to leadership certificate
  - Consider implementing a College- or university-wide common reading
- Bias related incident reporting (in progress)



- Expand marketing
- Ensure regular reporting (regular reporting in progress)
- Require reporting to AS&E deans and larger community on an annual basis
  - Report and examine key findings from Diversity Survey having to do with racial climate
  - Annual report on anti-racism efforts, in conjunction with Bias Related Incident reporting

Additional information regarding the campaign follows:

Activity	Spring 2016	Summer 2016	Fall 2016	Spring 2017	Permanent	Activity
Awareness						
Website development	I	I	I	I	✓	Website development
Mission statement	I				✓	Mission statement
Slogan created and marketed	I				✓	Slogan created and marketed
T-shirts	I					T-shirts
posters, stickers, buttons	I				✓	posters, stickers, buttons
Basketball event	I					Basketball event
International Day for the Elimination of Racial Discrimination	I			I	✓	International Day for the Elimination of Racial Discrimination
Media coverage	I				✓	Media coverage
Orientation						
Reading for incoming class of 2020	D	I			✓	Reading for incoming class of 2020
One Community program 2016 will have a specific focus on race	D	I				One Community program 2016 will have a specific focus on race
New event specifically about race			D	I		New event specifically about race
Education						
Robust resources on-line	D, I	I			✓	Robust resources on-line
Develop our own educational program	D	D	I		✓	Develop our own educational program
Dialog Training						
Course on intercultural communications (now taught currently by Jessica Guzman-Rea): make permanent and offer each semester, with additional instructors	R		I	I	✓	Course on intercultural communications (now taught currently by Jessica Guzman-Rea): make permanent and offer each semester, with additional instructors

Have this course listed as part of Leadership Citation	R		I		✓	Have this course listed as part of Leadership Citation
Training						
Embed created educational material in cohort-based student training that already occurs: e.g. CETL, RA, TA, Meridian, Freshman Fellows, D'Lions, tutors, study group leaders and SA leadership	D, I	D, I	D, I		✓	Embed created educational material in cohort-based student training that already occurs: e.g. CETL, RA, TA, Meridian, Freshman Fellows, D'Lions, tutors, study group leaders and SA leadership
Implement web-based anti-racism training for student employment	D	D	I		✓	Implement web-based anti-racism training for student employment
Events						
Each semester events should be created and implemented that highlight "We're better than THAT!"					✓	Each semester events should be created and implemented that highlight "We're better than THAT!"
External speakers	D	D	I	I	✓	External speakers
Other						
Common College Reading	D	D	R			Common College Reading
Establish standing committee with budget	R					Establish standing committee with budget
KEY: red=needs input/approval of others; green=committee members have authority to do; R=recommend; ✓= yes; D=develop; I=implement; R=recommend						

## Appendix E: Student Code of Conduct Statement of Policy

This appendix was originally published on page 25 of *Standards of Student Conduct:*

*A Guide to the University of Rochester Conduct Process and Policies:*

[https://www.rochester.edu/college/cscm/assets/pdf/standards\\_studentconduct.pdf](https://www.rochester.edu/college/cscm/assets/pdf/standards_studentconduct.pdf)

The University of Rochester takes acts of harassment and discrimination very seriously. This Policy provides information about the rights of, and the resources available to support, individuals who believe that a University of Rochester student has engaged in harassment or discrimination, based on a person or group's actual or perceived membership in a protected class, as described below.

The University prohibits and will not engage in discrimination and harassment on the basis of age, color, disability, ethnicity, military/veteran status, national origin, race, religion/creed, or any other status protected by law.<sup>1</sup> Discrimination or harassment based on these protected classes is illegal and will not be tolerated.

The University also prohibits retaliation (defined below) against any person who complains of or opposes perceived unlawful discrimination or harassment, including those who participate in any investigation under this policy or other proceeding involving a claim based on a protected class. Retaliation is illegal and will not be tolerated.

The University may investigate and respond (in accordance with this policy) to complaints of harassment, discrimination and retaliation by one or more students against one or more members of a protected class that are reported to have occurred either on or off campus.

### Definitions:

#### Discrimination

Discrimination is (1) any conduct (2) that adversely affects or impacts an individual's or group's ability to function and participate as a member of the University community (3) because of their age, color, disability, ethnicity, marital status, military status, national origin, race, religion, veteran status, or other status protected by law, or because of their perceived or actual affiliation or association with such individuals or groups. Discrimination includes any behavior that is unlawful discrimination under applicable New York State and/or federal law and the interpretation of discriminatory conduct will be informed by such laws.

Examples of prohibited discrimination include, but are not limited to, exclusion from or denial of access to services and/or resources on the grounds of a person's age, color, disability, ethnicity, marital status, military status, national origin, race, religion, or veteran status.

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<sup>1</sup> Harassment and discrimination by students, based on sex, sexual orientation, gender identity and expression and similar categories is separately addressed in the Student Sexual Misconduct Policy. Harassment and discrimination by non-students (such as staff, faculty, and visitors) is subject to Policy 106.

## Harassment

Harassment is a form of discrimination which involves (1) unwelcome verbal, written, physical, or electronic conduct, (2) that is intended to cause or which could reasonably be expected to cause an individual or group to feel intimidated, demeaned, abused, or fearful, or to have concern for their personal safety, (3) because of a protected class when:

- (a) the conduct is sufficiently severe or pervasive (meaning that the conduct is either of an extraordinarily severe or egregious nature or has been repeated with sufficient frequency or continuity); in other words, typically a single offense or occasional, episodic instances of offensive behavior will not qualify as severe or pervasive, but a single instance of severe egregiousness would, and
- (b) the conduct objectively and subjectively has the effect of (1) unreasonably interfering with an individual's equal access to education or (2) creating an intimidating, hostile, or offensive environment.

Under New York and federal law, all of these requirements must be met for certain behavior to qualify as harassment. Types of behaviors based on a protected class which can lead to claims of harassment include degrading and derogatory words, graffiti, pictures, jokes, epithets, statements or stereotyping activities as well as other forms of verbal, visual or written messages of intimidation, as well as unwanted physical contact or comments or threats about physical contact and stalking.

Mere offensiveness, however, is not enough to create a hostile environment. In determining whether Harassment has created a hostile environment, the University will consider not only whether the conduct was unwelcome to the person who feels harassed, but also whether a reasonable person in a similar situation would have perceived the conduct as violating this policy. Also, the following factors will be considered:

- The degree to which the conduct affected one or more students' education;
- The nature, scope, frequency, duration, and location of incident or incidents;
- The identity, number, and relationships of persons involved;

## Retaliation

Retaliation is any adverse action taken by a member of the University community against a person because of the person's participation in a complaint or investigation of harassment or discrimination that is intended to, or could reasonably be expected to, dissuade a reasonable person from filing claim or participating in an investigation in the future.

## Aiding or Facilitating

Aiding or facilitating is any action or course of action that assists, promotes or encourages the commission of a violation under this policy. Aiding or facilitating may also include failing to take action to prevent an imminent act when it is reasonably prudent and safe to do so. Taking action may include direct intervention, calling Public Safety or local law enforcement or seeking assistance from a person in authority.

## Guests

Students' failure to take reasonable steps to prevent their guests from violating the code of conduct, including this Policy Against Discrimination and Harassment may result in those students being charged for a violation of this policy.

## Reporting and Interim Measures

### Reporting

The University can only act to prevent harassment and discrimination from reoccurring in the future, and to remediate such conduct that has occurred, if it is made aware of such conduct. Students, faculty, staff members, visitors and others who believe that the conduct of a University of Rochester student constitutes harassment or discrimination are encouraged to report the incident to the Office of Counsel, the Dean of Students, University Public Safety or another Responsible University Official. Responsible University Officials at the University of Rochester include a lawyer from the University's Office of Counsel, University Public Safety, the Director of the Office of Minority Student Affairs, the University Intercessor, the Director of the Paul J. Burgett Intercultural Center, the Dean for Diversity Initiatives and Director of the David T. Kearns Center, the Director of Residential Life, and the professional staff members in other student life offices in each of the University's schools.<sup>2</sup> Responsible University Officials, once notified of a report of harassment or discrimination, must promptly inform the Office of the Dean of Students.

The Center for Student Conflict Management (CSCM) in the Office of the Dean of Students also maintains an online bias reporting system as part of the CARE Network where reports of any conduct which may constitute discrimination or harassment can be made. It can be accessed at [https://rochester-advocate.symlicity.com/public\\_report/](https://rochester-advocate.symlicity.com/public_report/). Reports may be made anonymously or not, and will be reviewed generally within 72 hours and investigated/addressed as appropriate under the circumstances.

### Interim Measures

After a report is made, the person who is reported to have been a victim is offered support in as needed in dealing with the consequences of such conduct. The University may also take interim steps to protect that individual and/or the community, which can include removing an accused student from campus or other actions deemed appropriate under the circumstances. Disciplinary action against an accused student may follow, which would involve an administrative hearing on campus.

### Confidentiality

As a community, we believe it is imperative that students are able to access support services offered by the University even if they do not wish to report the incident to the University. Students who are the victims of discrimination or harassment based on a protected class who wish to access University support services without making a report to the University can contact the University Health Services, UHS Health Promotion Office, University Counseling Center, and University Chaplains. The staff

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<sup>2</sup> In this policy, the term "Responsible University Official" is used instead of "Responsible Employee," which is used in the Student Sexual Misconduct Policy. The roles are similar – both have reporting obligations – but the personnel included within the definitions are not the same. Many persons who are Responsible Employees (e.g. most residential life staff) are not Responsible University Officials.

members in these offices are not required to report the details of an incident to other administrators at the University, however, they are asked to submit a bias incident report. The bias incident report does not need to include any personally identifiable information regarding the individuals involved in the incident.

## Procedures

Students accused of Harassment or Discrimination as defined above will be charged and, if found responsible, sanctioned, pursuant to the conduct process (including appeals) described in this Code of Conduct, beginning at page 6.

## Academic Freedom and Free Speech

The success of the University of Rochester depends on an environment that fosters vigorous thought and intellectual creativity. It requires an atmosphere in which diverse ideas can be expressed and discussed. The University seeks to provide a setting that respects the contributions of all the individuals composing its community, that encourages intellectual and personal development, and that promotes the free exchange of ideas. This Policy is not intended to regulate the content of speech, discussion and debate in the classroom, on campus or in any University forum reasonably related to academic activity or political, artistic and visual arts expression. The University will protect academic freedom and artistic expression in administering this Policy. However, using speech or expression to discriminate against those protected by this Policy or using speech that creates a hostile learning, working or campus living environment for those protected by this policy is prohibited.

## Resources

The University of Rochester is committed to supporting students who believe they have experienced harassment or discrimination. The University encourages such individuals to report the incident so steps can be taken to remediate and prevent such conduct from occurring again. With that in mind, the University wants to ensure that you get the information and support you need regardless of whether you would like to move forward with a report to campus officials. You may want to talk with someone about something you observed or experienced, even if you are not sure that the behavior constitutes harassment or discrimination. A conversation where questions can be answered is far superior to keeping something to yourself. Confidentiality varies, and the following is aimed at helping you understand how confidentiality applies to different resources that may be available to you.

### Confidential Resources

Individuals who are *confidential* resources will not report offensive conduct to law enforcement or college officials without your permission, except for extreme circumstances, such as a health and/or safety emergency. At the UR, this includes:

#### University Counseling Center

585-245-3113

River Campus Office (585) 275-3113

Third Floor, UHS building

738 Library Road  
Susan B. Anthony Circle

**Eastman School Office**

(585) 275-3113

ESM Living Center, Room 107

A limited number of appointments available.

Call (585) 275-3113 to schedule an appointment.

<https://www.rochester.edu/ucc/contact/index.html>

**University Health Service:** Licensed medical professionals acting in accordance with their professional responsibilities: 585-275-2662

**UHS River Campus Office**

Phone: 585-275-2662

1st Floor, UHS Building

738 Library Road, River Campus

**UHS Medical Center Office**

Phone: 585-275-2662

Room 1-5077, UR Medical Center (The entrance is at 250 Crittenden Blvd.)

**UHS Eastman School Office**

Phone: 585-274-1230

Room 106, ESM Student Living Center

<https://www.rochester.edu/uhs/contact/LocationHours.html>

**Non-professional counselors and advocates:** These individuals can also assist you without sharing information that could identify you. At the University of Rochester, this includes:

**University Chaplains**

Phone: 585-275-4321

500 Wilson BLVD

<https://www.rochester.edu/chapel/communities.html>

Sharing information with a confidential resource will not result in a report to the University or investigatory or disciplinary action. In order to initiate an investigation or disciplinary action, a report must be made through one of the non-confidential options described in this policy.

**Privacy versus Confidentiality**

Even UR offices and employees who cannot guarantee *confidentiality* will maintain your *privacy* to the greatest extent possible. The information you provide to a non-confidential resource will be relayed only as necessary to investigate and/or seek a resolution. There are other resources available on

campus that might be effective support for any student who experiences discrimination or harassment. These resources will maintain your privacy to the extent possible, but are obligated to report conduct that is discriminatory or harassing based on a protected class to a Responsible University Official.

Non-confidential resources include:

**Office of Minority Student Affairs**

Phone: 585-275-0651

Room: 2-161 Dewey Hall, River Campus

**Paul J. Burgett Intercultural Center**

Phone: 585-275-6662

Room: 4-160 Dewey Hall, River Campus

**Dean for Diversity Initiatives**

Phone: 585- 275-7531

Room: 4-160 Dewey Hall, River Campus

**David T. Kearns Center**

Phone: 585-275-7512

Room: 4-160 Dewey Hall, River Campus

**University Intercessor**

Phone: 585-275-9125

Room: 36 Wallis Hall, River Campus

**Requesting Confidentiality: How UR Will Weigh the Request and Respond**

If you disclose an incident but wish to maintain your privacy or do not consent to the institution's request to initiate an investigation, the University must weigh your request against our obligation to provide a safe, non-discriminatory environment for all members of our community, including you. We will assist you with academic, housing, transportation, and other reasonable and available accommodations regardless of your reporting choices. While victims may request accommodations through several college offices, the following office can serve as a primary point of contact to assist with these measures: Center for Student Conflict Management (585) 275-4085. We also may take proactive steps, such as training or awareness efforts, to combat harassment and discrimination in a general way that does not identify you or the situation you disclosed.

We will seek consent from you prior to conducting an investigation. You may decline to consent to an investigation, and that determination will be honored unless we determine that failure to investigate may result in harm to you or other members of the UR community. Honoring your request may limit our ability to meaningfully investigate and pursue disciplinary action against an accused individual. If we determine that an investigation is required, we will notify you and take immediate action as necessary to protect and assist you.



When you disclose an incident to someone who is responsible for responding to or reporting harassment or discrimination, but wish to maintain privacy, UR will consider many factors to determine whether to proceed despite that request. These factors include, but are not limited to:

- whether the accused has a history of discriminatory or harassing behavior or is a repeat offender;
- whether the incident represents escalation from previously noted behavior,
- the increased risk that the accused will commit additional acts of discrimination or harassment against others;
- whether the accused used a weapon or force; and
- whether we possess other means to obtain evidence such as security footage, and whether the report reveals a pattern of perpetration at a given location or by a particular group.

### Public Awareness/Advocacy Events

If you disclose a situation through a public awareness event such as candlelight vigils, protests, student organization or other event or forum, or other public event, the UR is not obligated to begin an investigation. UR may use the information you provide to inform the need for additional education and prevention efforts.

### Anonymous Disclosure

Anonymous reports of violations of this policy may be made using the Bias-Related Incident Report Form, [https://rochester-advocate.symplicity.com/public\\_report/](https://rochester-advocate.symplicity.com/public_report/). Due to their nature, anonymous reports may be difficult to act upon.

If you or someone you know has experienced harassment or discrimination the following options are available. You can:

- **Meet with the Center for Student Conflict Management** to discuss the support services available to you and your options for filing a report. The CSCM can be reached by calling 585-275-4085 or via e-mail at [Conflict.management@rochester.edu](mailto:Conflict.management@rochester.edu).
- **Make a formal report to University Department of Public Safety (DPS) (585-275-3333):** DPS can help you file a formal report to the University about the incident. DPS can also assist you in making a report to the appropriate legal authority (Rochester Police, Monroe County Sheriff's Office, NY State Police etc.) if the behavior might constitute criminal harassment. You can choose to simultaneously report the incident to the University and the appropriate law enforcement agency for investigation and response. You can also choose to only report the incident to local law enforcement or only report the incident to the University. If you choose to make a report to the University, DPS investigators will conduct an investigation, as appropriate and under the direction of the Office of the Dean of Student on the River Campus (ODOS). The ODOS is responsible for adjudicating all cases of harassment or discrimination at the University in which the accused is a student. If they haven't done so already, staff members from ODOS will then connect with you to discuss your options, including steps in the conduct process, resources available to support you, and the planned process for moving forward. Some things the University may be able to help arrange are (in no particular order):
  - **Issuing Active Avoidance Orders:** If a student's presence on campus poses a perceived, threat to your physical or emotional safety and well-being and/or sense of personal safety

and security, the University can issue an Active Avoidance Order (AAO). Please see the Standards of Student Conduct section on Active Avoidance Orders for more information about the issuance of AAOs.

- **Helping Coordinate Alternative Housing, Transportation, and Classes:** The University will discuss alternative housing, transportation to and from campus, and classes when that support is appropriate.
- **Taking Interim Measures:** The University can determine whether interim measures need to be taken to arrange alternative on campus housing or class schedules or remove the student(s) from campus and/or classes or before a hearing can occur. Please see the Standards of Student Conduct section on interim suspensions for more information regarding that process.
- **Coordinating an Administrative Hearing: When appropriate, the ODOS will call for the complaint to be resolved through the administrative hearing process.** See below for more information about this process.
- **Filing a report with the appropriate police department.** DPS can help connect you to the appropriate law enforcement agency if you wish to report the potentially criminal harassment incident to the police. You can choose to simultaneously report the incident to the University and the appropriate law enforcement agency for investigation and response.
- Any student who wishes to speak with anyone at the University regarding an incident of harassment or discrimination has the right to be accompanied by an advisor of choice (at the party's own expense, if the advisor is a paid advisor) who can assist and advise the student, including during any meetings and hearings related to any disciplinary process. **Confidentially discuss the incident with a counselor at the University Counseling Center (585-275-3113):** University Counseling Center (UCC) can help provide mental health support during a difficult situation 24 hours a day with their on-call counselor and appointments are also available. Reports made to UCC or UHS are confidential.
- **File a bias related incident report:** If you wish to make a report about the incident to the University without including your name or personally identifiable information you may file a bias-related incident report.
- **Do nothing:** You may also make it known that you do not want anything to be done with the situation right now. In situations where students indicate that they would not like the University to investigate or respond to the report of the incident the University will most often honor those wishes.<sup>3</sup> There are, however, some circumstances when concerns about the safety of the University community are raised by the report. In those circumstances the University will investigate and respond as appropriate even without the assistance of the person alleged to have been a victim.

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<sup>3</sup> Please see above for information regarding the criteria the University will use when determining whether or not it will proceed with an investigation without the consent of the reporter. Reports of incidents that give rise to concerns about professional misconduct among medical and nursing students will be investigated and responded to by the University due to professionalism standards in those academic programs.

## Appendix F: Report on College Initiatives on Race and Diversity

*May 3, 2016 [Updates added October 24, 2016]*

In November 2015, students representing the Minority Student Advisory Board, the Black Students' Union, Douglass Leadership House and the Spanish and Latino Students' Association led a protest and presented President Seligman with a list of demands regarding the status of minority students, staff and faculty at the University ([www.rochester.edu/College/OMSA/assets/pdf/Demands.pdf](http://www.rochester.edu/College/OMSA/assets/pdf/Demands.pdf)). Following this protest, and in light of the national discussion of issues of race and diversity on campuses around the country, President Seligman established a Presidential Commission on Race and Diversity ([www.rochester.edu/president/memos/2015/petition-response.html](http://www.rochester.edu/president/memos/2015/petition-response.html)). He asked that Commission to review the climate for race and diversity throughout the University and to submit its final report this spring. Information about the Commission is available on its website ([www.rochester.edu/president/commission-on-race-and-diversity/](http://www.rochester.edu/president/commission-on-race-and-diversity/)). The Commission's Interim Report ([www.rochester.edu/president/commission-on-race-and-diversity/Interim-Report.pdf](http://www.rochester.edu/president/commission-on-race-and-diversity/Interim-Report.pdf)) was completed at the end of January and it expects to complete its final report in September.

At the same time that the President established the Commission on Race and Diversity, he also asked the College to review several of the demands on the students' petition, charged Norman Burnett (Assistant Dean and Director of the Office of Minority Student Affairs) and Beth Olivares (Dean for Diversity and Director of the Kearns Center for Leadership and Diversity in Arts, Sciences and Engineering) to co-chair an anti-racism campaign and asked Chief Counsel Gail Norris to work with others to review the Student Code of Conduct. This message provides an update on the status of these efforts.

- A revised **Student Code of Conduct** is online at [www.rochester.edu/college/cscm/conduct.html](http://www.rochester.edu/college/cscm/conduct.html). The College recognizes that speech, and other behaviors that may be objectionable are nevertheless legally protected and not subject to sanctions under the Code of Conduct. Such speech and behavior may still be in violation of the College's Communal Principles. The College will respond to such speech and behavior whenever possible, and will likewise empower others in the community to respond to such behavior, in ways that do not fall under the conduct system. Toward that end, a new webpage, housed on the Burgett Intercultural Center's website, identifies a corollary set of resources under development for education around hate speech ([www.rochester.edu/college/bic/bias-incident-response/index.html](http://www.rochester.edu/college/bic/bias-incident-response/index.html)). This website will continue to be developed as additional ways of responding are identified and developed.
- **The anti-racism campaign**, "We're better than THAT" began its work during the semester. A committee of students and staff, led by Beth Olivares and Norm Burnett, developed the campaign, which will be on-going. Through the distribution of posters, t-shirts, buttons, and stickers at a number of high visibility events on campus, the campaign brought considerable attention to the effort to combat racism on our campus. Its website ([www.rochester.edu/better-than-that/](http://www.rochester.edu/better-than-that/)) contains additional information about their activities. The group has submitted a series of recommendations to the College and the Commission, including enhanced educational

programming on race relations. One recommendation, for a revamped freshman orientation program, has already been approved by the College. All incoming freshmen will be asked to complete a common reading on racism, which will then be the focus of discussion during the One-Community Program during orientation. *[Update: This program was successfully completed during Orientation in August. The We're better than That committee has reconvened, with some new members, and is continuing its work.]*

- **The bias-related incident reporting system** is currently live, and can be found online at [www.rochester.edu/college/bic/bias-incident-response/incident.html](http://www.rochester.edu/college/bic/bias-incident-response/incident.html). During the past semester, 11 reports were submitted to the system. These reports described incidents of a sexist or antisemitic character. Although the Bias-Related Reporting system has been available since last year, and it has been publicized, it needs to become more widely known on campus. An increased effort to publicize it will begin in the fall. The College will provide regular reports to the community on the number and nature of reports to the system. Once this system is widely used to report incidents, it will provide valuable information about what is happening on campus and thus an opportunity for administration to respond appropriately. *[Update: As part of the effort to publicize the system, presentations on it have given to the One-Community Program peer facilitators and residential hall advisors including Resident Advisors, Freshman Fellows, and D'Lions. Presentations were also made at the College Diversity Roundtable, the Student Support Network, the Eastman School's Diversity Committee, and the Office of College Admissions.]*
- The College, through the generous support of the President's Office, created the **One Community Programming fund** of \$25,000 per year, which can be accessed by students, student groups, and others interested in developing programming about race and diversity. The Fund will provide support for programs and events on campus that support diversity and inclusion. It will be specifically focused on programs and events involving students, and will give priority to those that address issues of race. You can find more information about the fund online at [www.rochester.edu/college/bic/one-community/funding.html](http://www.rochester.edu/college/bic/one-community/funding.html).
- The College has designated the **Douglass Leadership House (DLH)** a standing house on the Fraternity Quad, and it is therefore no longer subject to the three-year Academic Living Center reapplication and competition process. However, DLH will need to meet occupancy standards and participate in a yearly non-competitive program review process, as is required of all standing special interest housing groups and Greek groups. A committee will begin work this summer to streamline the review processes that exist for special interest groups and Greek groups and then apply the resulting review process standards to all those groups, including DLH. Additionally, the committee will determine a process for evaluating Drama House and Sigma Phi Epsilon for possible consideration as standing houses. *[The Committee examining the process governing special interest housing has begun its work.]*
- The College has increased **funding for College offices**, including the Office of Minority Student Affairs and the Kearns Center and the Paul J. Burgett Intercultural Center for the 2017 fiscal year. These increases will provide opportunities for improved support for students; for example, OMSA will now be better able to support pre-professional and other programming initiatives and the Kearns Center will provide academic support all first-generation college students. In addition, the Intercultural Center will have increased resources to support its activities in its new home in the

renovated Frederick Douglass Building when it opens in the fall. *[Update: The Burgett Intercultural Center has opened in its new location in the Frederick Douglass Building.]*

- The College, in collaboration with the Eastman School of Music, completed a **Climate Survey**. Approximately 40% of students (both graduate and undergraduate) responded to the survey. The results are currently being analyzed, and comparative information from results with other campuses will be received over the summer. Reports on the outcomes will be made available when we have them.
- The faculty of the Frederick Douglass Institute along with Gloria Culver, Dean of Arts and Sciences, are currently reviewing the **African and African American Studies major and minor**. The aim of the review is to better align the major and minor with current course offerings to enable students to better predict what courses will be offered and thereby complete the degree more efficiently.
- While space is not currently available for the requested **move of the Office of Minority Student Affairs**, the Deans and OMSA leadership are considering the possibility of additional short-term solutions, and giving serious consideration to student concerns. Any potential move or expansion must be completed within existing space, all of which is currently in use.

In addition to this summary of what has happened in the College during the past semester, a great deal of additional related information has been or soon will be made available:

- **AS&E Faculty Diversity Report** In September 2015, Peter Lennie, in his role as dean of AS&E faculty, commissioned a report to better understand the status, progress, and success of AS&E's existing policies and practices regarding faculty development and diversity. That report has recently been published at [www.rochester.edu/college/diversityreport/fullplan.html](http://www.rochester.edu/college/diversityreport/fullplan.html). In summary, the report outlines that although AS&E has made clear progress in some areas over the last 10 years, we need to improve efforts to increase the number of female faculty and underrepresented minority faculty and graduate students. AS&E's deans' office encourages all faculty and staff to review this information. Please contact AS&E's faculty development and diversity officers and report authors, [Beth Olivares](mailto:Beth.Olivares@rochester.edu) at [emily.fehnel@rochester.edu](mailto:emily.fehnel@rochester.edu) and [Jeffrey Runner](mailto:Jeffrey.Runner@rochester.edu) at [Jeffrey.runner@rochester.edu](mailto:Jeffrey.runner@rochester.edu), with questions.
- **Student Diversity in the College** report will be completed this month and will be made available. This report is a ten-year review, describing steps that have been taken, progress that has been made, and problems that remain. *[Update: This report will be available during the Spring 2017 semester.]*
- The Office for Faculty Development and Diversity ([www.rochester.edu/diversity/faculty/about-us/](http://www.rochester.edu/diversity/faculty/about-us/)) issue an **Annual Diversity Report**. Its tenth annual report will be available later this month at [www.rochester.edu/diversity/reports/annual-reports-on-diversity/](http://www.rochester.edu/diversity/reports/annual-reports-on-diversity/).
- The Presidential Commission on Race and Diversity will submit its final report in September. That report will be widely available, including on its website.

The actions and plans described here constitute progress in our efforts to address the issues raised by students in their November protest. Our goal is create a campus free of racism and other behavior that

makes it harder for members of our community to thrive. We recognize that work toward that goal remains to be done.

**This report was prepared by:**

Richard Feldman, Dean of the College

Matt Burns, Dean of Students

Beth Olivares, Dean for Diversity and the Director of the Kearns Center for Leadership and Diversity

Norman Burnett, Assistant Dean and Director of the Office of Minority Student Affairs

Jessica Guzman-Rea, Director of the Paul J. Burgett Intercultural Center

Emily Cihon Fehnel, Deputy to the Dean of the College

Please contact [Emily Cihon Fehnel](#) at [emily.fehnel@rochester.edu](mailto:emily.fehnel@rochester.edu) with questions or comments about this report.

# Appendix G: Status Report on Faculty Development and Diversity Efforts in AS&E

*April, 2016*

## Introduction

This report is a ten-year review of efforts in Arts, Sciences & Engineering (AS&E) regarding faculty diversity.<sup>4</sup> It was prepared by Beth Olivares and Jeffrey Runner, AS&E's faculty development and diversity officers, and commissioned by Peter Lennie, dean of the faculty.

A strong faculty is the most important determinant of Arts, Sciences & Engineering's long-term success. Key to maintaining that strength is that our faculty is diverse and that we work continuously to ensure that our searches reach the broadest pool of potential applicants. Our strategic plan defines the faculty as the school's most precious asset, and one of the plan's important goals is to attract the most talented and diverse faculty possible.

AS&E began explicitly focusing on faculty diversity approximately ten years ago, with a more intense focus over the past six. Our approach has been to strengthen the pipeline of women and underrepresented minority (URM) students feeding into faculty positions nationally while concurrently making a substantial investment locally to implement best practices in faculty recruitment and retention.<sup>5</sup>

This report discusses these efforts in some depth; it also examines recruitment and retention of underrepresented minority graduate students and identifies areas for improvement.<sup>6</sup>

## Arts, Sciences & Engineering tenure-track faculty data

Overall, Arts, Sciences & Engineering has 357 tenured and tenure-track faculty during the academic year 2015–16. Table 1 provides a current snapshot of AS&E faculty demographics by division.

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4 This report refers to tenured and tenure track faculty in Arts, Sciences & Engineering only. This is in line with reporting to the American Association of Universities Data Exchange (AAUDE), to which we refer for the purposes of comparisons.

5 Underrepresented minority (URM) is defined federally as Black or African American, Hispanic, Native American, and Native Hawaiian or Native Pacific Islander. In many disciplines, women are also underrepresented.

6 We start with 2005–06 as baseline data for faculty, because our specifically directed efforts at recruitment and retention began in that academic year. For external comparisons, we use a 2009 versus 2015 comparison based on the Association of American Universities Data Exchange (AAUDE) data of a set of comparable peers. For graduate student applications, we start with 2012, during which year AS&E instituted a new data collection program (SLATE) and enrollments since 2010, when specific recruitment and retention efforts started in AS&E.



Table 1. AS&E faculty demographics 2015–16

Division	Total Faculty	Non-URM Women	URM Women	URM Men
Humanities	71	26	3	3
Natural Sciences	114	19	1	5
Social Sciences	83	26	3	4
Engineering	89	12	0	5
<b>Total</b>	<b>357</b>	<b>83</b>	<b>7</b>	<b>17</b>

The total faculty of AS&E has grown by 20.2 percent in the past decade, from 297 to the current total of 357. The numbers of women (up 44 percent) and minorities (up 57 percent) have grown faster than the faculty as a whole. Table 2 shows the overall growth in the tenure-track faculty since 2006 alongside the growth in the number of women and underrepresented minority faculty, and Figures 1 and 2 show this growth over time graphically.

These data show that AS&E has increased the numbers both of underrepresented minority and of women faculty; however, context is necessary to determine whether this is progress.

## Peer set faculty data

In order to determine whether our efforts are successful, we turn to comparisons of peer set data, to see how we rank against similar institutions. Data from the American Association of Universities Data Exchange (AAUDE) allow us to equate our demographic profile with those of a group of private universities against which we often compare ourselves: Case Western, Chicago, Duke, MIT, Northwestern, Vanderbilt, and Washington University in St. Louis. While we typically compare ourselves with a larger set of AAU non-Ivy League private universities, data are only available for the institutions listed and from 2009 through 2015.

Figure 3 shows the average percentages of women and minority faculty in these universities calculated for sets of academic departments that match those in AS&E from 2009 to 2015.<sup>7</sup> Vertical bars show the interquartile range.<sup>8</sup> The light blue squares indicate the peer set mean, and the blue diamonds indicate the AS&E mean.

The AS&E fraction of women faculty falls very close to our peer set mean with little growth over time. AS&E's fraction of URM faculty has grown over time, though we remain below the mean of our peer set, and our growth appears to be slower.

<sup>7</sup> 2009 data were available for the entire peer set of seven schools. 2015 data were available for four of the seven. 2014 data were substituted for the missing 2015 data in Figures 3–5.

<sup>8</sup> This figure illustrates that the interquartile range for many of the peer set departments reaches zero. This means that at least 25 percent of the departments have no URM faculty. This is also the case for AS&E.



Figures 4 and 5 provide a more detailed view of changes across disciplines. Fig 4 shows that, although the fraction of women in AS&E does not make AS&E an outlier in any disciplinary division, we fall below the mean in all divisions. However, the AS&E social sciences departments have seen the largest increase in women faculty during this time period.<sup>9</sup>

Figure 5 shows the fraction of URM faculty by division. As with women, our complement of underrepresented minority faculty does not make us an outlier, and in engineering we are doing better than our peers. We have seen growth in all divisions except the social sciences, but in the humanities and natural sciences we are still far below the average.

Summarizing, AS&E has strengthened the overall representation of women and URM faculty in the decade from 2006 to 2016, though not uniformly across all disciplines. For women, faculty growth has been mainly in the social sciences; for URM faculty, growth has been in all divisions except social sciences. Our profile does not make us an outlier among other private research universities, but for both women and minority faculty we generally fall below the means of the distributions across different academic divisions and—in some cases (e.g., women in social sciences, URM faculty in the humanities)—conspicuously so.

## Faculty development and diversity efforts in AS&E since 2006

In 2006 President Seligman created the Office for Faculty Development and Diversity. Since then each school has appointed one or two faculty diversity officers to work within the schools to help diversify the faculty.

Within AS&E, in an acknowledgement of the importance of diversity in faculty development generally, the dean of the faculty appointed faculty development and diversity officers (FDDOs). AS&E's FDDOs are charged with advising the deans and departments on best practices in the hiring and retention of faculty. Beth Olivares, dean for diversity initiatives, has served as an FDDO since 2007. She has been joined in this role by Honey Meconi, professor of music (2008–09), Laurel Carney, professor of biomedical engineering (2010–13), and Jeffrey Runner, professor of linguistics (2013–current). The FDDOs meet regularly with Deans Lennie, Culver, and Clark.

## Current goals: faculty diversity in AS&E

With guidance from AS&E's deans and coordinating their work with the vice provost for faculty development and diversity, the FDDOs pursue the following goals:

- steadily increase the diversity of our faculty—specifically, the number of underrepresented minorities and women—across all disciplines and through the ranks
- ensure that all search committees have access to pool data and are familiar with best practices in faculty searching

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<sup>9</sup> While AS&E categorizes the Department of History within the social sciences, many other institutions consider it within the humanities. For the purposes of comparison we counted our peer set history departments as social sciences departments.

- work closely with the deans to ensure that AS&E provides the resources necessary for active recruitment and that school or departmental policies and procedures do not add unnecessary barriers to success
- conduct new faculty orientation and provide robust support to help new faculty acclimate to AS&E and support their development and retention.

## Tenure-track faculty hiring procedures in AS&E

We outline the faculty hiring process here, highlighting efforts to increase diversity of the faculty.

### Opening a search

AS&E typically authorizes up to 25 searches each academic year. Department chairs, in conjunction with Deans Lennie, Culver, and Clark, determine curricular and research areas of need. These decisions are based on multiple factors, including school strategic plans and budget forecasts, planned retirements and other potential departures, and planned disciplinary growth. The deans typically approve searches in the summer and early fall, although searches can be approved at any time.

### Advertising the position

Once a description of the position is completed, the deans' office ensures that it includes appropriate language regarding the school and department's interest in attracting a broadly diverse candidate pool. Research has proven that such statements have a positive impact on the eventual hiring of diverse candidates (Smith, 2004). After the advertisement is approved, it is distributed electronically and in appropriate print outlets. All AS&E faculty openings are accessible online. Departments are encouraged to advertise in print and online locations that tend to have an audience of women or underrepresented minority candidates.

### The search committee

The department chair appoints a search committee based on the subfield for which the department is searching; committee membership is approved by the appropriate dean. (In a small department a search committee may be a committee of the whole.) Dean Culver oversees all searches in the School of Arts & Sciences, and Dean Clark those in the Hajim School of Engineering & Applied Sciences. Each committee has a chair and a number of members (typically four to six) who run the search and recommend short-list candidates to the department. AS&E deans encourage departments, when possible, to include faculty of color, both men and women, and senior and junior faculty members in all search committees. The deans and FDDOs are sensitive to the delicate balance that obtains between protecting the time of URM and women faculty, and ensuring that search committees are as diverse as possible. We encourage search committee chairs to weigh this balance carefully. One Arts & Sciences department also includes graduate student representatives. Although the graduate students do not vote on candidates, they have input at each stage of the process. This is excellent pre-professional training for the graduate students and is a practice the FDDOs encourage other departments to adopt.

### The applicant pool

The FDDOs use the Integrated Postsecondary Education Data System (IPEDS), a federal database, to provide each search committee seeking junior faculty with data on the racial and gender makeup of their potential applicant pool. We can give search committees relatively detailed information on recent

PhD recipients by subfield and institution. We provide pool data from all American Association of Universities (AAU) schools and from a subset, the AAU 25, a smaller list of private universities with whom we most frequently compare ourselves (see an example set of pool data in Table 3). We also urge the search committees to continually seek out and communicate with departments producing URM and women PhDs.

Table 3. Example of AAU 25 pool data, 2015–16 search year

Department	AAU 25	Women #	Women %	URM #	URM %
Art History	306	234	76.5	14	4.6
Economics	950	268	28.2	22	2.3
History	655	319	48.7	59	9.0
Physics	1134	199	17.5	26	2.3
Political Science	592	265	44.8	55	9.3

### AAU 25 PhDs (2012, 2013, 2014) IPEDS

We expect the actual applicant pools for searches seeking junior faculty to broadly reflect the national pool with respect to percentages of URM and women candidates. The national data are not a perfect representation of the pool (for example, not all of our hires are from the AAU; some departments look for candidates who have had one or more postdoctoral appointments, and many attract international applicants); however, it is a good proxy for the available pool of candidates.

### Best practice training

Once the search committee is established, every committee meets with the FDDOs for a discussion of best practices in searches, with a focus on ensuring that departments do everything possible to ensure that their candidate pools contain underrepresented minority and women candidates, and that all candidates receive unbiased review.

The FDDOs engage search committees—in many ways the most crucial agents in our efforts to diversify the faculty—in frank discussions about the value of diversity at the University. Search committees are urged to consider diversity explicitly in their deliberations; increasing the diversity of their departments and thus our school is an explicit part of their task. These discussions often reveal that faculty members are quite concerned about the homogeneity of the potential pool. The FDDOs' role is in part to help them to broaden their pool as much as possible and show them how to direct their efforts most effectively in attracting talented applicants from all backgrounds. Since these meetings were implemented in the fall of 2010, the members of more than 130 committees have been part of these conversations.

The FDDOs' advice to committees is grounded in the national literature on best practices in faculty hiring, their work with specialists, and broad knowledge of the culture of AS&E and our departments.

Best practices include

- actively seeking out women and minority graduate students and postdoctoral appointees working in specific curricular areas

- inviting such scholars for talks as graduate students or postdoctoral fellows
- being in “search mode” even when there is not an authorized departmental search
- becoming aware of one’s own implicit biases prior to candidate review
- not ranking candidates until the very end of the process
- reading the research statement prior to letters of recommendation or reviewing the Curriculum Vitae so as not to be unduly swayed by the opinions of others or by academic pedigree
- including graduate students as nonvoting members
- ensuring the participation of undergraduate and graduate students during all campus visits.

In addition to outreach done by individual departments or search committees, AS&E actively recruits candidates annually at the Institute on Teaching and Mentoring<sup>10</sup> held by the Compact for Faculty Diversity. In addition, the University of Rochester subscribes to the National Registry<sup>11</sup>, a clearinghouse for the Curriculum Vitae (CVs) of minority and women candidates who have expressed an interest in being recruited for faculty positions at Rochester and elsewhere.

### **Faculty Online Recruiting Tool (FORT) and candidate review**

AS&E uses a web-based system (FORT) to manage all applications and to organize committee review. Prior to submitting an application, each candidate must answer several demographic questions with respect to gender, ethnicity, ability, and veteran status. Although each question must be answered, candidates may select “prefer not to answer” for any or all demographic questions. Search committees do not have access to this information until they have selected their short-list candidates (those they would like to invite to campus for an interview). Even then, committees receive demographic information on their applicants in aggregate only.

#### **Implicit bias in the review process**

All of us—men and women, regardless of race, class, ethnicity, or socioeconomic status—are subject to unconscious bias. Unconscious thoughts and feelings can influence the seemingly objective decisions and actions of even the most well-intentioned person. Much social science research suggests that people are more prone to implicit bias when they are under time pressure, when the task involves ambiguity, and when the process includes nonverbal automatic processes such as sorting CVs. Examples of findings from the research include “blind” auditions, or having musicians sit behind a screen for symphony chairs, which result in an approximately 50 percent increase in hiring of women (Goldin and Rouse 2000). Both male and female scientists are more likely to “hire” male applicants and at a higher rate of pay, despite identical résumés (Moss-Racusin, et al. 2012). Identical résumés with “white-sounding” names and “African-American-sounding” names resulted in the “white” candidates being offered 50 percent more interviews (Bertrand 2004). Letters of recommendation written for male medical school faculty applicants are longer than those for female applicants and have more

10 [www.instituteonteachingandmentoring.org/attendee-information](http://www.instituteonteachingandmentoring.org/attendee-information)

11 Contact either FDDO for information.

references to research, while those written for women tend to be shorter, refer to personal traits, and contain more faint praise and irrelevant information (Trix and Psenka 2003).

The good news is that when reviewers are conscious of the role implicit bias can have on the process, its potential adverse impact can be substantially reduced. Having briefly reviewed this literature during our conversations, the FDDOs recommend that each member of a search committee spend some time online participating in the Harvard Implicit Bias Project<sup>12</sup> (or similar sites) prior to reviewing applicants.

### Short lists and campus visits

When the search committee determines which candidates they would like to interview, it requests a FORT-generated aggregate demographic report on the entire applicant pool and on the short list. The committee then explains in writing why these are the top candidates. If the short list is homogeneous, the deans request a discussion of the absence of women or minority candidates on the list. The deans may request that a department revise a list that does not appropriately represent the pool. Both Deans Clark and Culver have done this.

Some departments conduct first-round interviews at disciplinary conferences or by Skype. Many invite their short-listed candidates to campus for interviews and to give a talk to which graduate and undergraduate students as well as faculty from associated fields are invited.

After the visits are concluded, a department, with the approval of the dean, will make an offer to the preferred candidate, if any. The dean and department chair enter into a negotiation with the candidate. Many searches are unsuccessful; sometimes this is because our top candidate accepts an offer elsewhere, and sometimes it is because no sufficiently qualified applicant emerges from the pool. In cases where URM candidates have multiple offers, one of which is from AS&E, the Special Opportunity Fund (described below) can be leveraged to make our offer more competitive. This is one of the ways in which we try to increase the diversity of our faculty: if a search committee identifies a candidate, the school works very hard to make the hire. Faculty members hired in a given search year may begin their appointment the following July 1 or at a later date more amenable to their professional schedule or the department's needs.

### Pool data with hiring results, 2014–15

The following chart summarizes the larger and smaller sets (AAU and AAU 25) we consider as the national pool of potential applicants, the actual applicant pool for all of AS&E's searches during the 2014–15 academic year, and the demographics of our short lists and the candidates we hired. Note that the AAU and AAU 25 columns correspond with the number of doctoral degrees earned during the preceding three years in the specific fields in which we searched.

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<sup>12</sup> <https://implicit.harvard.edu/implicit/index.jsp>

Table 4. Applicant pool data for 2014–15 search year

	AAU	AAU 25	Pool	Short List	Hired
Total	31,419	5,029	3,137	105	15
% Female	50%	38%	20%	36%	47%
% URM	9%	5%	7%	7%	20%

Although this chart demonstrates results for just one search year, it illustrates recent progress with women as well as with underrepresented minority faculty hires. Our goal is that women and URM candidates be at least as well represented in our applicant pools as they are in the overall pool. In this year, our percentages of women and URM applicants were lower than the national pool, but they were relatively well represented on short lists, and we were successful in hiring.

## Target of opportunity hiring in AS&E

In addition to searches conducted through the mechanisms described above, AS&E faculty are also encouraged to seek outstanding faculty members who would add to the diversity of the department or school at any time. The deans encourage departments to advise them of unanticipated hiring opportunities that would greatly strengthen the department and AS&E as a whole, despite there being no approved search in the candidate's discipline. The deans emphasize their willingness to make opportunistic hires at all levels that will bring AS&E exceptional faculty, including, but not limited to, faculty members from groups that are underrepresented in their disciplines.

A special hire would be one that brings a department a faculty member who would not normally be accessible to the department because the department does not have an active or promised search the department has an active search, but the potential faculty member's domain of expertise is so far outside the disciplinary scope of the search that he or she could not reasonably be considered a candidate. In recent years, this mechanism has resulted in successful hires in several departments.

## Office for Faculty Development and Diversity's Special Opportunity Fund

The Office for Faculty Development and Diversity has special funds available to help offset hiring costs. These funds can be accessed by all of the schools in the University, including those in AS&E. This fund can provide supplements to start-up packages, additional salary, or other resources needed to attract diverse faculty candidates to the University. AS&E has leveraged this fund in recent years to attract a number of faculty members, including those affiliated with the Frederick Douglass Institute. For more information on this fund, departments can contact their school dean or the FDDOs.

## Faculty retention

To create and sustain a welcoming and inclusive climate for all members of our community, we must provide the faculty we hire with the support they need to thrive. The FDDOs work with other faculty and staff to create multiple opportunities for new faculty to find others with similar research or personal interests. In particular, women and underrepresented minority faculty members can feel isolated, especially early on and especially when they are the only or one of a small number of women or URM faculty in their departments. One of our goals is to make sure new faculty never feel isolated in

their departments and can develop friendships and collaborations of various sorts across departments. We are a small school with small departments that do not hire frequently, so it is essential that new faculty have as many opportunities as possible to develop a sense of “home” in AS&E.

Over the past three years, the FDDOs have developed a series of informational and networking events that help us to achieve that goal.

### AS&E-specific new faculty orientations in August and January

During orientation, new faculty members are introduced to all the deans and a variety of offices with which they will work as they develop their research and teaching careers in AS&E. The FDDOs begin preliminary discussions of the process of tenure and promotion. They discuss the value of mentorship and encourage new faculty to identify mentors in their departments and elsewhere. They establish their role as faculty development officers by making themselves available to new faculty to assist with transition to life in AS&E. Making new faculty feel welcome is an important part of this first event and a big part of that is having the new faculty meet each other and begin to develop relationships, both professional and personal. Retention of newly recruited and hired faculty begins already at this stage.

### Other faculty development efforts

In addition to the formal orientation, the FDDOs provide opportunities for new faculty to meet their specific deans in a more casual atmosphere. This allows the faculty to get to know their dean as well as for that dean to get to better know her or his faculty. FDDOs also sponsor monthly lunches for pretenure faculty to get together in an informal setting to further develop their connections with one another. During the year FDDOs offer a variety of workshops on teaching, research, tenure, and promotion that will be useful for all faculty.

### Mentoring

As AS&E focuses more deeply on faculty recruitment, the deans and FDDOs also attend to issues of faculty development and retention specifically in regard to mentoring of junior faculty. An acceptable mentoring framework for Arts, Sciences & Engineering must accommodate wide variation across disciplines in the needs of faculty, and a uniform policy is unlikely to be useful or acceptable to departments. Nevertheless, there are core elements that the deans and FDDOs believe should be present in all policies and practices:

- Each department should make explicit its procedures for fostering and monitoring the early career development of faculty and should clarify a procedure for assessing the effectiveness of teaching and for providing assistance in strengthening it.
- Each department should identify a mechanism through which junior faculty are offered help with key skills (such as grant writing and book publishing) for managing research and scholarship.

### Academic pipeline development

A significant impediment to establishing a more diverse faculty is the small number of women and minority candidates in some disciplines. AS&E has made explicit investments to increase the diversity of our graduate programs and invests heavily in the preparation of underrepresented undergraduates for careers in academia. These efforts are coordinated through the David T. Kearns Center for Leadership and Diversity in Arts, Sciences & Engineering. The mission of the Kearns Center is to



expand the educational pipeline through the doctoral degree for low-income, first-generation college, and underrepresented minority students.

### Graduate student recruitment

In 2010, the Kearns Center created a full-time position for a staff member to work closely with the Office of Graduate Studies. Currently, Kevin Wilson, assistant director for graduate diversity, has primary responsibility for the recruitment and retention of graduate students of color in AS&E. He works closely with departments and helps recruit students at many high-impact events each year, as described below.

In the 2015–16 academic year, the recruiter attended twelve high-impact recruiting events (those that attract 500-plus student participants). Attendance at these events allows AS&E to make direct contact with thousands of potential applicants each year.

The University of Rochester is part of the **GEM Consortium**, the National Consortium for Graduate Degrees for Minorities in Engineering and Science—a group that provides external fellowships to minority candidates for engineering degree programs. Through this partnership, AS&E departments are in contact with more than 600 GEM applicants each year.

Each September since 2012, the Kearns Center has invited from 10 to 20 underrepresented, low-income, first-generation, and women students from across the country to visit their chosen department as part of **Graduate Visitation Program (GVP)**. This is an all-expenses-paid trip that includes meetings with current graduate students, faculty, and administrators; workshops on applying to graduate school; and a tour of the city of Rochester. The Kearns Center also hosts a **Graduate Visitation Program for Administrators (GVPA)** for college administrators (such as research program directors) who work with underrepresented populations.

These efforts serve multiple purposes. In the short term, they help to increase the number of applications to our graduate programs we receive from students of color, and from individuals who are low-income or the first persons in their families to attend college. In the longer term, they can pave the way for new partnerships between departments and minority serving institutions, and they increase our recognition as an institution who cares deeply about the successes of students of color.

### Graduate applications and enrollment

Since AS&E started devoting resources to this effort, applications from underrepresented minority students to our graduate programs have grown from 63 in 2010 to 206 in 2015—a 226 percent increase.

Tables 5 and 6 show the growth in AS&E's enrollment of full-time master's and doctoral students in AS&E from 2010 through 2015. The growth in enrollment of URM students from 40 to 69 (73 percent) has far outpaced the overall growth in enrollment (16 percent).



Table 5. Master's enrollment demographics 2010–15

	2010	2011	2012	2013	2014	2015
URM	4	4	10	15	22	13
	2.7%	2.3%	4.3%	5.2%	7.2%	4.0%
Non-URM	84	84	85	102	101	115
	57.5%	48.6%	36.3%	35.4%	33.2%	35.6%
International	58	85	139	171	181	195
	39.7%	49.1%	59.4%	59.4%	59.5%	60.4%
<b>Total</b>	<b>146</b>	<b>173</b>	<b>234</b>	<b>288</b>	<b>304</b>	<b>323</b>

Table 6. PhD enrollment demographics 2010–15

	2010	2011	2012	2013	2014	2015
URM	36	33	38	38	47	56
	3.8%	3.5%	4.1%	4.0%	5.2%	6.0%
Non-URM	510	515	513	515	494	470
	54.5%	54.6%	55.3%	54.3%	54.3%	50.6%
International	390	396	376	395	369	403
	41.7%	41.9%	40.6%	41.7%	40.5%	43.4%
<b>Total</b>	<b>936</b>	<b>944</b>	<b>927</b>	<b>948</b>	<b>910</b>	<b>929</b>

### Graduate student retention and professional development

The **Kearns Center Professional Development Diversity Travel Award** was created in 2015. The award provides graduate students in Arts, Sciences & Engineering up to \$750 toward their attendance at and participation in diversity-related professional and academic conferences. Three students have received the award thus far.

The **Graduate Students of Color (GSoC)** association was formed by students, is advised by the Kearns Center, and is cofunded by the Kearns Center and AS&E's dean of graduate studies to support underrepresented students of color across all University of Rochester campuses with social and professional events.

A bimonthly **dinner and discussion for underrepresented AS&E students** sponsored by the Kearns Center fosters community and social support for students. The robust discussions engendered here allow students to share their concerns, generate ideas for social and professional events, and provide opportunities for networking.

### Center for the Integration of Research, Teaching and Learning (CIRTL)

CIRTL is an NSF-funded consortium of American universities whose mission is to enhance excellence in undergraduate education through the development of a national faculty committed to implementing effective teaching practices for diverse learners. The University of Rochester is a member of this

consortium and has several efforts aimed directly at increasing the racial and gender sensitivity of STEM graduate students and faculty, so they can be well prepared to teach the next generation of diverse undergraduates.

### Kearns CIRTLL Fellows

Kearns-CIRTLL Fellows, who are all graduate students in the STEM fields, assist in faculty-led short courses for urban high school students through the Center's Upward Bound Math/Science Program. These fellows develop a wide range of new skills that assist them to become strong faculty members, particularly in teaching racially, ethnically, and linguistically diverse student populations.

### Ronald E. McNair Post-Baccalaureate Achievement Program (Kearns Center)

This program's goal is to increase the numbers of low-income, first-generation college, and underrepresented minority undergraduate students who continue their education by pursuing PhD degrees. Each McNair Scholar completes a mentored research experience and attends seminars from sophomore through senior years; they meet and network with faculty, prepare for the General Record Exam, learn about life in the academy, and apply to graduate schools. In addition, they each complete at least one in-depth mentored research project and present that research at several conferences, both at the University of Rochester and nationally. Since the program's inception in 1992, more than 80 percent of the University's McNair graduates have enrolled in graduate school, and more than 100 have already earned doctoral degrees. More than a dozen are currently faculty members at colleges and universities across the country in fields such as math, computer science, psychology, education, and political science.

## Recommendations

AS&E has a set of policies and practices designed to enforce best practice in faculty hiring and thereby strengthen the recruitment and retention of women and underrepresented minority faculty and graduate students. We have made clear but insufficient progress in increasing the number of underrepresented minority faculty and graduate students; we have made much less progress with women faculty. AS&E should pay attention to the areas noted below.

### Faculty hiring

AS&E should continue to actively seek a robust pool of underrepresented minority and women faculty candidates. AS&E deans should remind department chairs at regular intervals of the importance of diversity to the school and of the availability of special funding when appropriate.

Search committees have ready access to information and training on best practices, but we do not know how fully these practices are adopted. AS&E currently does not collect follow-up information on what committees did to attract a broadly diverse applicant pool and ensure unbiased review and what explicit consideration was given to diversity. AS&E should implement an annual process to assess the use of these practices and evaluate their effectiveness.

### Faculty development

At least once a year, a discussion should occur between the department chair (informed by other senior faculty, as appropriate) and junior faculty members, covering general career progress and,

where relevant, providing guidance on what might be done to accelerate it. This discussion should be distinct from the annual performance review, with its retrospective focus. Effective mentoring is based on a review of progress but goes beyond it in diagnosing potential weaknesses or shortfalls and offering specific recommendations for overcoming them, typically by suggesting appropriate resources to which the faculty member may turn and establishing time frames within which particular work should be accomplished. To emphasize the distinction between the mentoring discussion and the annual performance review, we recommend that the former occur early in the academic year. The outcome of the mentoring discussion, including any recommendations for action by the faculty member, should be summarized in writing by the chair, and a copy given to the faculty member.

The FDDOs suggest to junior faculty members that no later than the end of their first year here, they should be able to identify a mentor. The FDDOs and department chairs should collect this information.

### **Pipeline development**

AS&E should strengthen current methods and continue to implement additional methods of increasing the pipeline of women and underrepresented minority undergraduates into doctoral programs both nationally and locally.

Faculty diversity is an issue of national scope, and AS&E has a strong commitment not just to hiring a more diverse faculty but also to ensuring that the pipeline of candidates into PhD programs remains deep. Yet the fact remains that many undergraduate students of color do not see value in pursuing careers in academe. An important task has to be to ensure that these students better understand—and see as a potential career path—the life of a faculty member or researcher.

Graduate admissions committees should be charged to seek to broaden participation of underrepresented groups. This may mean developing partnerships with specific undergraduate schools or programs, engaging more intensely with current recruitment efforts aimed at women and underrepresented minority undergraduates, or reconsidering the relative weight assigned to various aspects of a graduate application. Insofar as possible, and in conjunction with the dean of graduate studies, graduate admissions committees should absorb the practices developed for tenure-track faculty searches.

### **Non-tenure-track faculty and instructional staff**

AS&E has not devoted the same effort to diversifying its non-tenure-track faculty as it has its tenure-track faculty. The diversity of this group of employees is critical, as they teach many undergraduates who are generally unaware of the differences between various kinds of faculty. Searches for non-tenure track faculty should, where possible, also absorb the practices we have developed for tenure-track searches.

AS&E does not currently maintain comprehensive data on non-tenure-track faculty or instructional staff. This data should be assembled, maintained, and reported on annually in the same manner as is done with tenure-track faculty.

## Evaluation and reporting

- The FDDOs should report to the deans and AS&E faculty on progress in this domain on no less than an annual basis.
- The FDDOs should report to the graduate and undergraduate students on progress in this domain on no less than an annual basis.
- To increase the overall transparency of these processes, the FDDOs should maintain a robust online reporting mechanism available to the University of Rochester community on progress, challenges, and opportunities in this domain.
- If enacted, the totality of these recommendations will help to ensure that AS&E continues into the next decade with a strong and ever more diverse faculty.

## For more information

To learn more about any of these efforts, please visit <http://www.rochester.edu/college/faculty/>, or contact:

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# Appendix H: Town Hall Transcript Summaries and Analysis

## 1. AS&E Forum on Yik Yak

Link to the full transcript here: <https://www.rochester.edu/president/commission-on-race-and-diversity/town-halls-yik-yak.html>

Held on December 11, 2015 in Gowen Room of Wilson Commons. Approximately 110 people were in attendance. The forum was moderated by Presidential Commission co-chair Paul Burgett and opened with a panel discussion on Yik Yak. The panel was made up of the following individuals:

- Gail Norris from the Office of Counsel who shared facts about what has transpired with Yik Yak at the university over the last 18 months
- Professor Jim Johnson, who shared some comments on free speech
- Simone Johnson, a student impacted by comments posted on Yik Yak
- Andres Ollarvez, a student from the debate team who shared an argument in favor of allowing Yik Yak on university servers

Following the panelists' comments, those in attendance were invited to speak. Most of the commenters were undergraduate students. The tone of the event was emotional and the session ran over time due to the number of students who wanted to share their thoughts. Common themes that emerged included:

- Support for banning Yik Yak from our campus servers
- Anger that the university had not already banned Yik Yak or acted in support of students
- Minority students reported feeling unsafe on campus because of the anonymous threats made on Yik Yak
- Minority students don't "feel the love" from the university
- Students shared micro-aggressions that they have experienced

## 2. URM Town Hall Meeting

Link to the full transcript here: <https://www.rochester.edu/president/commission-on-race-and-diversity/town-halls-1-6-16.html>

Held on January 6, 2016 in the Class of '62 Auditorium. Approximately 60 people were in attendance. It was led by Presidential Commission Members Paul Burgett, Rich Feldman, and Linda Chaudron. The town hall began with a summary of recent events and an update on Yik Yak, as many in the medical center are not aware of the Yik Yak issues. Faculty, staff, and students all attended and participated in the conversation. Topics identified included:

- A lack of trust by students and residents of the faculty
- The desire for cultural competence in medical education curriculum
- A desire for increased faculty diversity and exposure to these faculty for students and trainees
- A desire for education around implicit bias and micro aggressions
- Examples of micro aggressions experienced by students of color on our campuses
- A request for more exposure of trainees to the community of Rochester and the needs of the Rochester community
- A division between the university community and the greater Rochester community (it was described as a “city within a city” where the Rochester city residents are excluded from the city of the University of Rochester)
- A request to engage and invite the voice of the greater Rochester community into our discussions
- The desire to focus on resident diversity to increase the diversity of the medical school faculty.

### 3. Eastman School of Music Town Hall Meeting

Link to the full transcript here: <https://www.rochester.edu/president/Commission-on-race-and-diversity/town-halls-1-11-16.html>

Held on January 11, 2016 at the Student Living Center, 100 Gibbs Street. Eastman School of Music sponsored a Town Hall meeting as one of the series required by the President’s Commission on Race and Diversity. All students, faculty, and staff were invited by individual email announcement, by a message in the Dean’s January 10 e-newsletter, and by posters positioned throughout the School buildings and the Student Living Center. In attendance were 5 members of the President’s Commission, 8 faculty members, 4 staff members, and 40+ undergraduate and graduate students. Dean Jamal Rossi welcomed everyone to the Town Hall, and introduced the Commission co-chairs. Donna Brink Fox served as the host and shared the four Commission charges to begin the meeting. Dean Fox also presented the guidelines from the Commission (projected on screen throughout the session) to support the conversation. The session was recorded, and approximately 25 people offered comments about their experiences with diversity at Eastman and the University. Four themes appeared in these comments: musical diversity, individual identities, building community, and communications.

#### Musical Diversity

These ideas were primarily suggestions for experiences to add to the program at Eastman: an interest in studying world musics, playing non-traditional instruments (and having them available through the Instrument Office), expanding the content of music history courses beyond the traditional “classical” material, and programming more minority culture works in regular recital and concert events.

#### Individual Identities

In this area, students spoke with passion about their need to keep and express their heritage and identity within our community. Personal

experiences were shared by several students who struggle as underrepresented minorities, as students of different races, and as students with different cultural origins. One student felt her ethnic identity was often discounted by classmates, who questioned the authenticity of her cultural heritage because of the (lack of) intensity of skin color.

Another student expressed a concern that underrepresented minority students are singled out for publicity photos, suggesting a more diverse student body that really exists.

It was acknowledged that there are challenges in meeting Eastman's entrance requirements, when students must often have years of consistent musical preparation to meet the criteria for admission. Access to quality music instruction is not provided in many of our public schools, and as a result, the pool of qualified music applicants is not diverse. On a positive note, enthusiastic comments were expressed by freshmen about the new orientation week program designed around the theme of "Identities@Eastman," which was planned to address difficult topics of inclusion and identity.

### **Building Community**

Along with the call for more varied concerts and marketing to non-traditional audiences, there was a call for social responsibility to engage the public in every performance. Concerts could be arranged to have an educational component about racial diversity. Students suggested that we showcase concerts in a space to bring in all kinds of students; they want to engage with the community around our buildings, and seek to inspire children to study music. In terms of campus climate, language, and circumstance, they want to speak freely without judgment, and remove the stigma of talking about issues of race and diversity. Many want us to focus on these issues: "Make it so we have to think about racism/diversity at Eastman." They are concerned that students often speak solely with their "own" cultural group. Others spoke of their experience growing up among a wide variety of ethnicities and how that shaped their young adult thinking; what can we learn about social harmony from those models? Some spoke of schedule/transportation difficulties connecting with programs and opportunities on the River Campus (dance class). These experiences could help Eastman students feel a sense of belonging to the larger whole of the University.

### **Communication**

The importance of communication about events and opportunities was mentioned several times. Students asked for more advertising of our concerts and/or forums about diversity and world music. A student noted the Martin Luther King celebration coming up in Kodak Hall the next Monday. Although this is an annual community event on our campus, he did not know about this event for the past 4 years. One student asked for a place to share information about diversity-related events, and this currently exists as a labeled diversity bulletin board outside of the Academic Affairs Office, room 110.

In conclusion, the Eastman conversation on diversity included discussion of race, class, gender, sexual orientation, and religion. Several students expressed a deep concern for international students' experience; they want to celebrate the contributions of the multicultural mix of students, and they believe this goal of improved climate is well within their grasp. Many people expressed their deep appreciation for this Town Hall event, and conversations continued well beyond the published "end time" of the Town Hall.



## 4. URM Town Hall Meeting

Link to the full transcript here: <https://www.rochester.edu/president/Commission-on-race-and-diversity/town-halls-1-18-16.html>

Held on January 18, 2016 at the Class of '62 Auditorium. There were approximately 60 people in attendance. Presidential Commission Members Paul Burgett, Rich Feldman, and Linda Chaudron led it. The town hall began with a summary of recent events. Faculty, staff, and students all attended and participated in the conversation. Topics identified included:

- Appreciation for the investment in diversity especially in the medical student population – the diversity of the medical student body is a reason people choose to come here. This diversity does not translate into the residency and faculty.
- Desire for mentors for and by minority professionals
- Minority Faculty are overburdened as mentors
- Discussion of whether minority students received lower
- Evaluations on clerkships, which are very subjective and depend on relationships
- The desire for more cultural competency training in the medical education curriculum to better serve our diverse patient populations
- A desire for education around implicit bias and micro aggressions
- A discussion of how some students of color have to adapt to being comfortable with being uncomfortable and how this impacts their learning. A question of whether the university is ready to make the majority uncomfortable to address the issues of the minority.
- An inquiry as to how the faculty will be held accountable for micro aggressions; a discussion of the need to educate the faculty/teachers/preceptors was further discussed
- Discussion of mandatory education
- Discussion of stereotype threat
- The sadness staff feel who have been here for many years and see little change with regard to the diversity of those in leadership positions and the climate of inclusion for those from under-represented minority groups
- The desire to acknowledge that issues of race may be foreign to those who come from other countries and they, like others, need education
- A division between the university community and the greater Rochester community
- Raised this issue that we need people of other races and cultures in the room to participate in conversations about diversity, not just those interested in the subject and not just minorities.
- The desire for unconscious bias training for all in the medical center

## 5. School of Nursing Town Hall Meeting

Link to the full transcript here: <https://www.rochester.edu/president/Commission-on-race-and-diversity/town-halls-1-19-16.html>

Held January 19, 2016 at Helen Wood Hall. Approximately 70 people attended. It was led by Presidential Commission Members Paul Burgett, Rich Feldman, and Linda Chaudron. The town hall began with a summary of recent events. Faculty, staff, and students all attended and participated in the conversation. Topics identified included:

- Inquiry as to the definition of diversity and whether it includes people with disabilities or is “code for race”; clarification that diversity includes disability but that the precipitant for these discussions was / is race.
- Discussion that academic disabilities are handled well at AS&E but visible disabilities are not as always easily negotiated.
- Discussion of graduate students being taxed for reimbursements and that this is difficult on all grad students including minority students.
- Discussion of some of the successful SON diversity efforts such as the RWJ program, the LIFT program that clearly support diversity in the SON
- Examples of how students feel unwelcome, especially students of color. For example, interactions with security and others when they are dressed a certain way or come from the direction of the bridge versus from another direction.
- Discussion that we cannot separate our community from the larger community.
- Discussion of the fact that service workers are primarily of color and students of color are assumed to be service workers.
- The desire for more faculty of color as role models.
- Suggestion that all getting education at UR be required to have education in cultural humility.
- Requests for more programs for students to connect to the community, and requests to modulate the pre-requisites for medical school.
- Middle-level staff do not have a visible cohort of minority individuals
- Inquiry as to where there is a guide to all the programs that do exist to engage students.
- Suggestion for a toolkit with all programs, readings, workshops and resources.

## 6. Warner School of Education Town Hall Meeting

Link to the full transcript here: <https://www.rochester.edu/president/commission-on-race-and-diversity/town-halls-1-20-16.html>

Held on January 20, 2016, at the Warner School's LeChase Hall, approximately 40 students, staff and faculty were in attendance. Six Commission members were in attendance: Paul Burgett, Richard Feldman, Vivian Lewis, Myra Henry, Anthony Kinslow, Nancy Ares, as well as President Joel Seligman were in attendance. Topics that were raised included:

- University's extremely small number of faculty, staff, and students of color contributes significantly to a negative racial climate and feelings of marginalization. What efforts are in place to both recruit more people of color, as well as to work to ensure that those who are here feel more included?
- As a majority White campus, it is the responsibility of those in power to work against people of color being excluded. How do we, as a predominantly white institution, examine ourselves as those responsible for creating an inclusive culture, e.g., avoiding micro-aggressions, and understanding the experiences of people of color?
- Issues of safety were raised, including creating safe spaces where people can be themselves and articulate their experiences. The lack of safety that resulted from the racist YikYak posts and from faculty and staff of color not being supported were highlighted as problems in need of immediate attention.
- Issues of Whiteness and privilege are not addressed explicitly enough in classes. Research by Warner faculty in those areas is not very visible, either. In addition, issues of race are often avoided in classrooms, while other kinds of diversity are dealt with more often and more easily.
- Students of color report that they are not invited to participate in many activities, including research and other professional opportunities. They see a disproportionate number of students from more dominant groups being involved in such things.
- Experiences of staff, faculty, and students of color that are negative are often not shared due to a lack of safety. Those experiences are also not recognized by many members of the University community, so that the regular occurrence and ongoing nature of them are misunderstood and even denied.
- We are doing this work not only for underrepresented members of the University community; this is for all members. This means that White staff, students, and faculty need to recognize their power and privilege and take responsibility for creating change.
- Attention to diversity and equity needs to be integrated throughout the climate and culture, but also and more importantly, throughout the institutional structures. Listing programs is not enough – people of color need to see what is intentionally happening so that the onus is not on them to create change. What intentional and transformative changes are we making as an institution? How is this reflected in institutional practices and policies? Could attention to diversity and inclusion be included as part of performance reviews?
- Opportunity hoarding came up as something to attend to as a concept that shifts the conversation away from focusing on the experiences of people of color toward actions and policies of the institution that marginalize people and maintain the status quo.
- The use of space on campus signals priorities. These priorities reflect such things as the Douglass Leadership House being placed in the Fraternity Quad, as well as the Office of Minority Student

Affairs being moved from the basement of Dewey Hall to Morey Hall. Still, challenges by some to the DLH being on the Fraternity Quad indicate again that the racial climate is problematic.

- Institutional support for research around race, diversity, and equity is another indication of priorities. Promoting this work and helping to facilitate funding is something the University could do better. For example, it is much easier to get funding for work on social networks in public education reform than for work on segregation and racial issues in public education.
- Challenges for students and faculty of color in their interactions with public safety staff are a continuing problem. Reports by men of color of being mistreated and/ or presumed to be suspicious simply because they are on campus need to be taken seriously by the Administration.
- Presentation of programs that are in place to support academic and other successes of underrepresented students were offered in response to some of the questions, as were efforts in recruitment and retention of faculty of color. In terms of staff recruitment, Anthony Kinslow detailed efforts on the part of his office to diversify staff at upper and other levels.

## 7. The College Town Hall Meeting

Link to the full transcript here: <https://www.rochester.edu/president/Commission-on-race-and-diversity/town-halls-1-22-16.html>

Held on January 22, 2016 in the Gowen Room, Wilson Commons. Approximately 120 people attended this town hall meeting, which was moderated by Commission members, Nicholas Bigelow and James Johnson. Paul Burgett and Richard Feldman welcomed the group and discussed the role of the Commission. Feldman and other College administrators provided updates on the responses to student demands directed to the College. An open forum where many students spoke passionately followed the updates. President Seligman, Dean Feldman and others periodically spoke in response to specific points raised by the students. Topics raised:

- Some students would like the conversation and the Commission's work to be focused on race (not race and diversity).
- Some students do not feel that Douglass Leadership House should be treated as the other Academic Living Centers (ALCs) are. They also expressed that there is not adequate funding for ALCs in general.
- The Commission and its work will not solve the issues around race on campus. What happens after the report is issued? Will students be tasked to serve in an advisor role to the president?
- The Commission should have Latino student representation. The Commission should have more student representation overall, the voice of students won't be clearly heard because the Commission is primarily made up of staff and faculty.
- The University should be a hub for change. Race aside; we should be leaders in changing the city of Rochester. Currently, there is a disconnect between the city and campus. We should be working harder on this.

- Several students said that they felt safe but not comfortable on campus.
- DLH should not be the only place they feel comfortable.
- University leaders know that there are problems. They should take responsibility and fix them.
- A question was raised about the role of the Burgett Intercultural Center. Is it a replacement for the Office of Minority Student Affairs (OMSA)? The ICC now manages some programs that used to be run by OMSA. No, the ICC is not a replacement for OMSA. Some students feel OMSA is the only office that supports minority students and serves their needs.
- We desire to ensure the many offices and programs we have in place are working well, and that they are working together.

## 8. Simon School of Business Town Hall Meeting

Held on January 25, 2016 in Gleason Hall, approximately 60 people attended the Simon Business School Town Hall, including President Joel Seligman, Commission Members Paul Burgett, Rich Feldman, Vivian Lewis, Tony Kinslow, Donna Brink Fox, and Carin Cole, Dean Andrew Ainslie, and Faculty Diversity Office Ron Goettler. Several staff members and students from various degree programs attended and provided input. Commission members and President Seligman shared an overview of the goals of Commission and recent events that led its creation. Key points and major topics were as follows:

- Students are proud of our diversity at Simon Business School
- Students acknowledge we are one of the most diverse schools, including our percentage of underrepresented minorities
- While we are diverse, we could improve in our understanding of diversity, and continue to build on our appreciation and understanding of one another
- Students praised our “Broaden Your Horizons” cultural events and our ways of celebrating international diversity at the school
- There was additional support for working towards a “changed consciousness” to truly understand and value differences. This can be accomplished through continued effort for getting to know one another and appreciating our differences. The broadened CARE system and initiatives in development such as the anti-hate speech campaign were shared with the group.
- A student shared that we are all part of the University community, and there have been incidents recently that have caused fear and concern, including the kidnapping and Geneseo tragedy. President Seligman conveyed that we were very fortunate to have the quick actions of the Rochester police department and public safety in securing a positive outcome of the kidnapping.
- A student asked how we could improve communication to create a sense of community, and how we might use social media or other platforms to achieve that.
- The themes from other town halls and feedback were shared, including: lack of faculty diversity,

micro-aggressions still occurring with students and staff, the University's relationship with the Rochester community overall.

The session ended with informing the room of the upcoming diversity survey, and reminding attendees that they can provide additional input on note cards or send an email to the Presidential Commission.

## Summary of Analysis on Town Hall Meeting Transcript Analysis

*Nancy Ares, Kim Garrison, Stephon Hammel, and Courtney Hanny: Warner School of Education and Human Development*

The Commission hosted Town Hall meetings at the Eastman School, the Medical School (two were held here), the Warner School of Education and Human Development, the School of Nursing, and the Simon School. Transcripts from all but the Simon School were included in our analysis. The following four questions framed the Town Hall meetings.

1. What is the state of our campus climate for all races today?
2. What programs have strengthened this climate?
3. What elements of campus life are not consistent with the healthiest campus climate?
4. What are ways we can improve?

These four questions frame this executive summary. Analysts identified additional issues or concepts that are important insights gained from the discussions; these are included later in the report.

### What is the state of our campus climate for all races today?

Participants mentioned the benefits of demographic diversity several times. However, the overarching tone was one of frustration at the lack of action, recognition of widespread resistance to having substantive conversations, and awareness of the gravity and depth of the problems. These issues are not new, as they have been raised numerous times over the years. The issues are real and a wide range of people representing a variety of backgrounds and roles at the U of R notice the effects.

### Fear is a theme that was evident across all the town hall meeting transcripts.

- Fear of speaking up is strong, including in raising issues about discrimination, racism, and bias. People spoke of fears of being perceived as trouble makers, as not being professional, and of challenging the dominant but hidden narrative of avoiding these issues.
- Fear on the parts of community members is also evident, as is lack of preparation of students to work and interact with a demographically diverse array of people. The effects are widespread, including patient care, P-20 education, music performance and education, etc.

### Claims of overt racism are numerous.

- Participants noted several times that racism is often based on who people think is "supposed" to be here or who belongs here. There are assumptions that people of color don't belong here.

- The ways people are talked about, particularly African Americans, Latinos, and other minorities, reflect bias and racism. There is also mention that this kind of talk being "a very subtle in kind of a nuanced way" that is "very, very pervasive" and difficult to deal with.
- 'Micro-aggressions' were talked about in terms of how we "wrap our minds around the micro-aggressions that take place here on a moment by moment basis. Any one all by itself doesn't define the climate, but taken in the aggregate, they do define the climate." Also, this quote captures the sentiments well: "Over your lifetime when things happen so frequently you get so used to it. I think we need to stop being comfortable being uncomfortable."
- Reverse racism around Affirmative Action came up in terms of the damage done in conversations and actions that assume people of color got "special treatment." People of color noted wanting to be granted admission and to be evaluated based on their intellectual merits.
- Certain units are charged with engaging in overt discrimination in grading and evaluation of students of color.

### Exclusion

This theme was particularly strong and covered many dimensions of the campus, including curriculum, social and academic spaces, and celebrations.

- A more inclusive curriculum should be pursued vigorously. However, there are limits to integrating diversity and inclusion into curriculum; that alone is not sufficient, given the insidious nature of implicit bias and covert racism.
- Being in a bubble: The campus and places within it are like a bubble. If one does not fit in that social bubble you are excluded. In the initial stages until you find your niche you feel ostracized.
- Many students and faculty feel and/or are excluded. They feel it every day and it is part of the reason why coming to school here on many occasions is very frustrating.
- Interactions across groups are relatively rare, according to participants. These challenges arise from "where we do not also interact with the minority students over there and get a different perspective."
- Celebrations are an example of practices that exclude: "Because if I am a Hindu student I see a Christmas tree. I see the candles for the students who are Jewish. But I don't see anything that I identify with. If I'm a Muslim student I also do not see anything that I identify with."
- The campus on many occasions reflects the weather: "Where students do not feel the warmth. Where we do not feel included. Where, okay, when events and other things are put on it doesn't really seem to be fitting our needs."

### Reticence on the part of faculty and admin to understand the need to address racial diversity

- Faculty mentioned difficulties getting those who are members of faculty and administration to understand why there was a need for addressing racism, bias, and other forms of discrimination: "I do think it is a shame that we had to work so hard to get something that can mean so much to people."
- Not taking responsibility for addressing these issues also was prominent, as "it's not done because



in fact we're looking at multiple other places to do it."

### Who is responsible for change?

- "I'm ready to fight more ... about the greater conversation. This is an isolated town hall meeting with people who volunteered to be here and that's really, really nice, but that means that everyone who leaves here, it's their job, whether they want to or not, to inform everyone else."
- Everyone is responsible. We have safe spaces to talk in and discuss these issues but that is only the beginning. If we don't make it relevant for everyone, then "it's like 'Oh no, these people are just angry' or there are all of these misperceptions that get to be proliferated and we speak about how to improve our campus community but to many people, it just seems like a minority problem and it's not."
- Questions went beyond recruitment: Rather than, "How can we get people here to increase demographic diversity?" we should be asking, "What do we do as a majority white campus to make people feel excluded?" "What is it about us that can be more welcoming and more inclusive?"
- Orientation is for international students to learn about campus, but is there orientation for domestic students to learn about international students? This relates to the calls for PD and compulsory education for all staff, faculty, and students, as the "problems" are not with individuals and individuals who are "Other" but with dominant groups and structures.

### Comments about the pace of change reflect conflicting claims

- On the one hand, people claim that change cannot be quick because of the nature of faculty and administration jobs.
- On the other hand, the day-to-day nature of racism and bias means that changes can be made at a faster pace if we address one-on-one interactions among people.

### What programs have strengthened this climate?

- The experiences of those who have been present at the university for at least a decade show that new initiatives, departments and programs exist now that have drastically changed the culture. Still, there is some tension with expansion of services to meet a growing population, transparency about each initiative, and recognition of the success of all programs.
- Faculty do engage in conversations regarding issues of diversity, faculty, talking about diversity a lot. There are "things we've done over the years that try to patch some issues." However, dialogue is informal, behind closed doors, and decisions are not shared with students.
- Administrators and faculty work to support students of color and combat the structures that exist to deter their success. We recognize existing structures and policies we create that could harm populations of students, but not all the time and only more recently through policies and practices.
- In addition, these resources are not geared toward academic concerns. We talk about the individual's socio-emotional well-being, but not as it relates to policies and structures of the university academically.
- The importance of faculty and staff of color working with students of color was mentioned in every area of the university. Notable programs include the Faculty Development and Diversity office as a



resource to provide support in faculty searches and hiring. Recruiting more faculty of color is powerful: “I’m currently in a class with a professor of color and she’s a woman and it’s important for me to be able to see myself – or people that look like me – in different roles and capacities on campus.”

- Silence around retention: Work to recruit faculty of color is on-going, however a notable absence was talk about retaining faculty of color or how to support the pipeline in terms of mentoring.
- Some remarked on the U of R’s reputation for being diverse that attracted them to come. Still, there was recognition of efforts to diversify, but not a larger effort toward inclusion.
- DLH, ICC, Kearns Center, OMSA and MSAB were mentioned for their support of students of color and for the space they provide for these students to reflect on their experiences and be true to themselves.
- DLH should not be the only oasis and the sanctuary, the only place where students of color feel comfortable on our campus. There will always be a need for Douglass Leadership House; it’s not something we need to reconsider every three years, as long as the state of race in America remains the same.

### What elements of campus life are not consistent with the healthiest campus climate?

The following themes emerged through analysis of all transcripts: (1) Issues regarding exclusion, isolation, and barriers; (2) Confusion over terms or concepts and how they were understood across speakers; (3) Problems around communication, dialogue, or speech; (4) Tensions regarding what was valued (or valued most) in these processes; and (5) Senses of fear, mistrust, or skepticism.

- The theme of **exclusion, isolation, and barriers** can be divided into the subthemes “structural” and “lived experiences”. Structural could pertain to physical spaces and allocations; isolation of the university from the community or city; isolation between power structures; exclusion based on lack of representation in terms of hiring and staffing; and exclusion based on representation within curricula. Lived experiences of exclusion and isolation could be further divided into lack of recognition or validation of identities; implicit biases within practices; and a sense of unwelcomeness.
- The theme of **confusion** relates to what seems to be broader, underlying discrepancies between understandings of some key concepts. Therefore this theme could be subdivided into confusion regarding what diversity means in the contexts of these conversations; confusions over how race, specifically, relates to diversity; and confusions regarding where the onus for initiating change efforts lies.

The theme of **problems of communication, dialogue, and talk** can be subdivided into fear of talking/speaking out; lack of communication between departments and within—between different groups; and the often-identified need to talk, continue the talk, or have more conversations. “we as minorities, we already feel uncomfortable. We’re comfortable uncomfortable” ... “Yours was more about the unwillingness to speak about these issues and mine is going to be the unwillingness to hear about these issues.”

- The theme of **tensions** can be subdivided into the following three identifiable tensions: emotions

and affect vs pragmatics and procedures; talk vs action; and past vs present vs future (i.e., the role of past injustices in current discussions and future plans).

- The theme of **fear, mistrust, and skepticism** could be subdivided into fear of others; fear of speaking out; fear of “getting it wrong” /saying the wrong thing; skepticism regarding the outcomes of the dialogues; and skepticism about speed or pace of change/taking too long-being put off.

## What are ways we can improve?

- **Conversations** need to continue and be part of the culture across all UR constituencies (colleges, faculty, students, etc.).
  - It appears that there is a real concern for the type of conversations. Some participants highlight that when faculty drive these conversations in formal contexts, conversations aren’t authentic and or transformative.
  - There is representation across schools that ask for the voices of those that are marginalized or affected most to drive the conversations (“share the stories”). In listening to these voices, the responses to ‘what we should do next’ should emerge from what they tell the larger university population that they need.
  - Listening is important for understanding, and there seems to be a trend across the town hall discussions that urges all university stakeholders to have to listen. Being comfortable with the conversations that are uncomfortable is highlighted throughout, yet it is also highlighted that those who must listen the most are not always present at the discussions, meetings, colloquia, etc. This then reflects that some individuals, specifically those of privilege that identify that way or as White, said that the “shame” must be taken out of the discussions.
  - When talk about action happens, action needs to follow. There are many references to continuing the dialogue and making sure these discussions happen in small groups, large groups, and across campuses. They should be inclusive of different individuals and not just groups of similar people talking amongst each other. Yet, there is an equal amount of concern that there isn’t going to be action. There seems to be a sense of urgency around action that produces results, yet the action that is suggested is also just more dialogue.
  - Additionally, conversations are shaped by how individuals speak. The language that is used campus-wide needs to be considered (take ‘qualified minority’ off the books). Race is suggested throughout some of the discussions to represent not just color, which is said to be limiting in conceptualizing how people experience race, but also to consider the culture of the individuals. It seems that people are not satisfied with discussions of race alone without discussing the people and the experiences (cultures) behind the race (inside vs. outside; whole person).
  - “Communication is not just about talking to one another about issues, it is communicating events, including each other in different experiences, and providing people the opportunity to engage in different experiences with different people to understand each other better.

Inclusivity is the key element of productive discussions.

- In some cases people asked for more advertising across campuses of what events, committees, and discussions are taking place. Not only developing spaces for conversation but opportunities for individuals who want to engage to be able to gain knowledge of what is taking place.
- **Transformation** based on looking at the institutionalization of race at UR (“We need to ask why racism exists”).
  - Facing race should be ‘compulsory’ and not something that is discussed *at* students by older people, faculty. We should expect it not to be something people learn in traditional character education approaches, but as a true integration of human behavior, kindness, empathy and candor.”
  - The university community/communities need to engage in self-reflection to understand why it is not drawing faculty and students from diverse backgrounds. Asking the Rochester community how UR is perceived by racially diverse individuals and communities is one way that might start the self-reflection. Implicit bias was also discussed across the town halls in various ways.
  - What are the structures in place that breed racism? This goes beyond the people, but to look at how UR does things. This was discussed in recruitment, administrative response to approving activities and responding to students’ requests, pedagogy used in classrooms, curriculum, interaction with the larger Rochester community, etc.
  - What are the consequences of racist and other unacceptable actions? Real consequences of racism for perpetrators are minimal at best.
  - While recognizing the “it’s going to make the majority uncomfortable” and that, “No one wants to do those types of things,” participants claimed that, “I feel like...it’s our job to teach people how to approach different circumstances.” Substantive dialogue that leads to concrete action is required for transformation at the level of the institution, the unit, and the individual.
- **Create an environment of inclusivity through knowledge/experience and dialogue**
  - Move beyond talk to institutionalization and “be okay with saying it and mainstreaming it” (it is racism and sexism)
  - If we’re going to tackle this, you’re absolutely right; it’s by doing this as a system, not putting the pressure or the onus on any one part”), which includes non-instructional units as well. The UR safety department was discussed, and in a way that echoes the same racial tensions that are taking place within the larger US.
- **Share the experience- Becoming one community:**
  - “Communication is not just about talking to one another about issues, it is communicating events, including each other in different experiences and providing people the opportunity to engage in different experiences with different people to understand each other better.”

- Inlusivity: Conversations, research, curricular planning, events, and such need to take place across schools and campuses. There needs to be a better system for sharing information and accessing.
- In addition to being one campus community, the larger Rochester community needs to be included as well.

# Appendix I: Higher Education Research Institute Campus Climate Survey Summary

*August 22, 2016*

Presented by:

Dr. Beth Olivares, Dean for Diversity Initiatives

Dr. Jessica Guzmán-Rea, Director, Paul J. Burgett Intercultural Center

Arts, Sciences and Engineering and the Eastman School of Music participated in the Diverse Learning Environments Survey (DLE) from the Higher Education Research Institute (HERI) in the 2016 spring semester. A total of 2,324 undergraduate and graduate students completed the campus climate survey, for an **overall response rate of 32.54%**.

The purpose of this survey was to capture student perceptions regarding the institutional climate, campus practices as experienced with faculty, staff, and peers, and student learning outcomes. The instrument is based on studies of diverse student bodies and the complexity of issues that range from student mobility to intergroup relations. The survey was designed to include measures that specifically focus on aspects related to the climate for diversity, including experiences with discrimination, cross-racial interactions, validation and sense of belonging.

This summary presents some initial findings of the responses from the undergraduate students from the College. There were 1,712 or 32.8% of undergraduates and 369 or 34% of graduate students who completed the survey from the College. The responses from the other student groups will be analyzed more thoroughly for a full report that will be available in January 2017.

Here are some **demographics** of the undergraduate students in the College who responded to the survey:

- The racial makeup of the respondents mirrors that of the overall undergraduate student population
  - 352 or 17.3% identified as an underrepresented minority (URM) student.
  - 1,674 or 82.7% identified as a Non underrepresented minority student
- The class year breakdown of the students consists of 30.1% freshman, 25.1% sophomores, 23.8% juniors, 20.7% seniors, and 0.1% other.
- In terms of majors, the student respondents identified as the following:
  - 30.0% Engineering
  - 29.3% Natural Science
  - 27.2% Social Science
  - 7.3% Humanities
  - 3.7% Undecided
  - 2.6% Other
- When asked about political views, 59% of respondents identified themselves as liberal or far left;

16% identified as moderate or middle of the road; and 4% identified as conservative or far right.

- There were a total of 81.1% of students who identified as US Citizens, 15.2% as Non US Citizens, and 3.8% as Permanent Residents.
- Since entering this college, 43% URM students vs. 24% Non URM students have occasionally or frequently contributed money to help support their family.

Some interesting results that have emerged from an analysis of the undergraduate students in the College pertaining to issues of **race and discrimination**:

- Overall, 80% URM students vs. 72% Non URM students believe that they have had meaningful and honest discussions about race/ethnic relations outside of the classroom setting with students from a racial/ethnic group other than their own.
- When compared to their peers, 58% URM students vs. 35% Non URM students have seldom, sometimes, often, and very often felt insulted or threatened because of their race/ethnicity from a racial/ethnic group other than their own.
- While attending the College, 69% URM students and 67% Non URM students have witnessed discrimination.
- When asked how often they have reported an incident of discrimination to a campus authority, 13% URM students and 10% Non URM students indicated that they have made these reports.
- An overwhelming total of 74% of undergraduate students (75% URM students and 74% Non URM) stated that they have heard insensitive or disparaging racial remarks from students.
- Twenty percent of URM students and 40% Non URM students indicated that they have heard insensitive or disparaging racial remarks from faculty.
- Sixteen percent of URM students and 22% Non URM students indicated that they have heard insensitive or disparaging racial remarks from staff.
- Students were asked if they personally experienced bias/harassment/discrimination due to various identity markers. The following statistics are when the students indicated “Yes” in their response:
  - Ability/disability status: 5.93% URM students and 4.22% Non URM students
  - Age: 9.49% URM students and 8.02% Non URM students
  - Citizenship status: 8.30% URM students and 5.65% Non URM students
  - Gender: 19.76% URM students and 22.80% Non URM students
  - Political beliefs: 11.86% URM students and 14.21% Non URM students
  - Race/ethnicity: 40.48% URM students and 15.63% Non URM students
  - Religions/spiritual beliefs: 9.88% URM students and 10.20% Non URM students
  - Sexual orientation: 6.72% URM students and 7.58% Non URM students
  - Socioeconomic status: 21.74% URM students and 12.24% Non URM students
- When asked if they had a lot of pride in their racial/ethnic group and its accomplishments, 81%

URM students and 56% Non URM students agreed and strongly agreed.

- Seventy percent URM students and 45% Non URM students agreed and strongly agreed that they felt a strong attachment toward their own racial/ethnic group.
- There were some interesting results from the questions pertaining to **issues of conflict**:
  - There were 36% URM students and 38% Non URM students who agreed that they clam up (freeze) when conflict involves strong emotions.
  - When asked if they could help people from different groups to use conflict constructively, 83% URM students and 74% Non URM students agreed and strongly agreed.

Below are some results pertaining to **use of resources** on campus:

- Since entering this college, 29% of US Citizen & Permanent Resident URM students and 19% of Non US Citizen URM students have utilized student psychological services on an occasional or frequent basis. Whereas, 27% on US Citizen & Permanent Resident Non URM students and 23% Non US Citizen Non URM students have utilized these same resources.

# Appendix J: Diversity Engagement Survey Executive Summary

*Vivian Lewis, Tony Kinslow, and Linda Chaudron*

## Introduction

Since 2009, it has become clear that to achieve greater diversity, the University of Rochester needed to expand its focus beyond demographics. “We have increasingly appreciated that diversity is not only about numbers, but about culture (Seligman, 2009).” Several initiatives have begun since then to promote a more inclusive climate – including professional development resources for faculty, leadership programs, policies to support gender equity and programs to facilitate a more inclusive organizational culture. The collective impact of these efforts has not been measured. Our primary goals in conducting this survey were:

1. To understand how our faculty, staff and students perceive the state of diversity and inclusion,
2. To compare the perceptions of specific demographic groups within the university,
3. To have baseline data from which we will be able to measure changes in the climate and culture in the future in response to changes and interventions.

## The Survey Tool

The Diversity Engagement Survey measures and describes the inclusiveness of an academic environment, defines the institutional areas of strengths and areas for improvement, and can help inform a strategic direction for organizational change. This tool draws upon workforce engagement theory and theoretical components of organizational inclusion. The 22 standard survey questions are mapped to eight “inclusion” factors (trust, appreciation of individual attributes, sense of belonging, access to opportunity, equitable reward and recognition, cultural competence, respect, and common purpose). These eight areas are further grouped into three workforce engagement clusters—vision/purpose, camaraderie, and appreciation. These aspects of organizational culture and diversity have been identified and confirmed as the key components of workforce inclusion and diversity identity based on research at over 33 institutions (Person 2015).

Workplace engagement theory posits that engagement results from “cultural conditions that foster a shared sense of vision and purpose of the organization, camaraderie and appreciation of employees’ contributions to the institution (Person 2015).” A shared sense of vision and purpose helps provide motivation to put forth one’s best efforts. Camaraderie is important for teamwork and sense of belonging. Appreciation helps individuals to experience a sense of meaning at work. These conditions facilitate an inclusive and diverse workforce in industry and academia (Colan, 2008, Cox, 2001, Davidson, 2001). A more complete description of the conceptual framework and definitions for the clusters and inclusion factors can be found in Appendix A. Our survey also included 4-8 customized questions.



Responses to all questions were captured using a 5-point Likert scale which ranged from “strongly disagree” to “strongly agree.” The survey also allowed respondents to write in comments in response to the prompt: “If you wish, please provide additional comments on the University of Rochester’s diversity and inclusion efforts.” This yielded 1,882 comments.

## Survey Administration and Population

The survey was administered through DataStar, and offered to all faculty and staff of the University of Rochester and students in our School of Medicine and Dentistry, School of Nursing, Simon School of Business, and Warner School of Education in February 2016. The confidential survey was completed online after e-mail invitations were extended. Only aggregate data are only reported to ensure anonymity.

## Analysis

To describe perceptions about diversity at UR, we focused on the percentage of positive responses (e.g. strongly agree or agree). We created mean summary scores for the eight inclusion factors (e.g. groups of questions that relate to an inclusion theme) using the mean scores for the questions that relate to each inclusion theme. To compare the perceptions of specific demographic groups within the university, we compared mean summary scores using analysis of variance (ANOVA). In this summary, we identify the strengths and areas of challenge university-wide that are especially salient and associations between demographic characteristics or positions. Future reports will focus on specific units or groups not mentioned here (e.g. trainees) as well as the qualitative data and custom questions.

## Results

### Survey Participants

Twelve thousand and eighty (12,080) University of Rochester faculty, staff, trainees and students (see population, excludes ASE, ESM) completed the survey, representing an overall response rate of 48%. There were 11,489 respondents from individualized E-mail links and 591 respondents (those without e-mail addresses) who accessed the survey through a netID portal. The gender and racial breakdown of the respondents is similar to our full population (table 1).

### Areas of Strength

- **Common Purpose** – Individual contribution to institutional mission and connection to vision, purpose, mission. Eighty-three percent agree overall (figure1), including 90% agreement on the question of feeling that one’s work/studies contribute to institutional mission (table 2).
- **Respect** – Individuals experience “a culture of civility and positive regard for diverse perspectives and ways of knowing.” An average of 83% agreed with the three components of this domain (figure1).
- **Appreciation of Individual Attributes** – Individuals perceive that they are valued and can “successfully navigate the organizational structure in their expressed group identity.” Seventy-seven percent (77%) of participants agreed with these three questions (figure 1).

- **Access to Opportunity** – Seventy-seven percent, overall (including 90% of students- see population) agreed with the questions describing the ability “to find and utilize support for their professional development and advancement (figure 1).

### Areas of Challenge

- **Cultural Competence** – “Individuals believe that the institution has the capacity to make creative use of its diverse workforce in a way that meets goals and enhances performance” These 4 questions had the second lowest mean score overall (figure 1) and this was an area of significant variance based on race (figure 2). The following 2 questions deserve comment.
  - Effective management of diversity was the question with the largest area of variance between Blacks and Whites (71% of Whites and 53% of Blacks agree;  $P < 0.01$ ; table 3). Notably only 37% of Black faculty and Black students (see population) believe the institution manages diversity effectively. For both students (see population- excludes ASE, ESM) and faculty overall, the question of effective management of diversity was among lowest scoring items (61% students agree and 58% of faculty)
  - Among staff, 68% of all agreed that they received support for working with diverse groups and in cross-cultural situations (table 2), however the difference between Black and White staff was 19% ( $P < .001$ ) though a majority (55%) of Black staff agreed that diversity is managed effectively.
- **Respect** – Although this was overall a strong area university-wide, some demographic groups were significantly less likely to agree that “individuals experience a culture of civility and positive regard for diverse perspectives and ways of knowing” (figure 2). The mean difference in agreement was 14% lower for Blacks compared to Whites (85% mean agreement for Whites and 71% for Blacks) LGBT individuals were also less likely to agree than heterosexual or cisgender individuals (84% agreement for heterosexual/cisgender and 75% for LGBT individuals) See figure 3.
- **Trust** – “Individuals have confidence that the policies, practices, and procedures of the organization will allow them to bring their best and full self to work.” Overall, mean level agreement with the 3 questions in this factor was at 77% however based on position (e.g. faculty, staff, student) and demographics, the following differences for specific questions should be noted.
  - Among faculty and students- women were significantly less likely than men to believe that: harassment is not tolerated (76% of female faculty compared to 83% of male faculty and 78% of female students compared to 85% of male students), that “the institution would do what is right” with respect to concerns raised about discrimination and that the institution is fair to all students and employees ( $P < .001$ - all 3 comparisons). See figure 4 for gender differences by theme.
  - Fewer than half of Black students and faculty agreed that the institution would do what is right about discrimination concerns (48% Black faculty and 42% Black students compared to 73% White faculty and 69% of White students).
- **Equitable Reward and Recognition** – “Individuals perceive the organization as having equitable

compensation practices and non-financial incentives.” Our university wide agreement with these two questions averaged 64%, our lowest scoring factor (figure 1). Survey results at other institutions have found a similar pattern (Plummer 2012, Person 2016). In a report of over 13,000 respondents at 14 academic medical centers surveyed in 2012, Person et al found a mean score of 7.04 for the sum of these two questions compared to University of Rochester mean score of 7.22. The only other university-wide data available on this survey come from Washington University-St Louis in 2015 where this was the domain (for both Medical Center and Danforth campus), showed an average of 47% agreement (Wrighton 2015)). The differences we found based on demographics (figure 2-4) and position (e.g. faculty, staff, student) in perceptions about the climate, were also consistent with other published reports about climate and demographics (Orom 2013, Person et al 2016; UM ADVANCE 2013).

### Other Areas of Challenge

- **Race and LGBT status** – Similar to the published report of other institutions (Person et al 2016) who have taken this survey, there was statistically significant lower agreement for Blacks compared to Whites on all questions as well as those individuals who identified their race as “Other” compared to Whites (table 3). We found very similar patterns comparing LGBT individuals to the heterosexual and cisgender population. The themes of cultural competence, trust, respect and equitable reward and recognition were the most salient.

### Conclusion

Overall, the University of Rochester’s faculty, staff, trainees and students perceive a high level of common purpose and there is a widespread belief that our university culture reflects an appreciation for individual attributes and respect. Nonetheless, there are also important areas that need improvement. Notably, cultural competence, trust and respect reflect areas with large disparities in perceptions based on position, gender, LGBT status or race. Confidence that institutional policies, practices, and procedures will allow everyone to bring their best and full selves to work can impact individual engagement, motivation and productivity (Colan, 2008, Cox, 2001, Davidson, 2001). These are potential opportunities for enhancing all university initiatives by engaging and including our entire university community.

In the coming months, we will continue to analyze the survey data based on school, unit and other attributes and provide qualitative analysis of over 1800 written comments. Greater and more purpose-driven communication can help us use our institutional strengths to move the institutional culture forward.

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### List of Tables

Table J1: University of Rochester Respondent Characteristics

Table J2: University of Rochester Internal Comparisons by Position

Table J3: Differences among demographic groups, ANOVA results

### List of Figures

Figure J1: Average Percent Agree by Inclusion Factor and Position

Figure J2: Average Percent Agree by Inclusion Factor and Gender

Figure J3: Average Percent Agree by Inclusion Factor and Race Ethnicity

Figure J4: Average Percent Agree by Inclusion Factor and LGBT Status

Table J1: Respondent Characteristics

Participation by Division and Position	Faculty	Staff	Students	Residents	Post-docs / Fellows	Grand Total
Central Administration & Memorial Art Gallery	11	1,062			1	1,074
Arts & Sciences	252	545			22	819
Hajim School of Engineering	127	184			10	321
Eastman School	88	81				169
Simon School	52	70	180			302
Warner School	50	33	136			219
School of Medicine and Dentistry	957	909	369	81	57	2,373
School of Nursing	57	75	77		3	212
Eastman Institute of Oral Health		126	14			140
Strong Memorial Hospital		4,896		273		5,169
Health Sciences	4	470				474
Medical Faculty Practice Group	1	806		1		808
<b>Grand Total</b>	<b>1,599</b>	<b>9,257</b>	<b>776</b>	<b>355</b>	<b>93</b>	<b>12,080</b>

Gender	Men	Women	Transgender and Gender Non- Conforming	Skipped Question	Total
<b>University- wide</b>	3,635	8,075	123	247	12,080
	30.1%	66.8%	1.0%	2.0%	

Race/ Ethnicity	White	Asian	Black or African American	Hispanic/ Latino(a)	Other and 2+ Race/ Ethnicities	Skipped Question	Total
<b>University- wide</b>	8,912	705	1,064	370	642	387	12,080
	73.8%	5.8%	8.8%	3.1%	5.3%	3.2%	

LGBT Status	Hetero/cis <sup>1</sup>	LGBT <sup>2</sup>	Skipped on or Both Questions	Total
<b>University-wide</b>	10,175	762	1,143	12,080
	84.2%	6.3%	9.4%	

1 Hetero/cis= heterosexual and cisgender (a person who is heterosexual and whose gender identity matches their sex assigned at birth)

2 LGBT includes respondents who self-selected Lesbian, Gay, Bisexual, Transgender, Gender-Non-conforming or Other LGBT status.

Table J2: Percent Agree/Strongly Agree by University Position

Factors	Item no.	Item	University-wide <sup>1</sup> (n=12,080)	Faculty (n =1,599 )	Staff (n =9,257 )	Students (n =776 )
Common Purpose	4	I feel that my work or studies contribute to the mission of the institution.	90%	95%	90%	85%
	17	I feel connected to the vision, mission and values of this institution.	75%	71%	76%	73%
Access to Opportunity	5	This last year, I have had opportunities at work/school to develop professionally.	76%	83%	73%	92%
	9	There is someone at work/school who encourages my development.	75%	72%	74%	87%
Cultural Competence	7	In this institution, I have opportunities to work successfully in settings with diverse colleagues.	82%	75%	83%	78%
	11	I believe my institution manages diversity effectively.	68%	56%	71%	60%
	15	In my institution, I receive support for working with diverse groups and working in cross-cultural situations.	68%	63%	68%	72%
	20	In this institution, there are opportunities for me to engage in service and community outreach.	78%	82%	76%	85%
Equitable Reward and Recognition	10	I receive recognition and praise for my good work similar to others who do good work at this institution.	69%	66%	68%	74%
	16	In my institution, I am confident that my accomplishments are compensated similar to others who have achieved their goals.	58%	52%	58%	72%
Trust	1	I trust my institution to be fair to all employees and students.	78%	74%	79%	74%
	13	If I raised a concern about discrimination, I am confident my institution would do what is right.	73%	70%	74%	67%
	19	I believe that in my institution harassment is not tolerated.	80%	79%	80%	80%
Sense of Belonging	6	At work/school, my opinions matter.	70%	71%	69%	74%
	14	I consider at least one of my coworkers or fellow students to be a trusted friend.	84%	88%	83%	90%
	21	I feel that I am an integral part of my department or school.	76%	76%	77%	63%
Respect	2	The leadership of my institution is committed to treating people respectfully.	82%	81%	82%	83%
	12	In my institution, I experience respect among individuals and groups with various cultural differences.	84%	84%	84%	81%
	18	I believe that my institution reflects a culture of civility.	82%	80%	82%	84%
Appreciation of Individual Attributes	3	I am valued as an individual by my institution.	72%	70%	72%	75%
	8	Someone at work/school seems to care about me as an individual.	83%	82%	83%	88%
	22	The culture of my institution is accepting of people with different ideas.	75%	71%	76%	76%

Note: Respondents who chose 'Not able to evaluate' were recoded as nonresponse.

1 Trainees (including post-docs, residents, and fellows) are included in this University-wide response.

Table J3: Comparison of Inclusion Factor mean scores by demographic groups and position

Characteristic	Common Purpose		Access to opportunity	
	Mean (SD) <sup>a</sup>	Significant Group Differences <sup>b</sup>	Mean (SD) <sup>a</sup>	Significant Group Differences <sup>b</sup>
Gender				
A. Female	4.07 (0.66)	A vs B	3.93 (0.85)	A vs B
B. Male	4.12 (0.72)		3.98 (0.86)	
Race/Ethnicity				
A. Asian	4.16 (0.68)	A vs B, D	4.12 (0.77)	A vs B, D, E
B. Black	3.92 (0.77)	B vs A, C, E	3.75 (0.92)	B vs A, C, E
C. Hispanic/Latino	4.11 (0.73)	C vs B, D	4.00 (0.80)	C vs B
D. Other / 2+ Races or Ethnicities	3.94 (0.80)	D vs A, C, E	3.83 (0.95)	D vs A, E
E. White	4.11 (0.66)	E vs B, D	3.95 (0.85)	E vs A, B, D
LGBT Status				
A. LGBT	3.99 (0.80)	A vs. B	3.89 (0.92)	A vs B
B. Heterosexual/Cisgender	4.10 (0.68)		3.96 (0.85)	
Position				
A. Staff	4.07 (0.68)	A vs D	3.87 (0.87)	A vs (all)
B. Student	4.06 (0.82)	B vs D	4.30 (0.70)	B vs A, D
C. Trainee	4.12 (0.75)	(none)	4.35 (0.65)	C vs A, D
D. Faculty	4.18 (0.68)	D vs A, B	4.03 (0.86)	D vs (all)

Characteristic	Equitable reward & recognition		Cultural competence	
	Mean (SD) <sup>a</sup>	Significant Group Differences <sup>b</sup>	Mean (SD) <sup>a</sup>	Significant Group Differences <sup>b</sup>
Gender				
A. Female	3.60 (0.97)	A vs B	3.91 (0.71)	(none)
B. Male	3.72 (0.98)		3.94 (0.75)	
Race/Ethnicity				
A. Asian	3.91 (0.89)	A vs B, D, E	4.03 (0.75)	A vs B, D, E
B. Black	3.49 (1.02)	B vs A, C, E	3.64 (0.86)	B vs A, C, E
C. Hispanic/Latino	3.80 (1.00)	C vs B, D, E	3.97 (0.79)	C vs B, E
D. Other / 2+ Races or Ethnicities	3.46 (1.07)	D vs A, C, E	3.73 (0.86)	D vs A, C
E. White	3.63 (0.96)	E vs (all)	3.95 (0.68)	E vs A, B, D
LGBT Status				
A. LGBT	3.52 (1.04)	A vs. B	3.73 (0.84)	A vs B
B. Heterosexual/Cisgender	3.65 (0.97)		3.93 (0.72)	
Position				
A. Staff	3.59 (0.97)	A vs B, C	3.91 (0.71)	A vs C
B. Student	3.90 (0.95)	B vs A, D	3.95 (0.83)	B vs D
C. Trainee	4.02 (0.88)	C vs A, D	4.06 (0.76)	C vs D
D. Faculty	3.56 (1.04)	D vs B, C	3.91 (0.71)	D vs B, C

Table J3: *Continued*

Characteristic	Trust		Sense of Belonging	
	Mean (SD) <sup>a</sup>	Significant Group Differences <sup>b</sup>	Mean (SD) <sup>a</sup>	Significant Group Differences <sup>b</sup>
<b>Gender</b>				
A. Female	3.91 (0.81)	A vs B	3.94 (0.71)	A vs B
B. Male	4.01 (0.84)		3.98 (0.76)	
<b>Race/Ethnicity</b>				
A. Asian	4.03 (0.78)	A vs B, D	4.06 (0.71)	A vs B, D, E
B. Black	3.62 (1.00)	B vs A, C, E	3.77 (0.78)	B vs A, C, E
C. Hispanic/Latino	4.02 (0.84)	C vs B, D	3.98 (0.73)	C vs B, D
D. Other / 2+ Races or Ethnicities	3.73 (0.96)	D vs A, C, E	3.78 (0.82)	D vs A, C, E
E. White	3.98 (0.78)	E vs B, D	3.97 (0.71)	E vs B, D
<b>LGBT Status</b>				
A. LGBT	3.71 (0.95)	A vs. B	3.83 (0.82)	A vs B
B. Heterosexual/Cisgender	3.96 (0.81)		3.97 (0.72)	
<b>Position</b>				
A. Staff	3.93 (0.82)	A vs C	3.92 (0.72)	A vs (all)
B. Student	3.89 (0.93)	B vs C	4.01 (0.77)	B vs A
C. Trainee	4.07 (0.76)	C vs (all)	4.09 (0.72)	C vs A
D. Faculty	3.91 (0.87)	D vs C	4.01 (0.77)	D vs A

Characteristic	Respect		Appreciation of ind. attributes	
	Mean (SD) <sup>a</sup>	Significant Group Differences <sup>b</sup>	Mean (SD) <sup>a</sup>	Significant Group Differences <sup>b</sup>
<b>Gender</b>				
A. Female	4.03 (0.68)	A vs B	3.93 (0.75)	A vs B
B. Male	4.08 (0.74)		3.98 (0.79)	
<b>Race/Ethnicity</b>				
A. Asian	4.13 (0.70)	A vs B, D	4.08 (0.74)	A vs B, D, E
B. Black	3.75 (0.86)	B vs A, C, E	3.77 (0.84)	B vs A, C, E
C. Hispanic/Latino	4.06 (0.75)	C vs B, D	4.03 (0.76)	C vs B, D
D. Other / 2+ Races or Ethnicities	3.84 (0.86)	D vs A, C, E	3.80 (0.89)	D vs A, C, E
E. White	4.08 (0.66)	E vs B, D	3.96 (0.75)	E vs A, B, D
<b>LGBT Status</b>				
A. LGBT	3.85 (0.83)	A vs. B	3.80 (0.88)	A vs B
B. Heterosexual/Cisgender	4.06 (0.69)		3.96 (0.75)	
<b>Position</b>				
A. Staff	4.02 (0.70)	A vs B, C	3.92 (0.76)	A vs B, C
B. Student	4.09 (0.72)	B vs A	4.04 (0.80)	B vs A, D
C. Trainee	4.14 (0.73)	C vs A	4.07 (0.77)	C vs A, D
D. Faculty	4.05 (0.72)	(none)	3.93 (0.80)	D vs B, C

<sup>a</sup> Mean scores could range from 1 to 5, with higher scores indicating greater perceived engagement and inclusion by respondents.

<sup>b</sup> For each factor, the P value from ANOVA is statistically significant at the  $P < .001$  level, indicating that there is at least one difference between groups. Group difference significance was estimated using least squares means and adjusted for multiple testing. All listed differences are significant at least at the  $P < .05$  level. As an example of interpretation: For race/ethnicity, A vs (B, C, D, E) indicates that respondents who self-identified as Asian have a significantly different mean factor score than those of respondents who self-identified as black/African American, Hispanic/Latino, other, or white.



Figure J1: Inclusion Factors- **Agreement by Position at the University:**  
Average Percent 'Agree' or 'Strongly Agree' by Theme

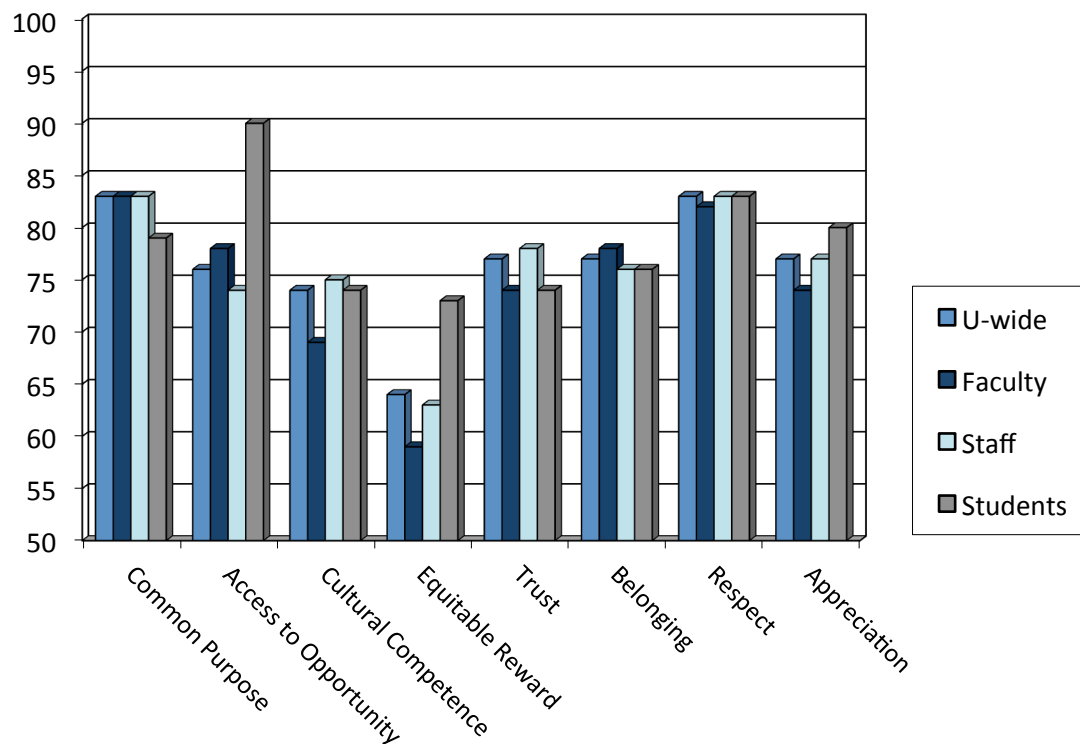


Figure J2: Inclusion Factors- **Agreement by Gender**  
Average Percent 'Agree' or 'Strongly Agree' by Theme

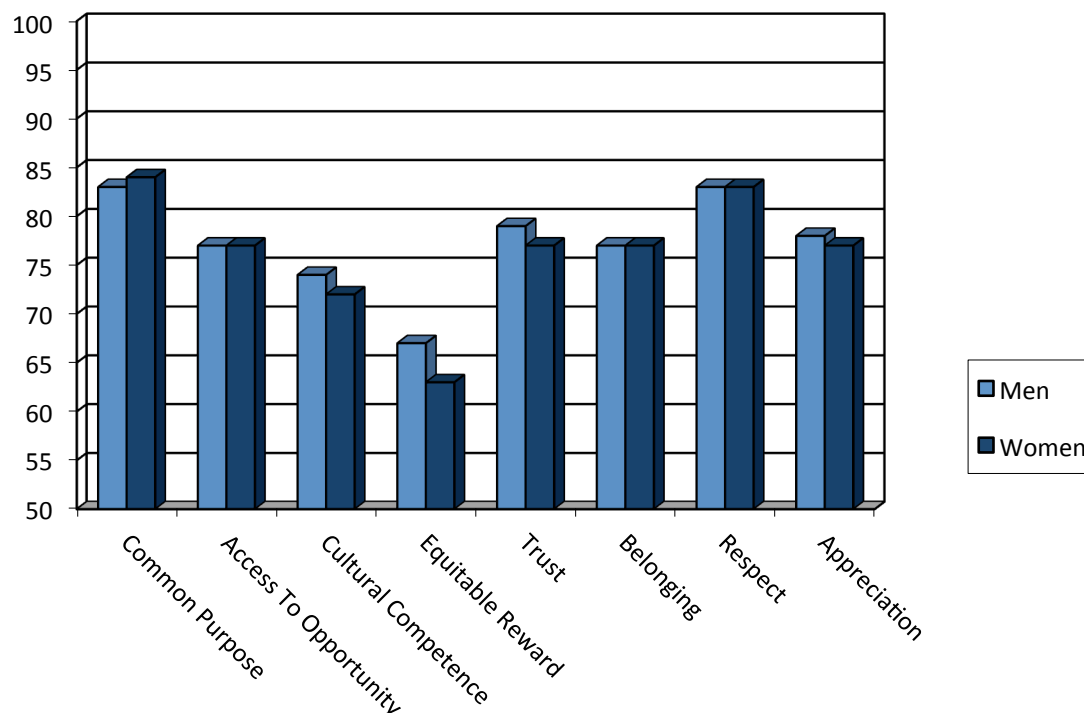


Figure J3: Inclusion Factors- **Agreement by Race/Ethnicity**  
Average Percent 'Agree' or 'Strongly Agree' by Theme

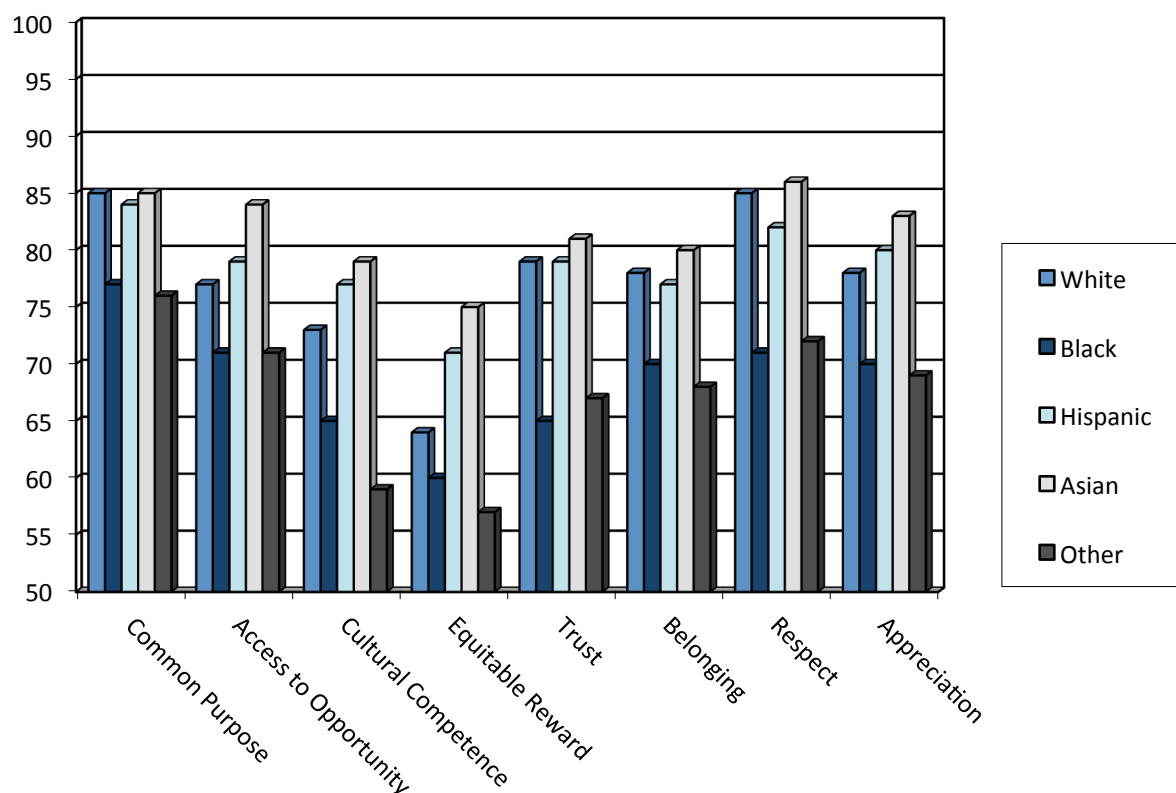
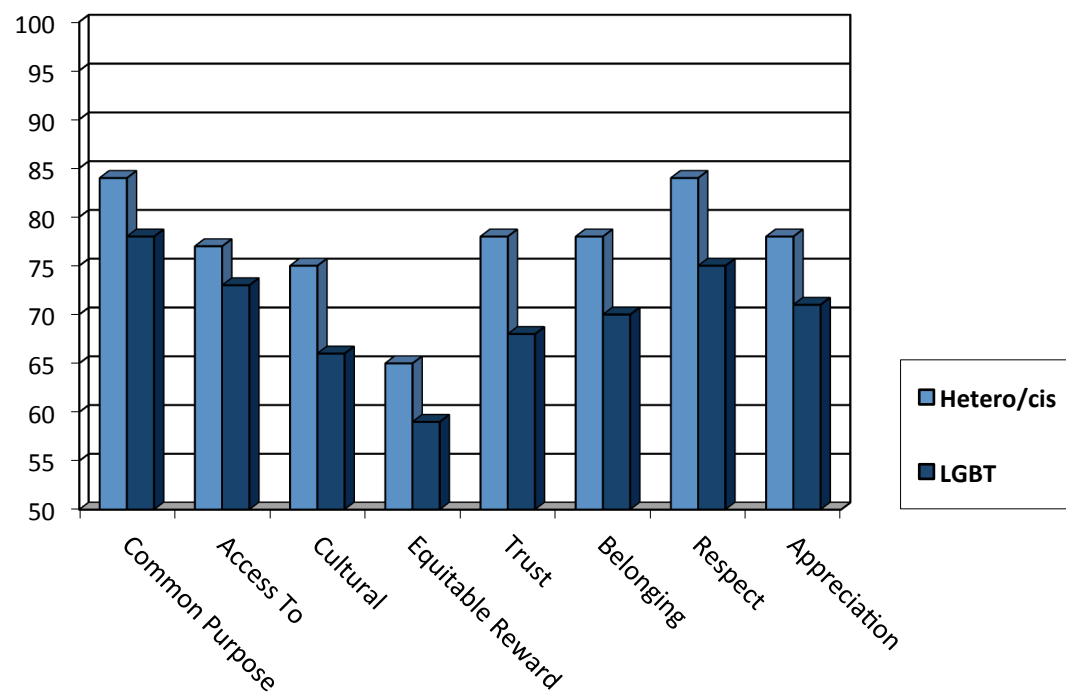


Figure J4: Inclusion Factors- **Agreement by LGBT Status**  
Average Percent 'Agree' or 'Strongly Agree' by Theme



## Appendix J.A: DES Conceptual Framework

This appendix is excerpted from the DES User Guide, pp. 12-15.

### DES Conceptual Framework

Research literature suggests that diversity in organizations has an advantage if the conditions are right – when the value proposition for diversity is endorsed and a strong business rationale has been defined, and when it has been implemented comprehensively. Research findings also indicate that when there is a high pro-diversity climate and alignment between employees and managers’ perceptions of the climate, the workplace environment is more conducive for improved individual and overall organizational performance. Moreover, teams that consist of diverse perspectives, ideas, interpretations, experiences, and backgrounds contribute to better problem solving and organizational productivity than homogenous ones. In order to achieve these benefits, it is necessary to examine the conditions supporting diversity and inclusion as institutions strive to meet their goals and pursue excellence and innovation.

One such condition is the practice of employee engagement. Engaged employees who demonstrate a strong connection to the mission of the institution and who are committed to working towards the institution’s success are the foundation for an inclusive work environment. Thus, DES, as an institutional diversity measurement tool, is grounded in workforce engagement theory.

Workforce engagement theory is a business and management philosophy which proposes that employees who are more connected to work are more productive and are more likely to contribute to achieving institutional goals. Note that workforce engagement is distinctly different from employee satisfaction and motivation which are related to such factors as their relationship with their manager or co-workers, fairness of pay, work environment and benefits.

Employee engagement theories are derived from 1920 studies of morale or a group’s willingness to accomplish organizational objectives. These studies were further incorporated into academic research as distinct from employee satisfaction in the early 1900’s. Engagement theory forms the basis of the eight defined inclusion factors that describe the full acceptance of individuals and groups in an organization.

The DES is designed to identify the workplace conditions that support inclusion of all of its employees. The twenty-two items of the DES assess levels of employee engagement as a means to develop a meaningful inclusion scorecard that characterizes the institution’s progress toward creating an inclusive work environment.

Each of the 22 items in the survey is mapped to one of eight inclusion factor, and each of the eight inclusion factor is mapped to one of three engagement clusters as illustrated in Table 1.

Table J.A1. Relationship of Engagement Cluster Categories to Inclusion Factors

Engagement Cluster	Inclusion Factors
<b>Vision/Purpose</b>	common purpose, access to opportunity, equitable reward and recognition, cultural competence
<b>Camaraderie</b>	trust, sense of belonging
<b>Appreciation</b>	Appreciation of individual attributes, respect

## What is Engagement?

Definitions of engagement describe a connection between the employee and the goals of the Institution:

- Employees’ willingness and ability to contribute to company’s success.
- Staff commitment and sense of belonging to the organization.
- Employees’ commitment to the organization and motivation to contribute to the organization’s success.
- Employee’s exertion of “discretionary effort” ...going beyond meeting the minimum standards for the job.
- Creating the sense that individuals are a part of a greater entity.

Research suggests that the majority of American workers are not engaged in their jobs with a reported high of 70% as disengaged and only 30% as actively engaged. This is an alarming concept since academic literature points to a strong connection between human achievement and the intellectual and emotional levels of engagement of individuals. People bring their full selves to work. Thus, to maximize performance individuals must be engaged intellectually and emotionally.

## Engagement leads to:

- **Loyalty:** Employees experience an emotional attachment to the institution and want to remain an employee.
- **Confidence:** Employees perceive that resources are available to help them succeed.
- **Integrity:** Employees are consistently treated fairly and respectfully.
- **Pride:** Employees experience as sense of belonging and act as good ambassadors for the institution.
- **Passion:** Employees believe that the institution is the best place to use their energy and to grow professionally and personally.

Engaged employees are loyal and psychologically committed to the organization and its goals.

Employees who are not fully engaged may be productive but are not psychologically connected to the organization’s goals and mission. Actively disengaged employees are not only psychologically absent but risk sabotaging the mission and business goals of the institution.

Given the benefits of having an engaged employee base, it is imperative to measure the degree of engagement in the organization and to work toward responding not only to the intellectual needs of employees but to address those emotional needs that connect employees to the organization’s vision and purpose; other members of the institution as comrades; and their need to be appreciated as individual contributors to the organization’s overall mission.

In sum, *Vision/Purpose, Camaraderie and Appreciation* are three engagement domains related to the eight defined inclusion factors. An engaged workforce is the foundation upon which an inclusive work environment can be built. Diverse groups of engaged employees are a powerful force. They generate more ideas, make more positive changes and help advance great institutions. To achieve these kinds of remarkable results an inclusive organization must be created.

### What is Inclusion?

Inclusion is a set of social processes, which influence an individual's access to information and social support, acquisition of or influence in shaping accepted norms and behavior, security within an identity group or in a position within the organization, access to and ability to exercise formal and informal power.

Full acceptance of membership in an organization depends on an individual's ability to be seen as the prototype of that organization. The prototypical member will personify the norms, behaviors, values and even appearance seen as important to maintaining the culture of the organization and power relations within it. As a result, diversity or divergence from the prototype introduces tensions around who belongs in the organization. When understood and managed effectively this tension can be described as good or creative tension that produces new ideas, new products and new processes. Creative tensions appear and are negotiated through social dynamics that influence inclusion as it is experienced by individuals. These dynamics are the result of three factors experienced or perceived by individuals:

- **Inclusion-Exclusion**— the quality, frequency, and tone of day-to-day social interactions and interpersonal experiences that move individuals toward or away from a sense of full membership.
- **Identity Integration**— the extent to which individuals are able to bring their social group identities (e.g. gender, race, national culture, sexual orientation) into the organization and still realize full membership.
- **Social Power**— the authority or legitimacy individuals have in exercising power within the organization or the degree to which they experience differences in how power is exercised over them compared to those who enjoy full membership.

At the organizational level, inclusion dynamics are reinforced and embedded in an organization's culture through its:

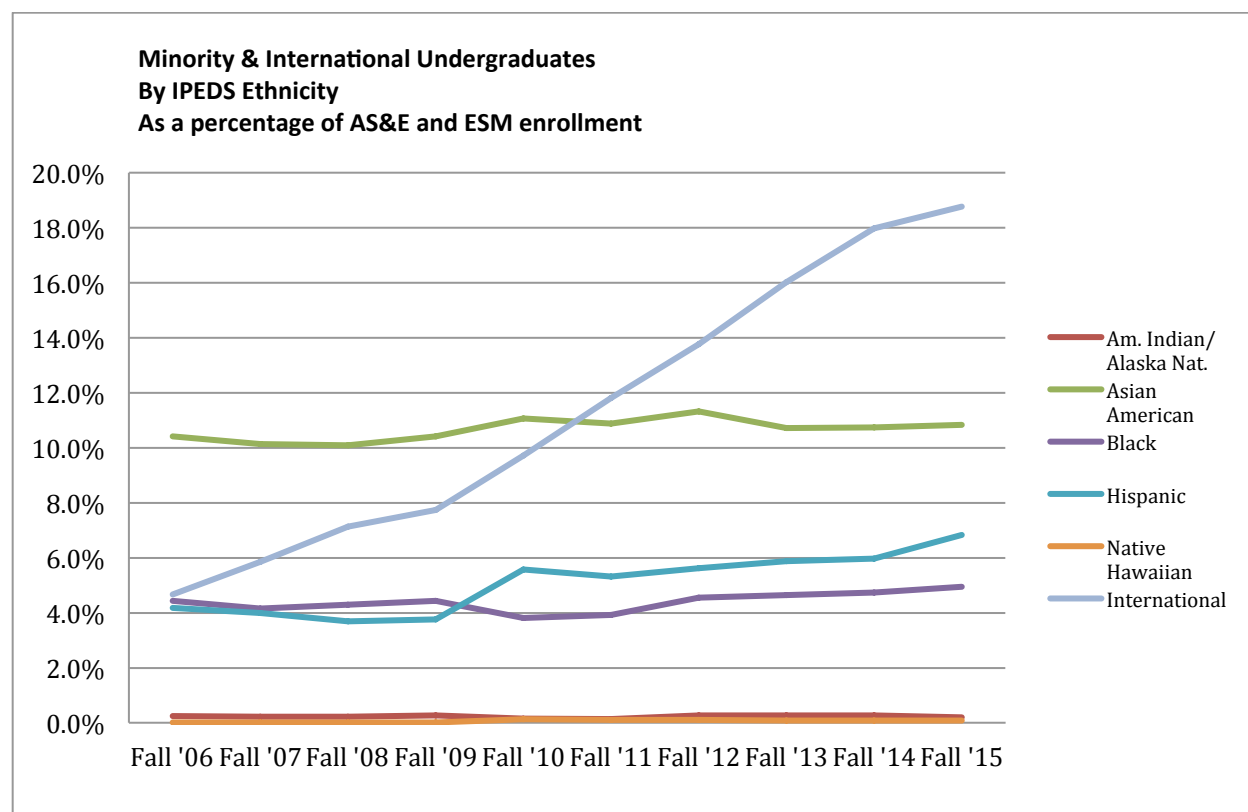
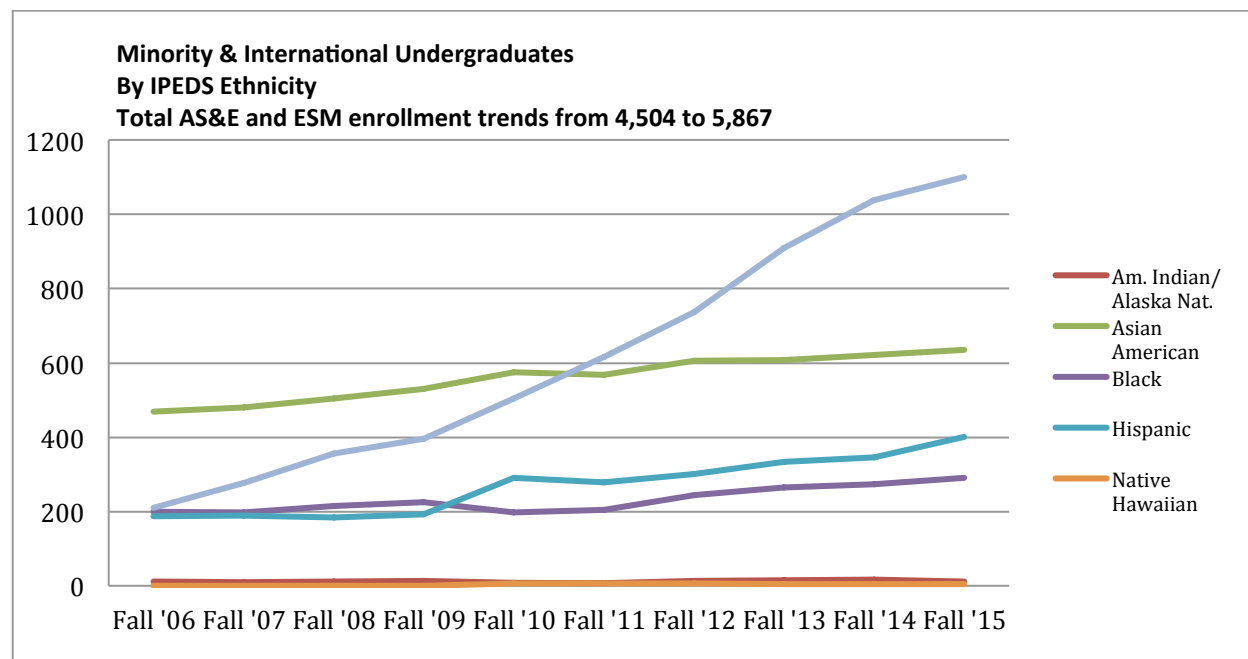
- **Mission, Vision, Values**— uses inclusive language and specifically references diversity
- **Strategy, Structure, Systems**— organization is structured to allow for diverse ways of knowing, limits bureaucracy and information and resources are accessible
- **Policies, Practices, Procedures**— open, transparent and consistently applied

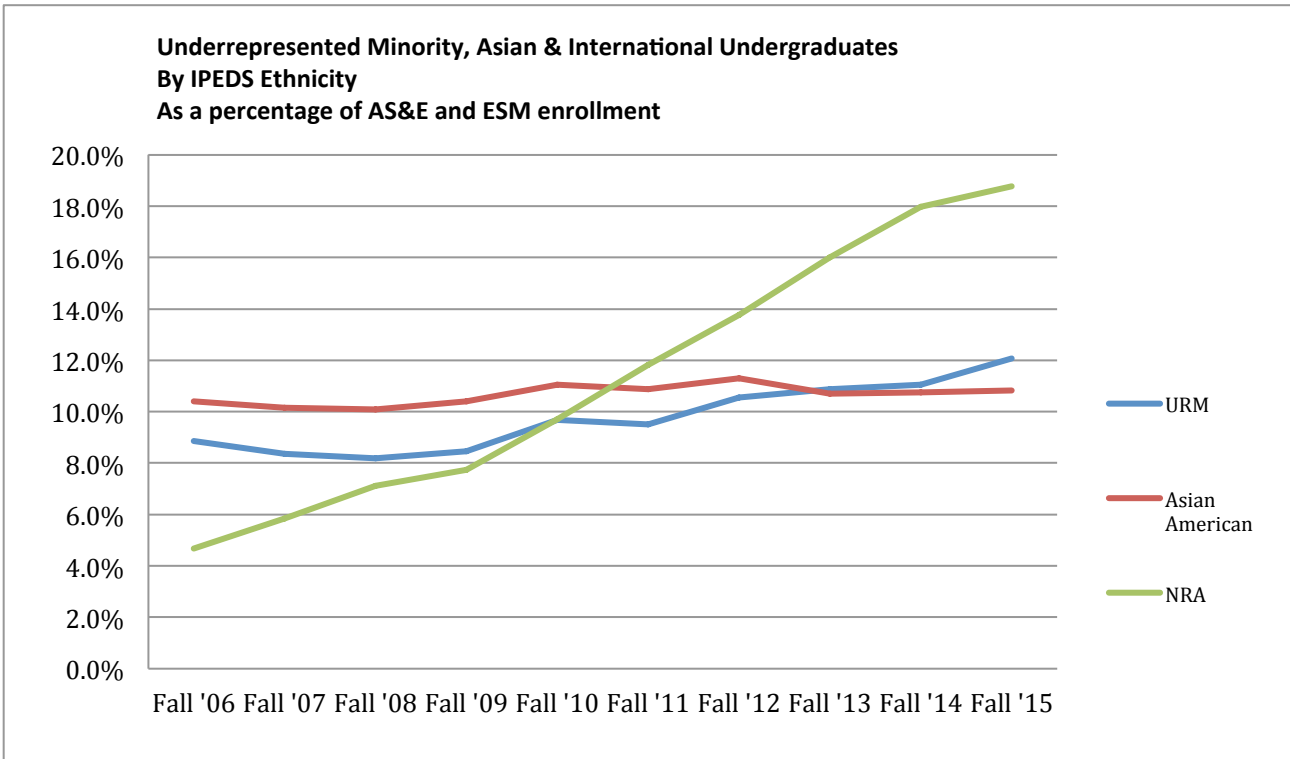
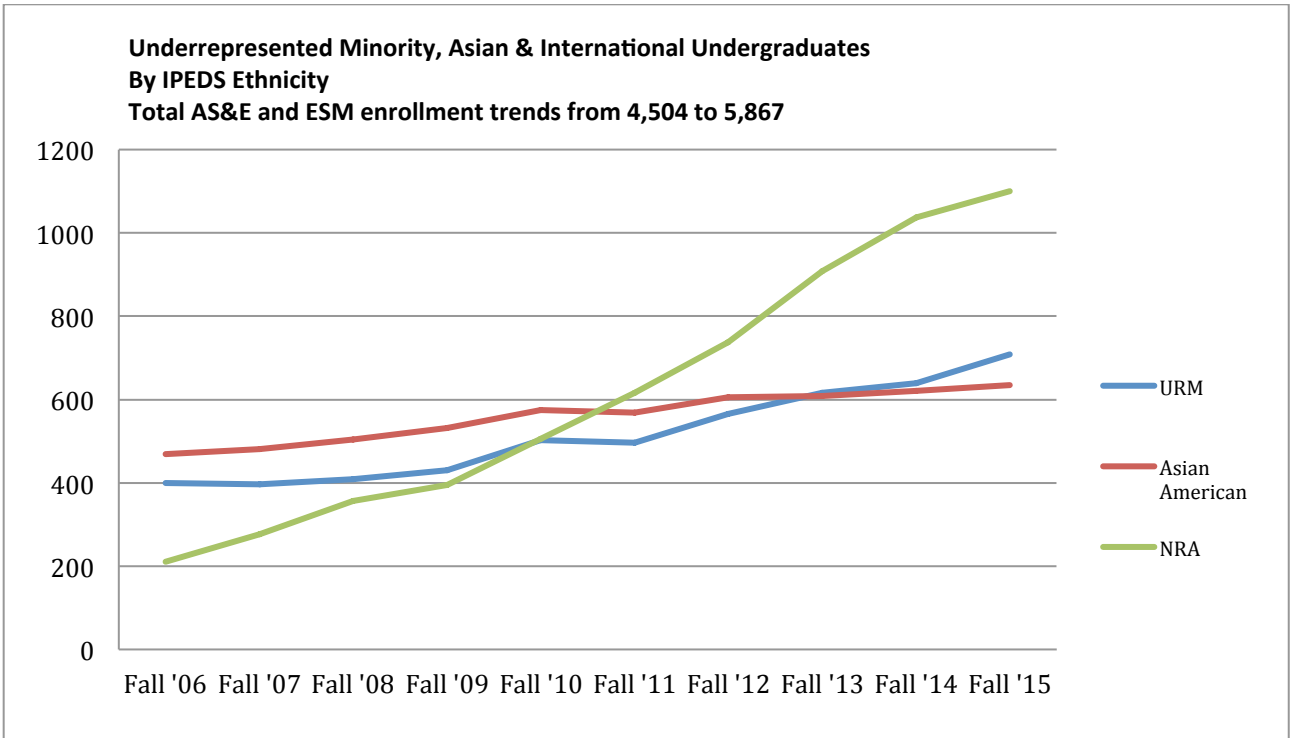
Thus, inclusion can be best understood in its dynamic state. The diversity of the employee base, the inclusion dynamics they experience, and an organization's culture all influence the emergence of an inclusive work environment. Such an environment is characterized by the following factors as measured by the DES:

1. **Common Purpose:** individual experiences a connection to the mission, vision and values of the organization
2. **Trust:** individual has confidence that the policies, practices and procedures of the organization will allow them to bring their best and full self to work
3. **Appreciation of Individual Attributes:** individual is valued and can successfully navigate the organizational structure in their expressed group identity
4. **Sense of Belonging:** individual experiences their social group identity being connected and accepted in the organization
5. **Access to Opportunity:** individual is able to find and utilize support for their professional development and advancement
6. **Equitable Reward and Recognition:** individual perceives the organization as having equitable compensation practices and non-financial incentives
7. **Cultural Competence:** individual believes the institution has the capacity to make creative use of its diverse workforce in a way that meets business goals and enhances performance
8. **Respect:** individual experiences a culture of civility and positive regard for diverse perspectives and ways of knowing

# Appendix K: Enrollment Data 2006-2015

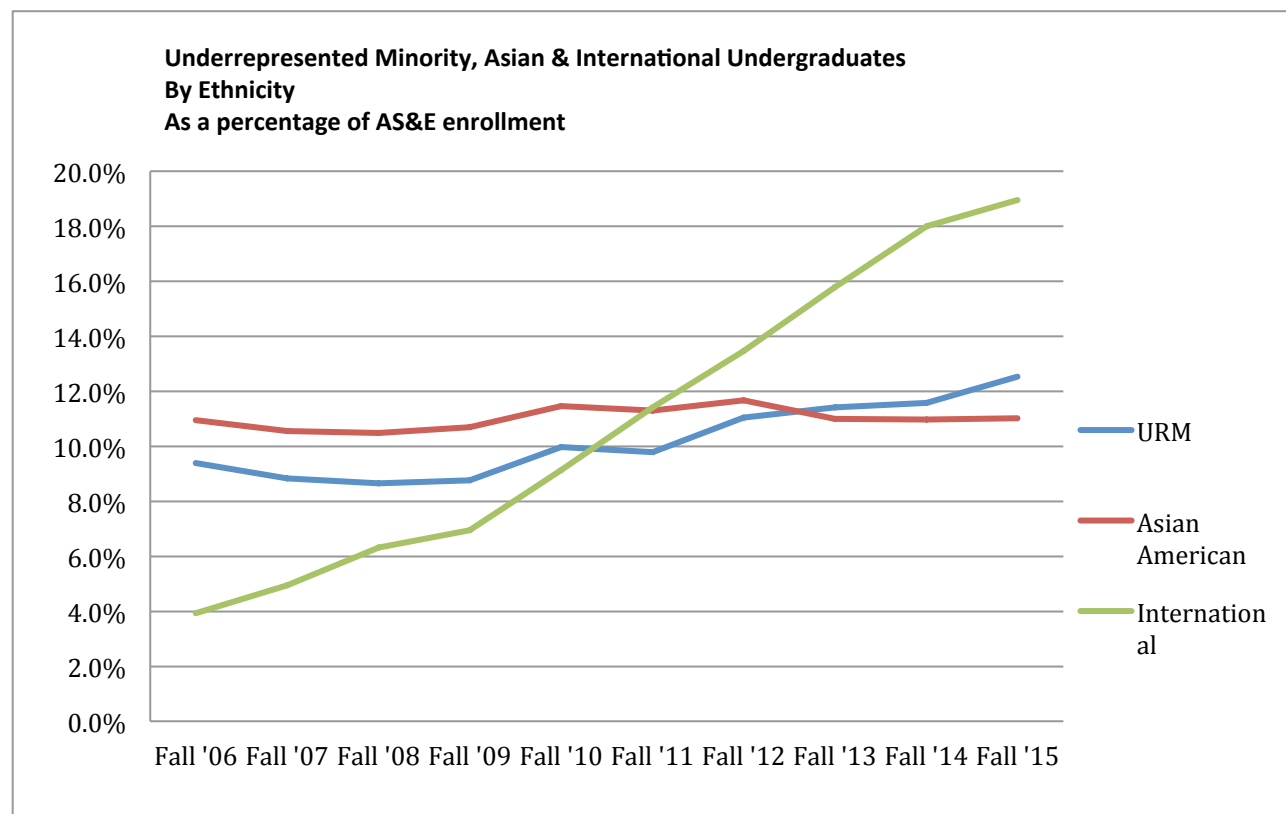
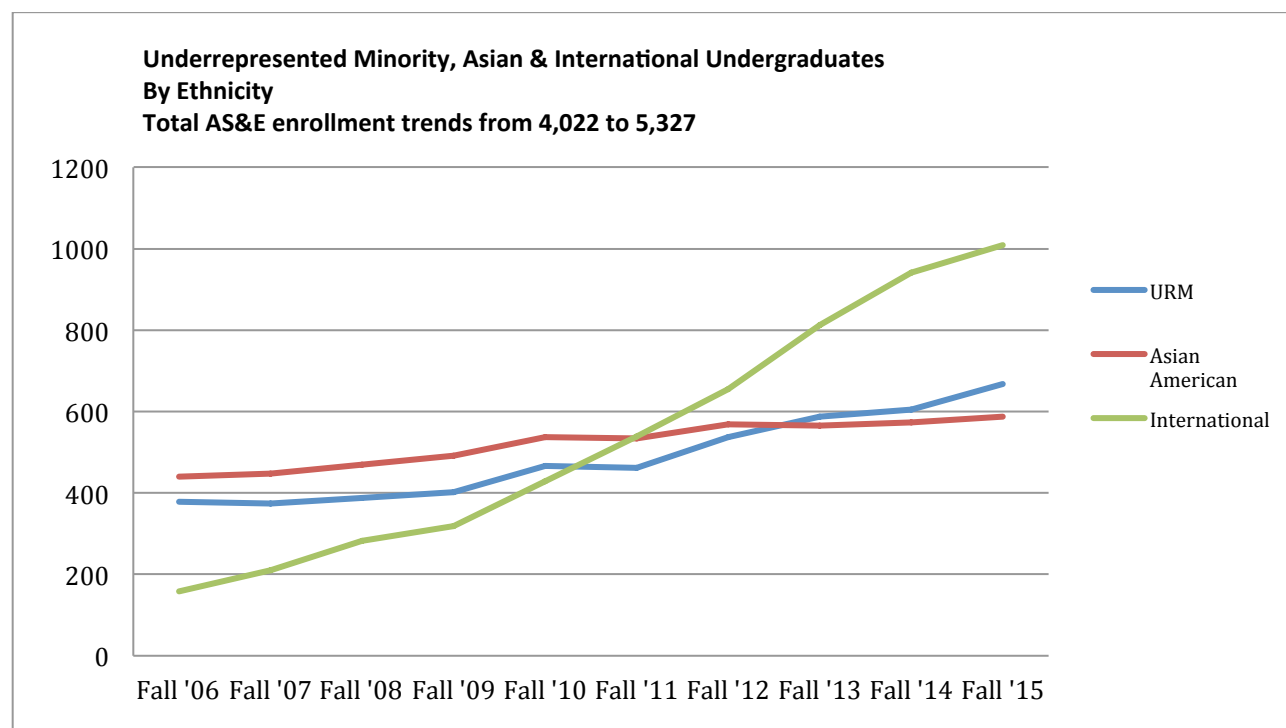
## AS&E and Eastman School of Music



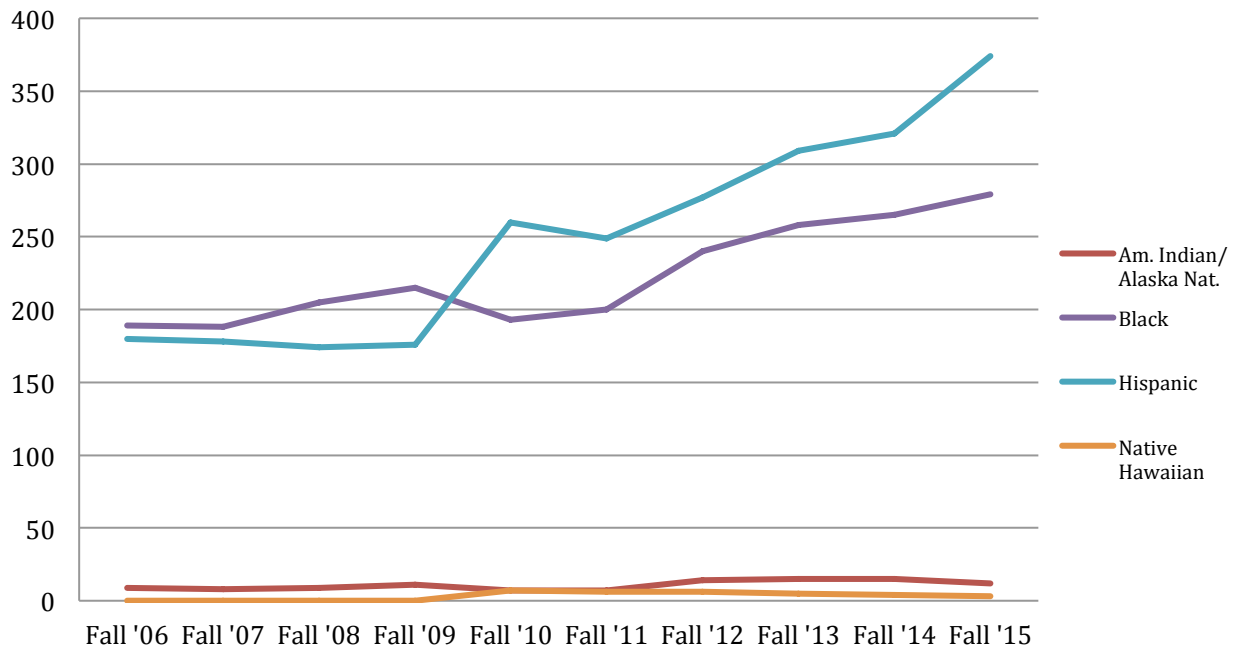




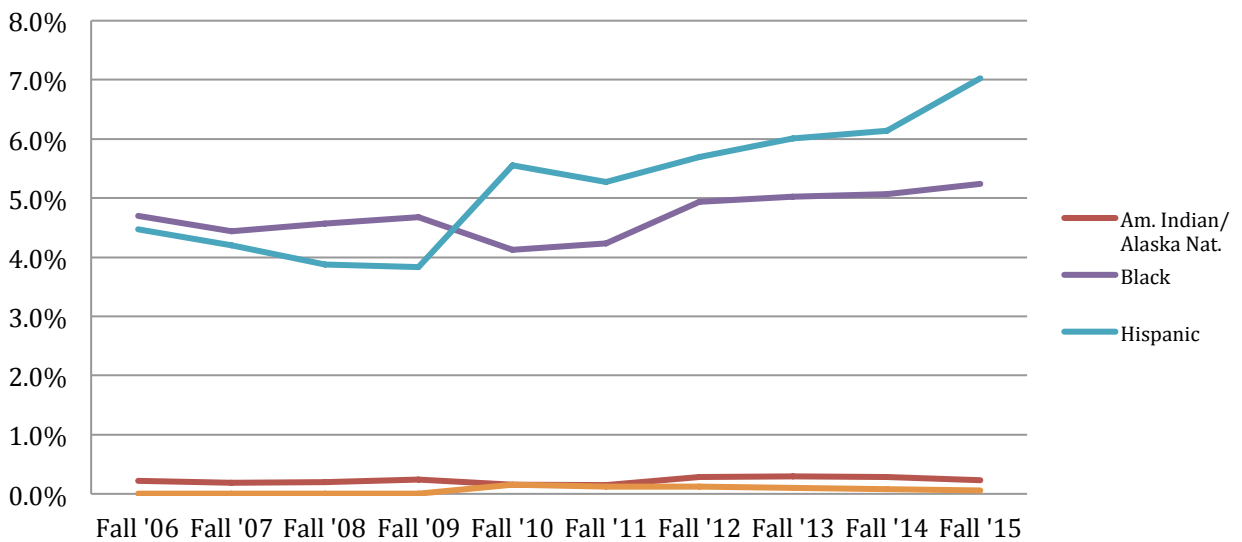
## Arts, Sciences & Engineering

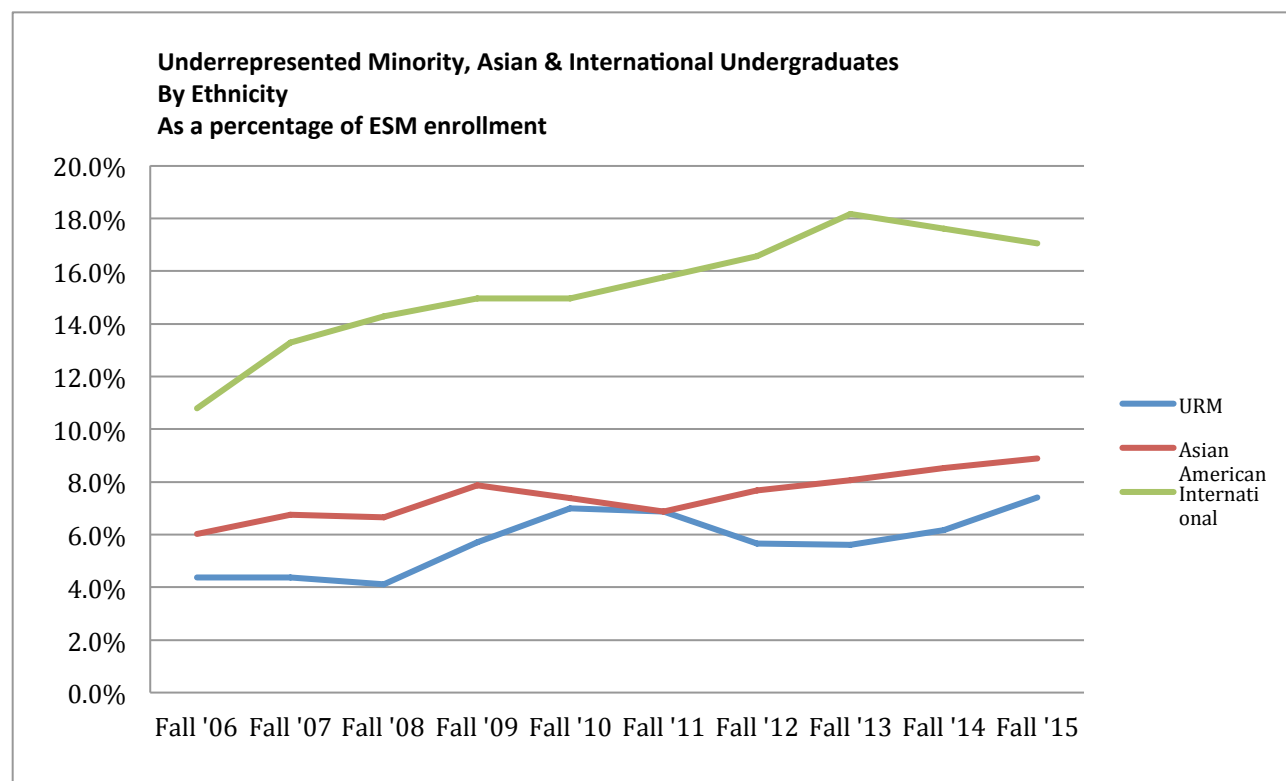
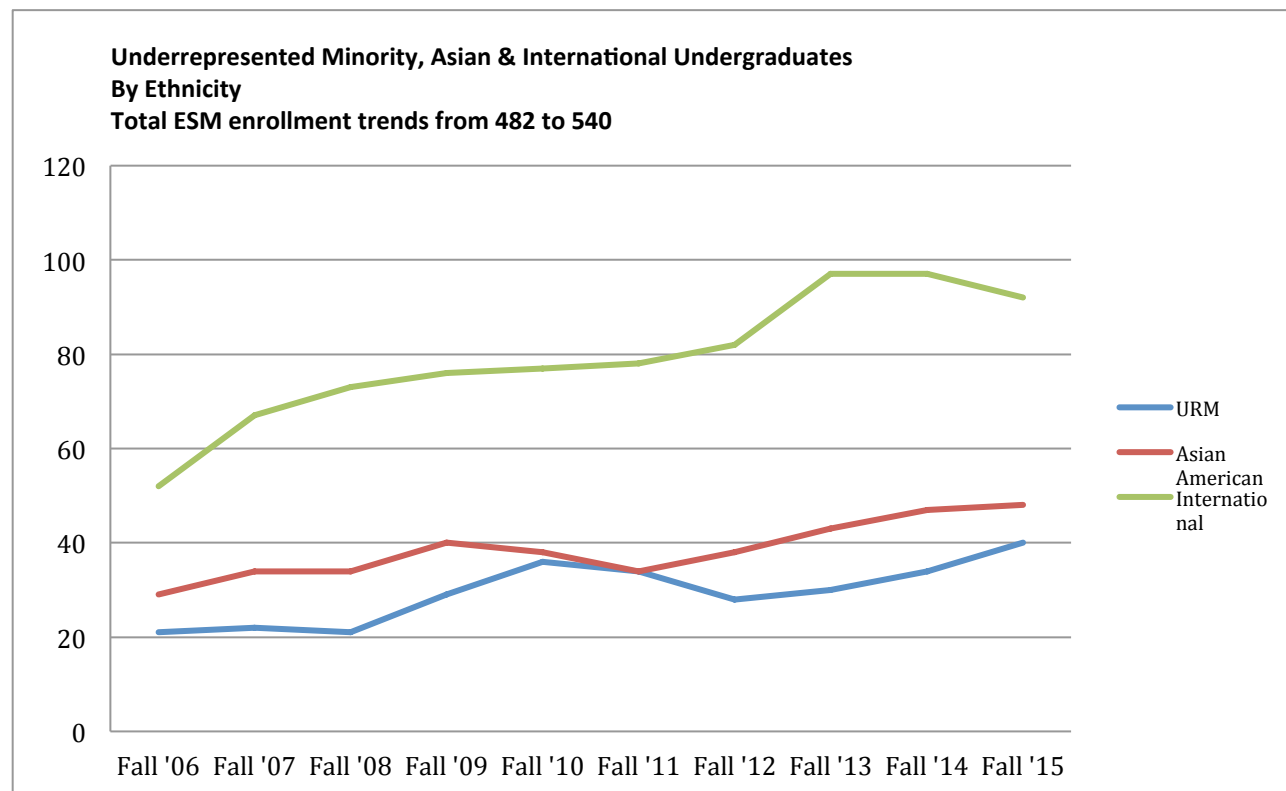


**Minority Undergraduates  
By Ethnicity**  
Total AS&E enrollment trends from 4,022 to 5,327

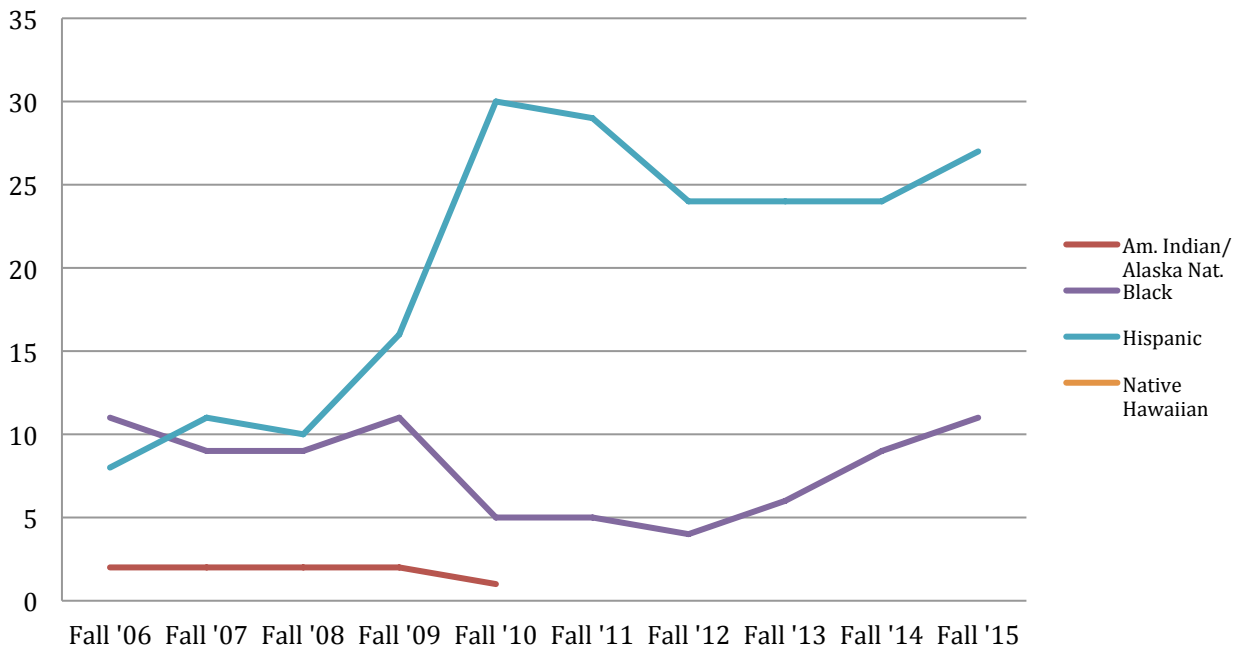


**Minority Undergraduates  
By Ethnicity**  
As a percentage of AS&E enrollment

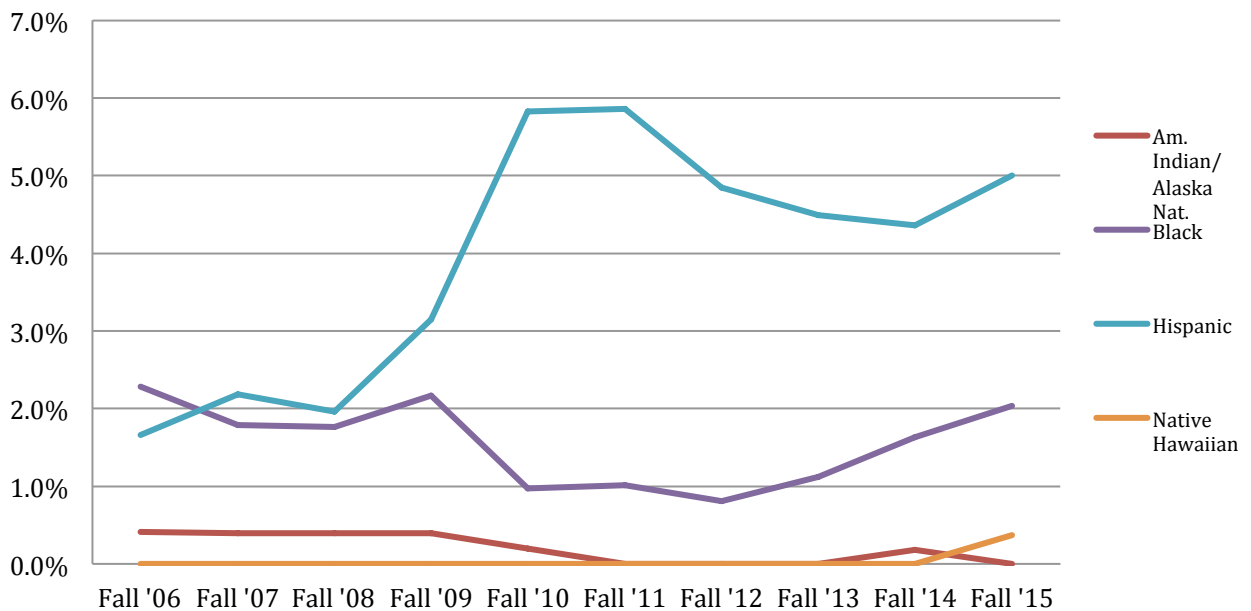




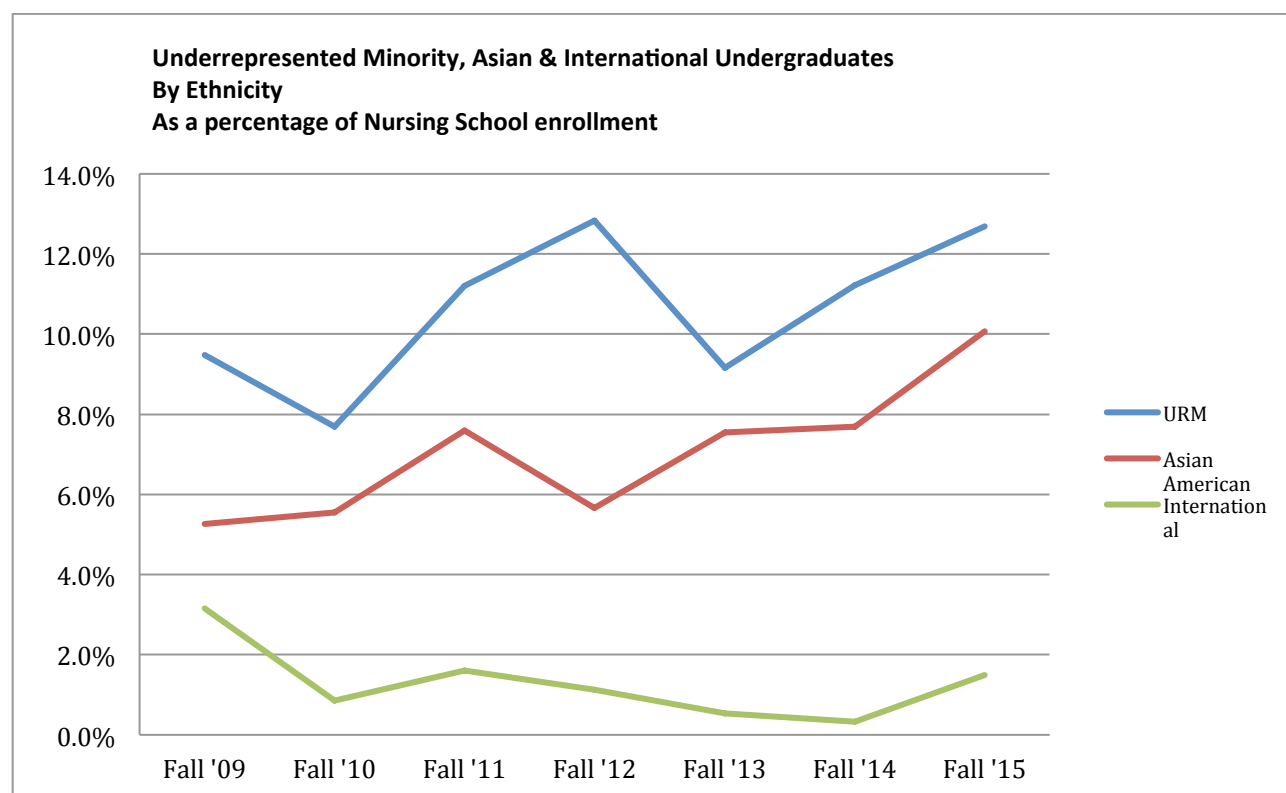
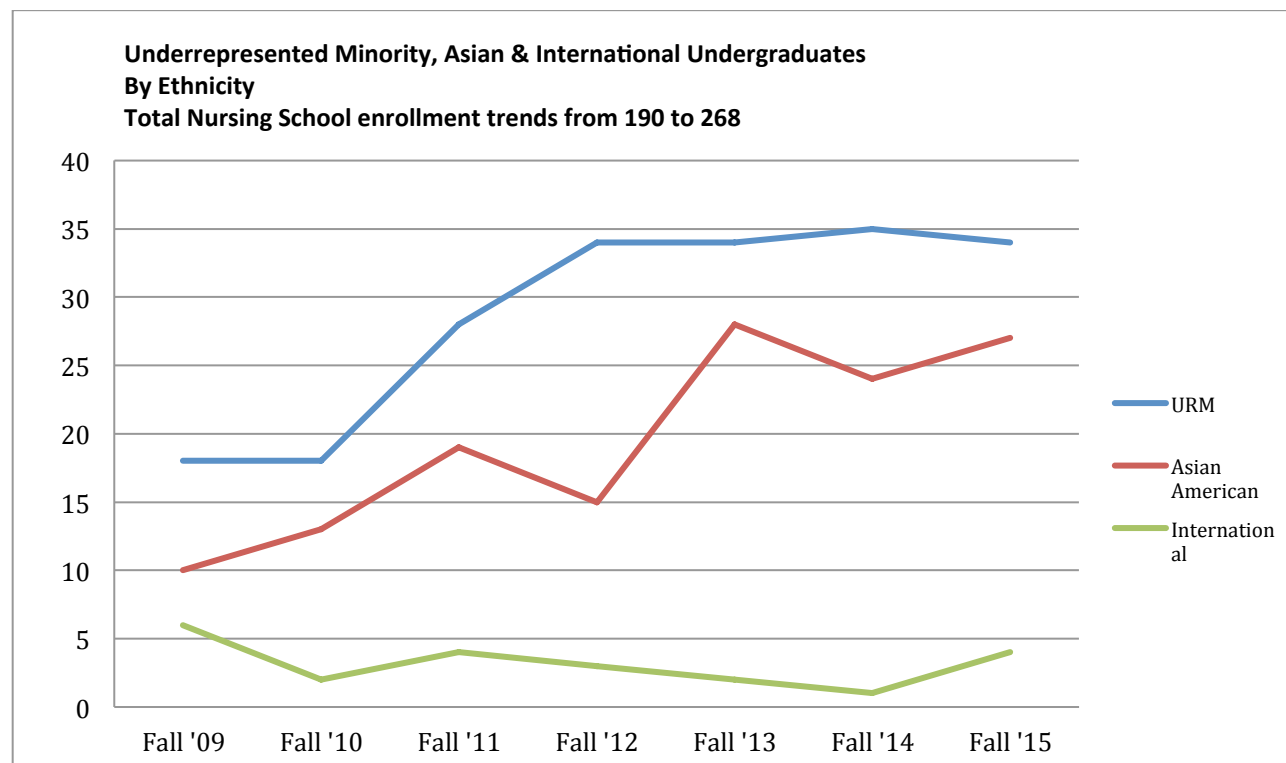
**Minority Undergraduates  
By Ethnicity**  
Total ESM enrollment trends from 482 to 540

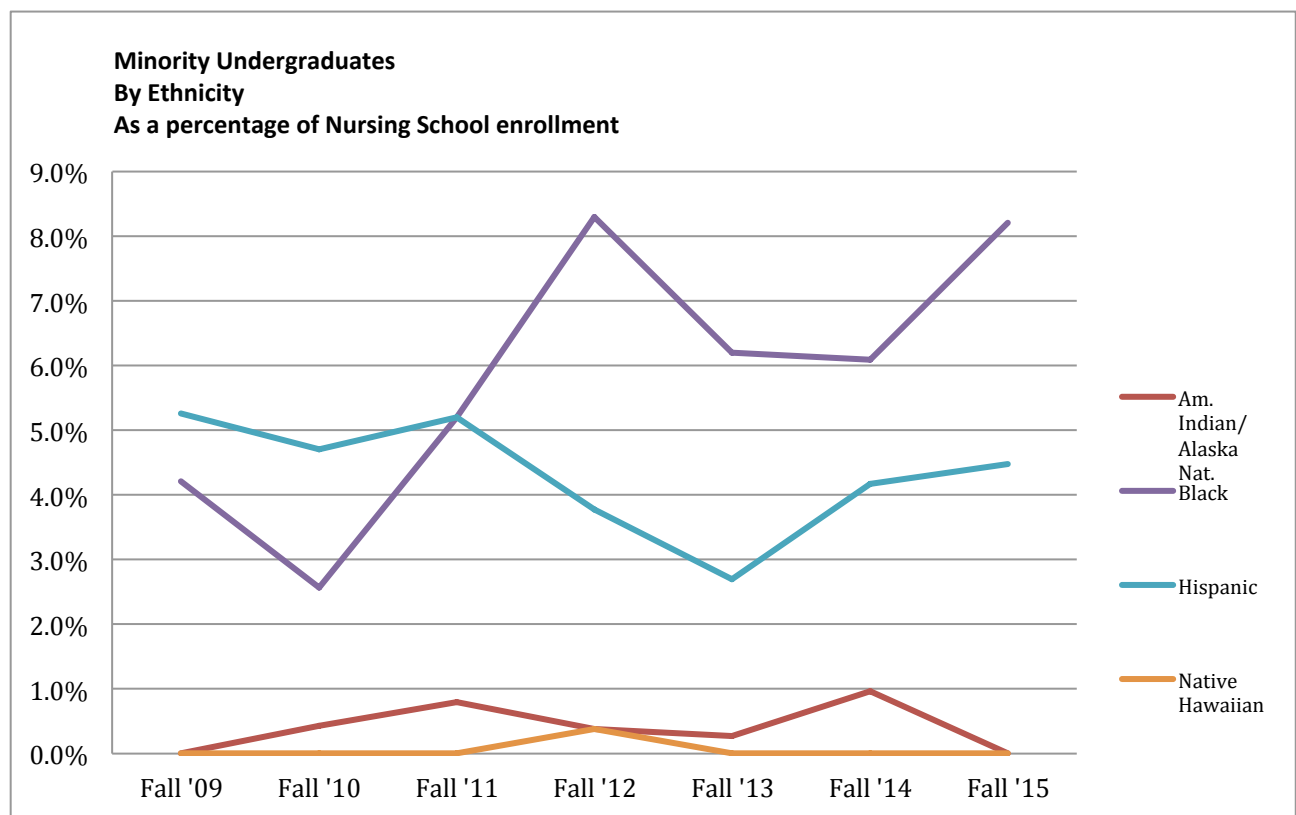
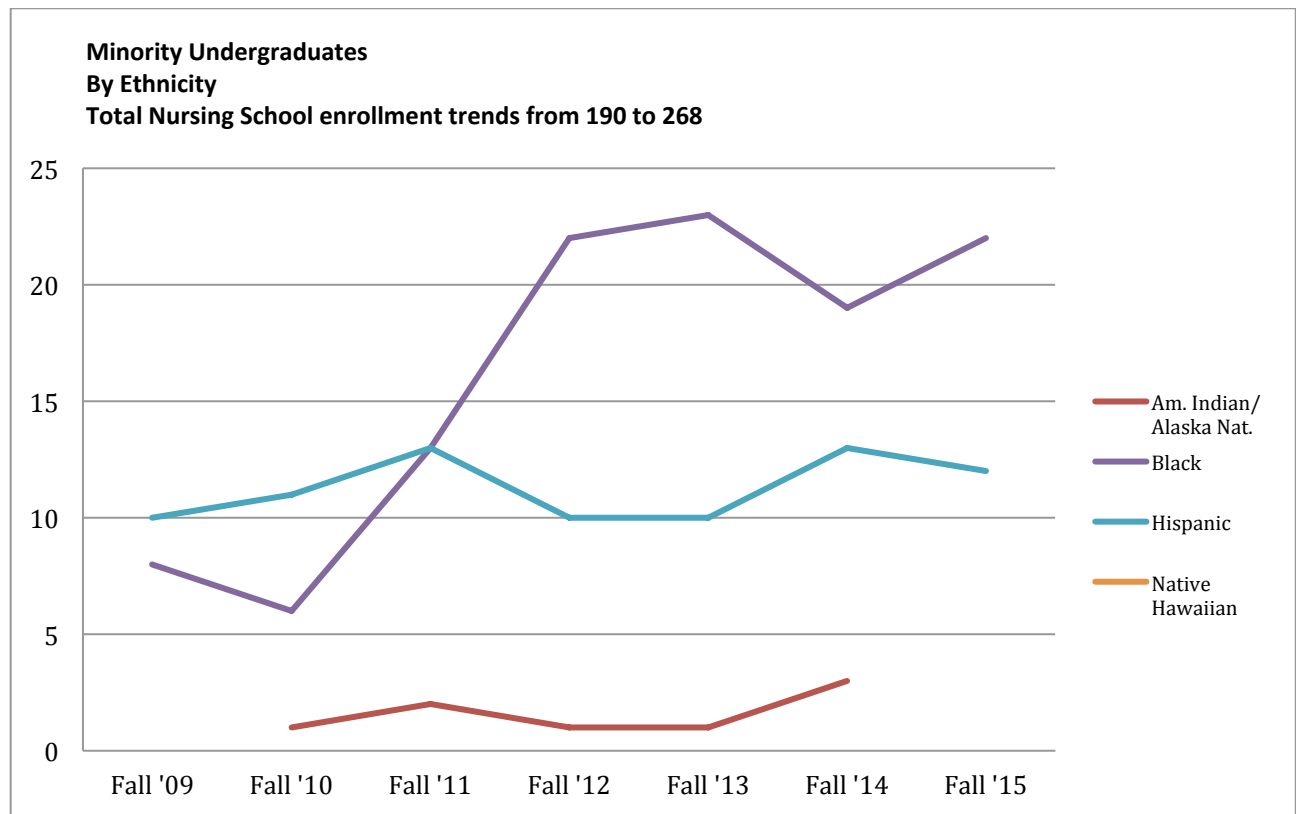


**Minority Undergraduates  
By Ethnicity**  
As a percentage of ESM enrollment

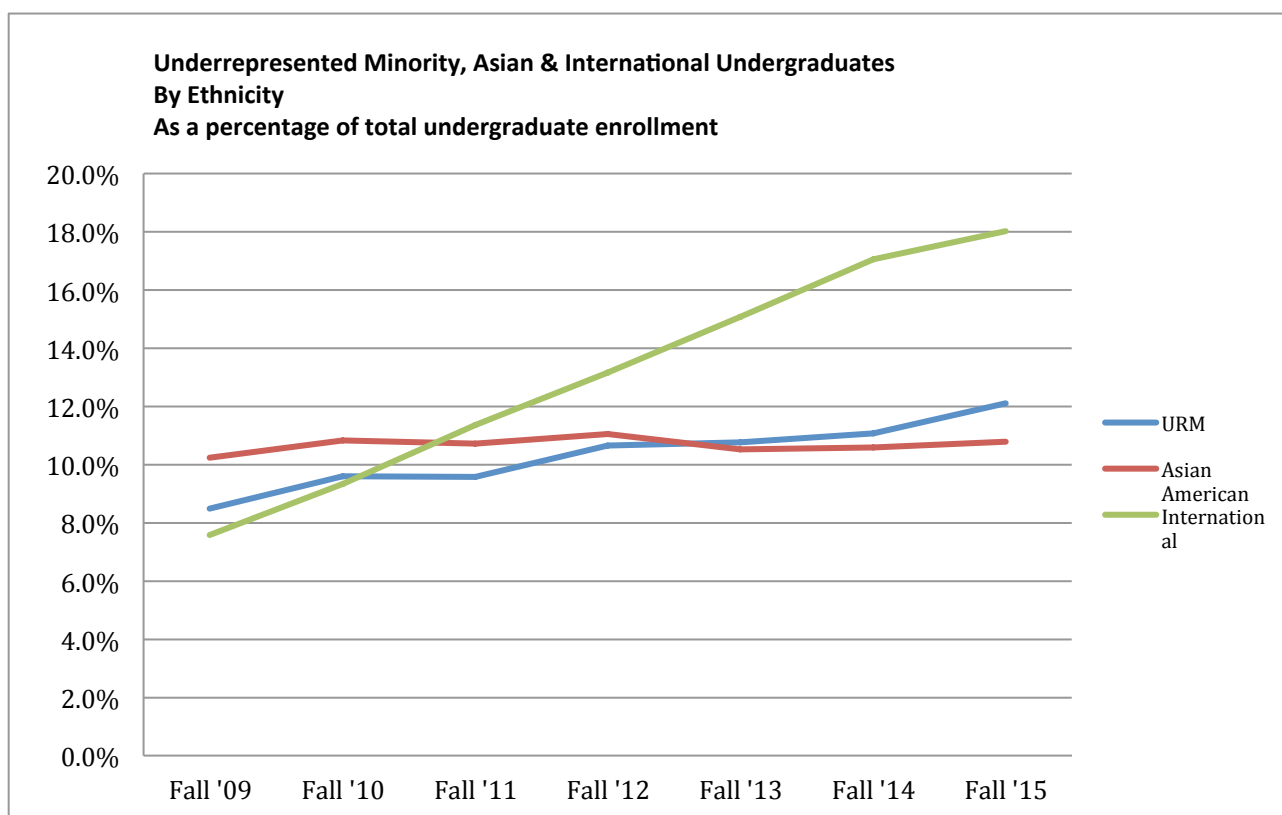
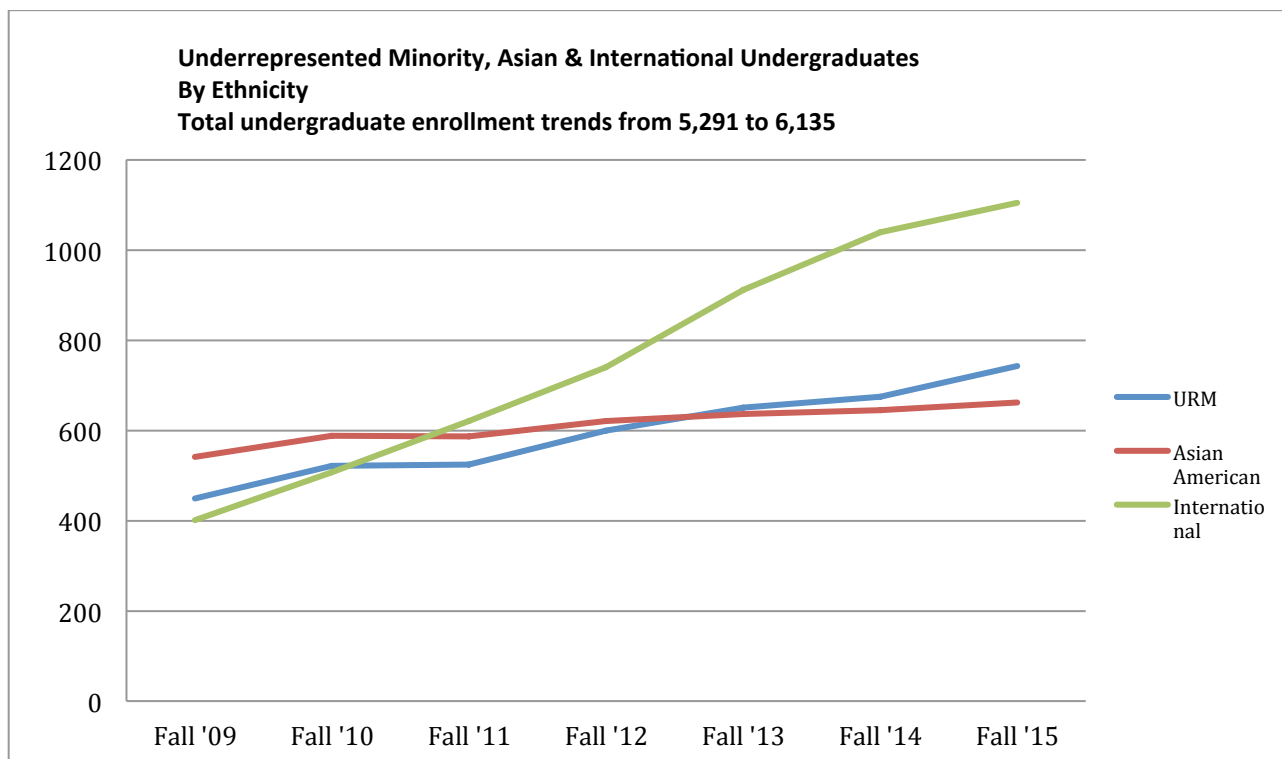


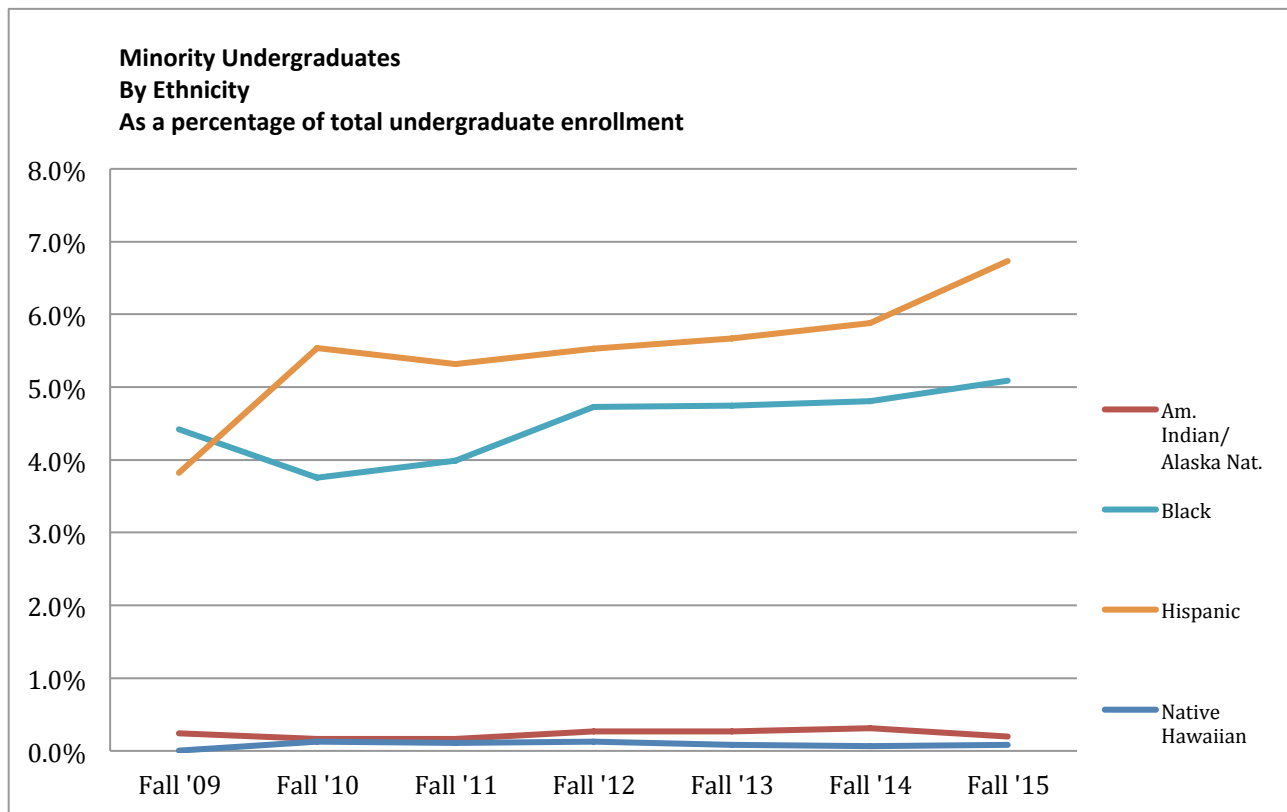
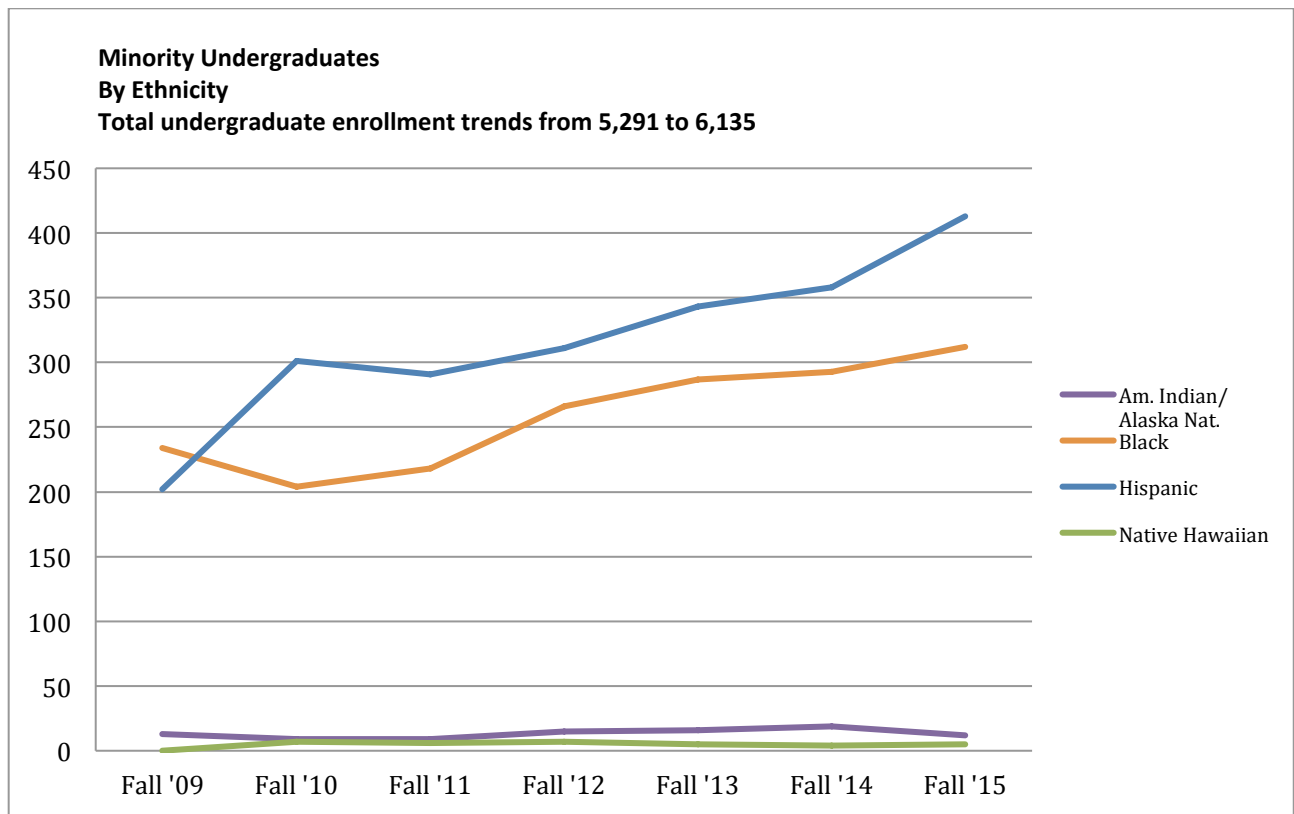
## School of Nursing





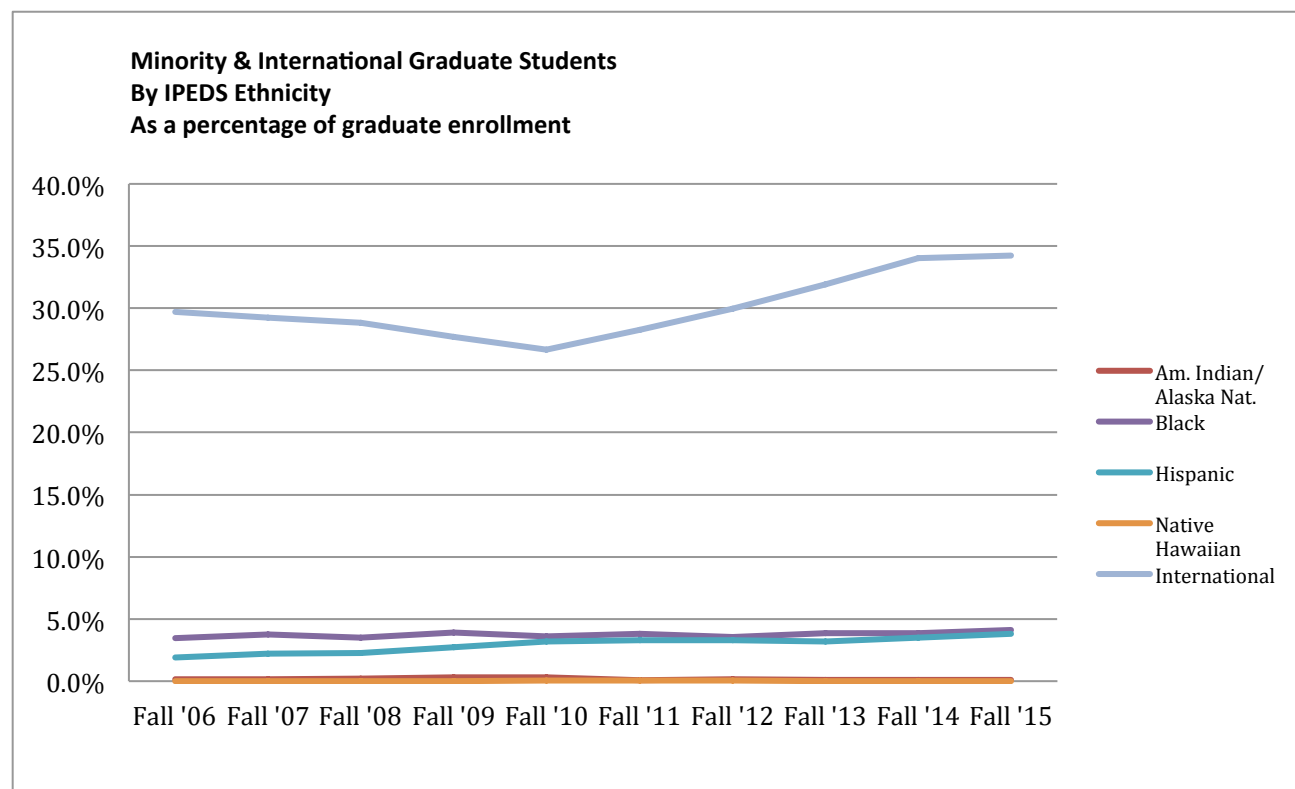
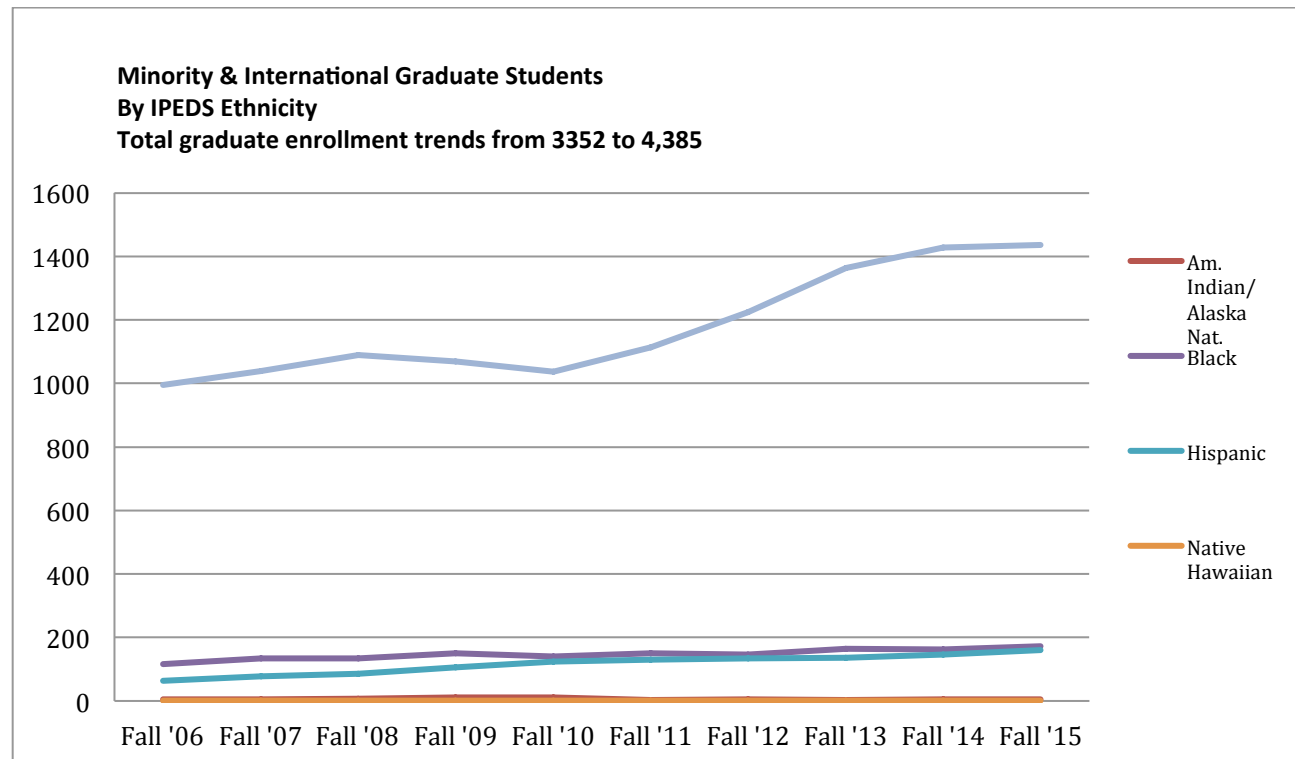
## Undergraduate Students with Nursing

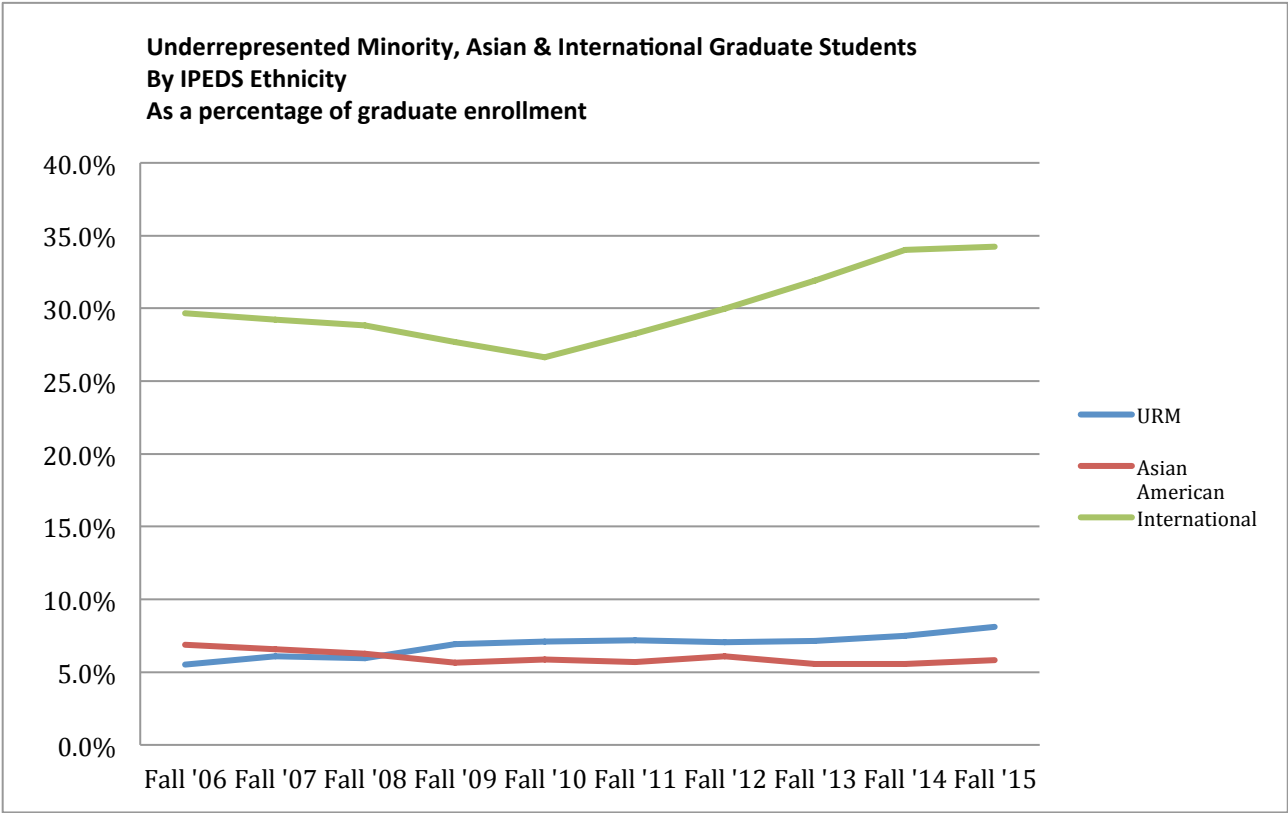
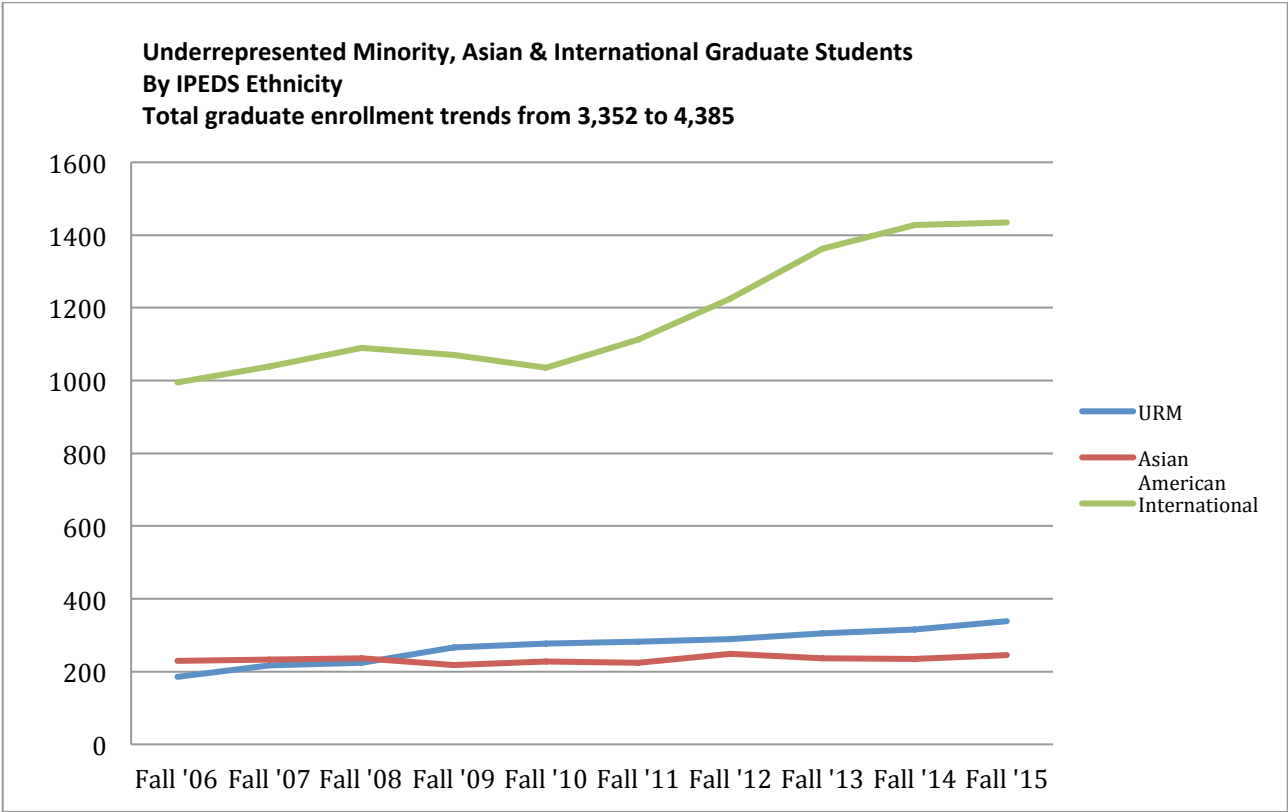




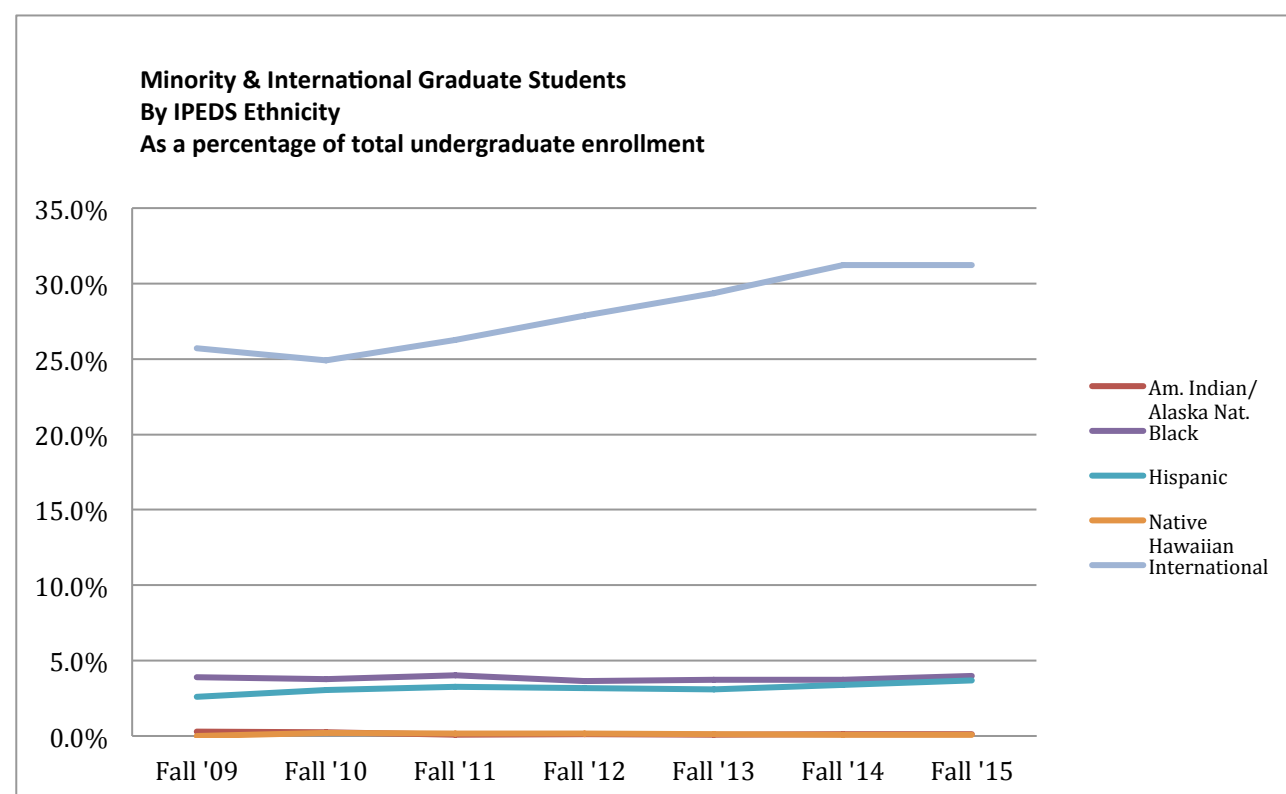
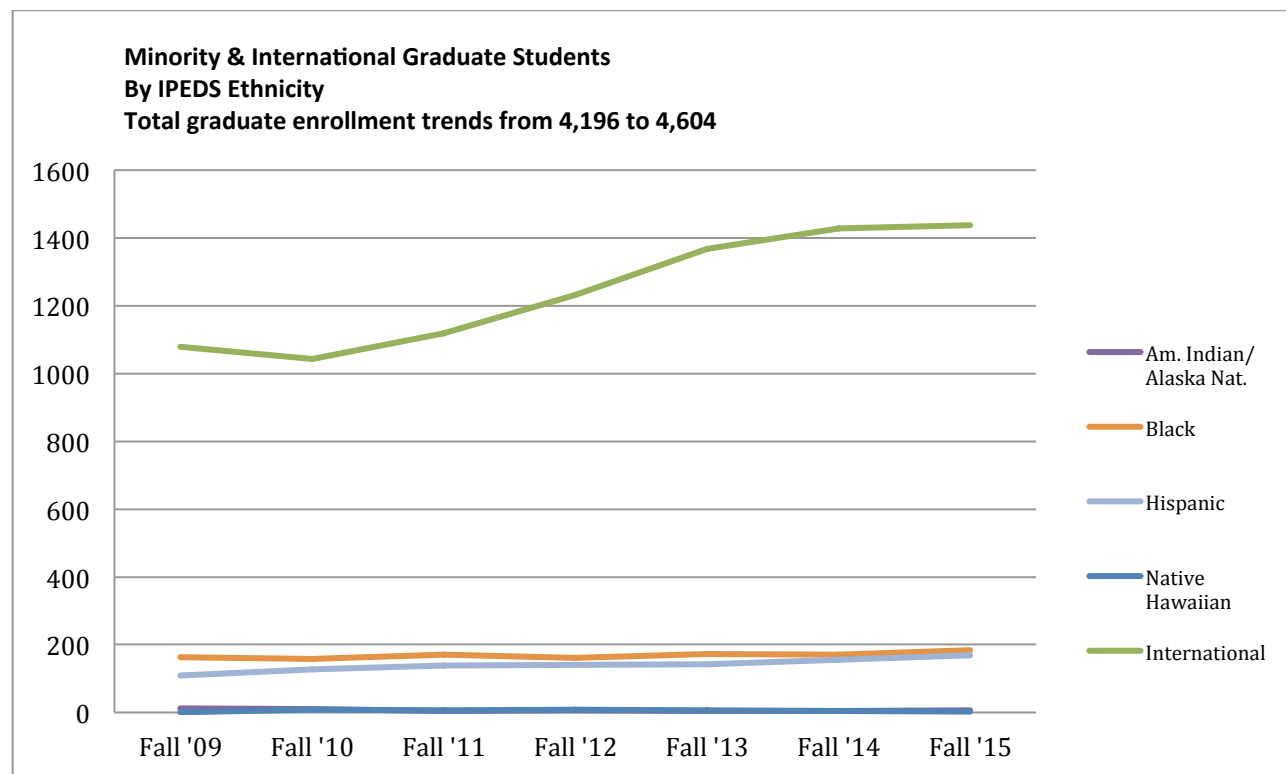


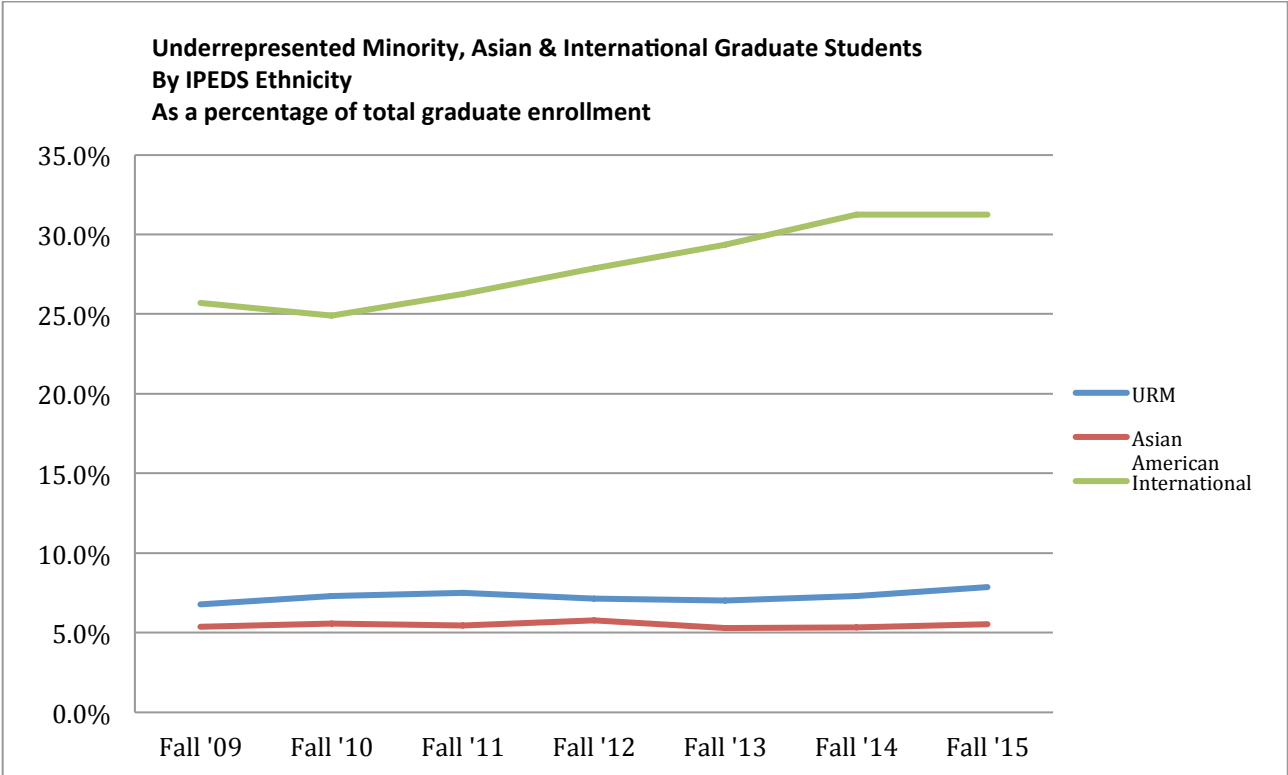
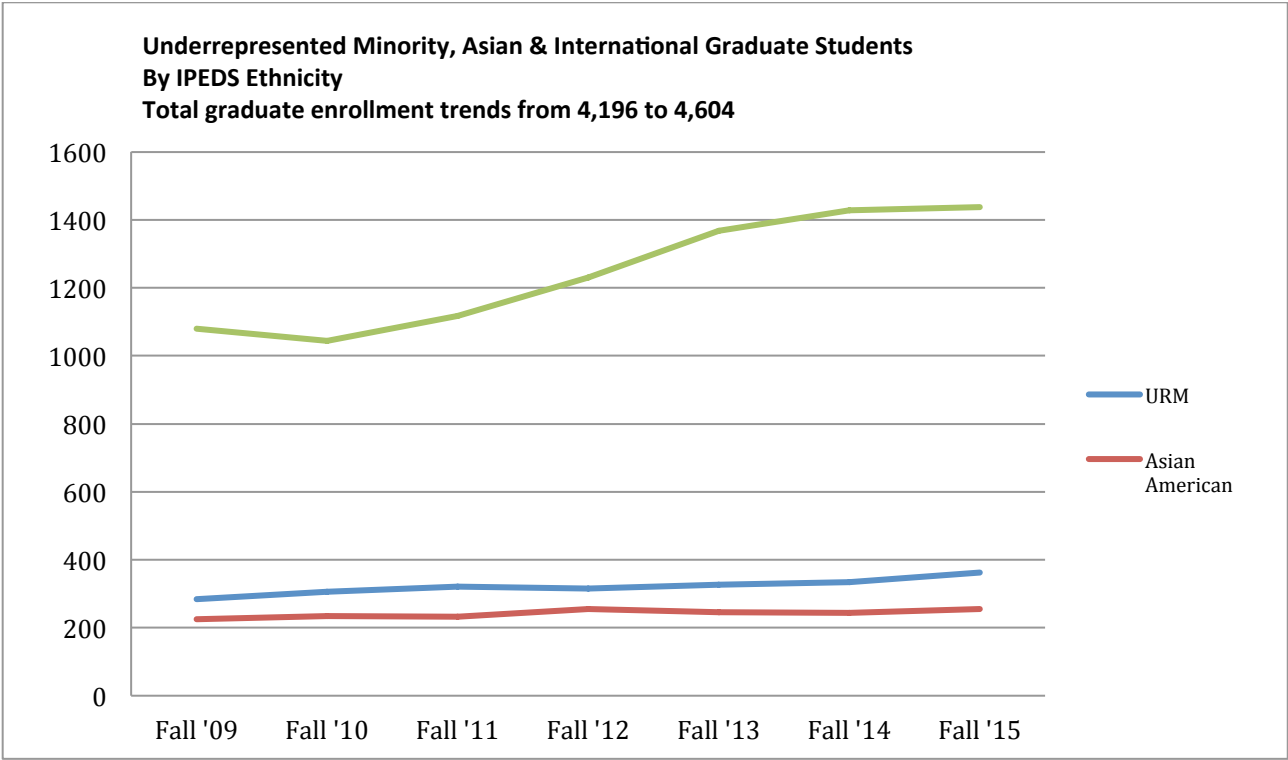
## Graduate Students with MD





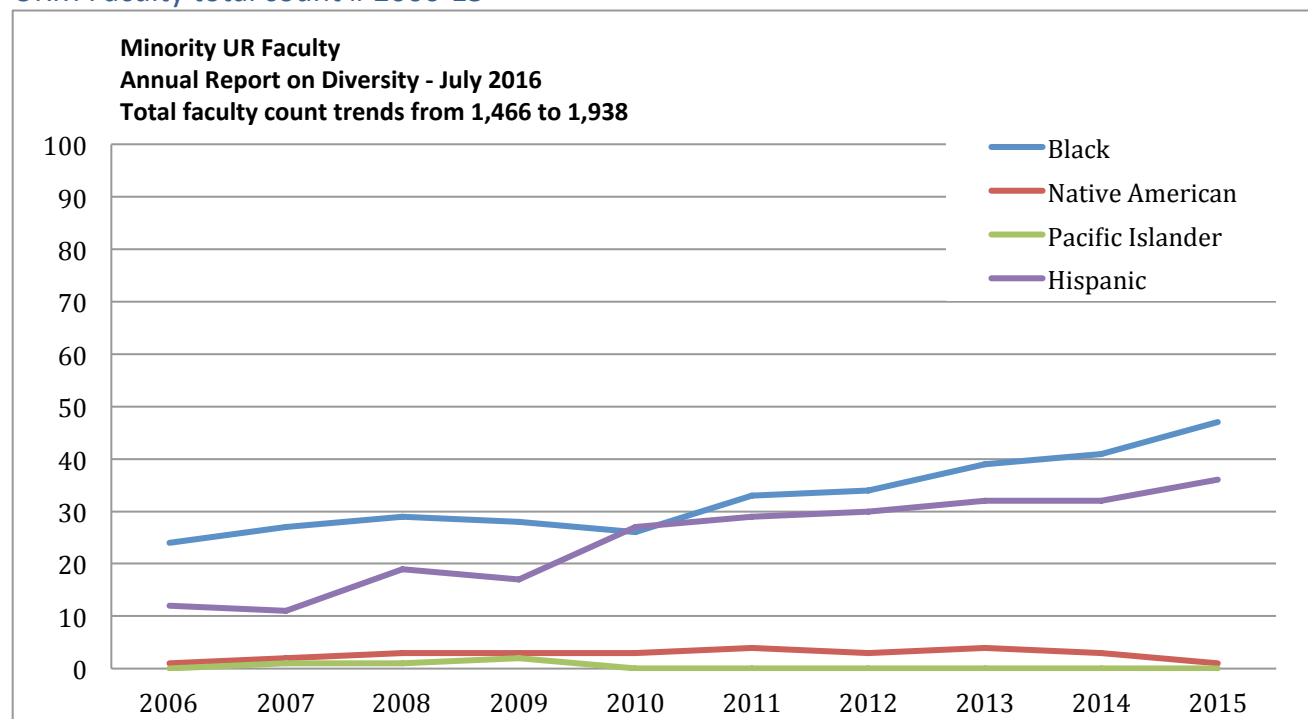
## Graduate Students with Nursing



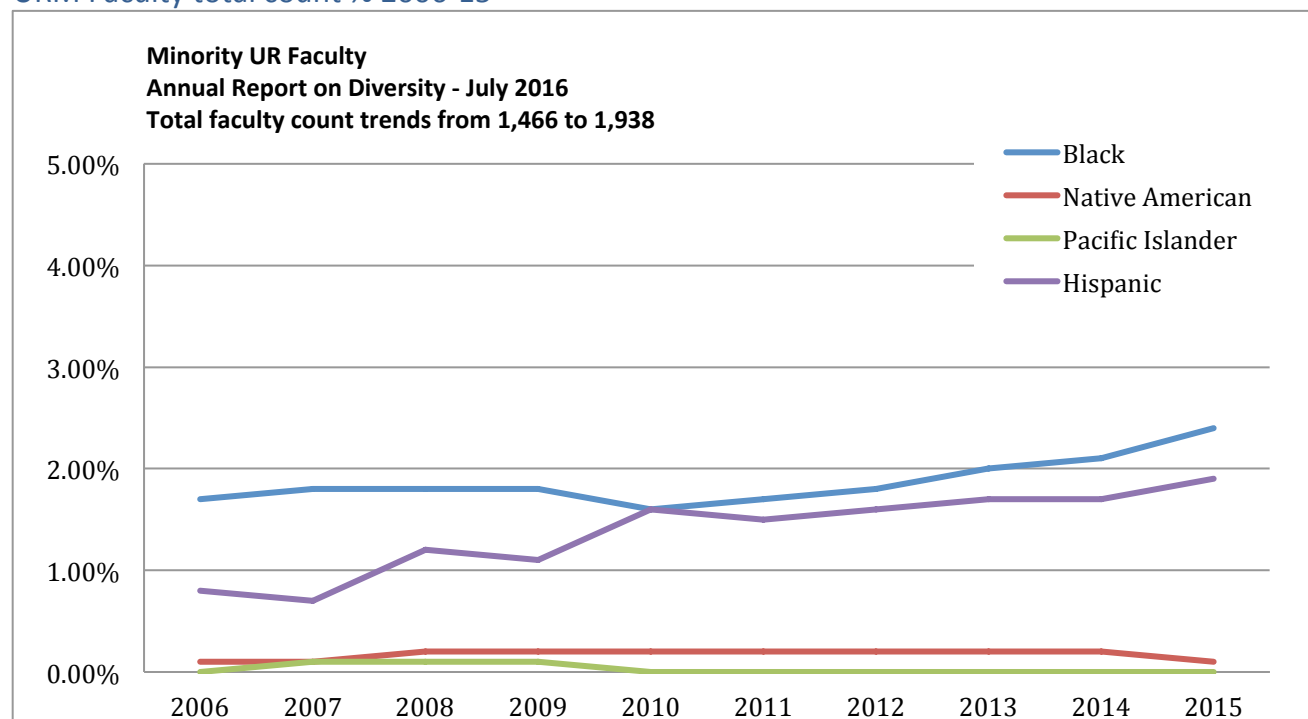


## Appendix L: Faculty Data 2006-2015

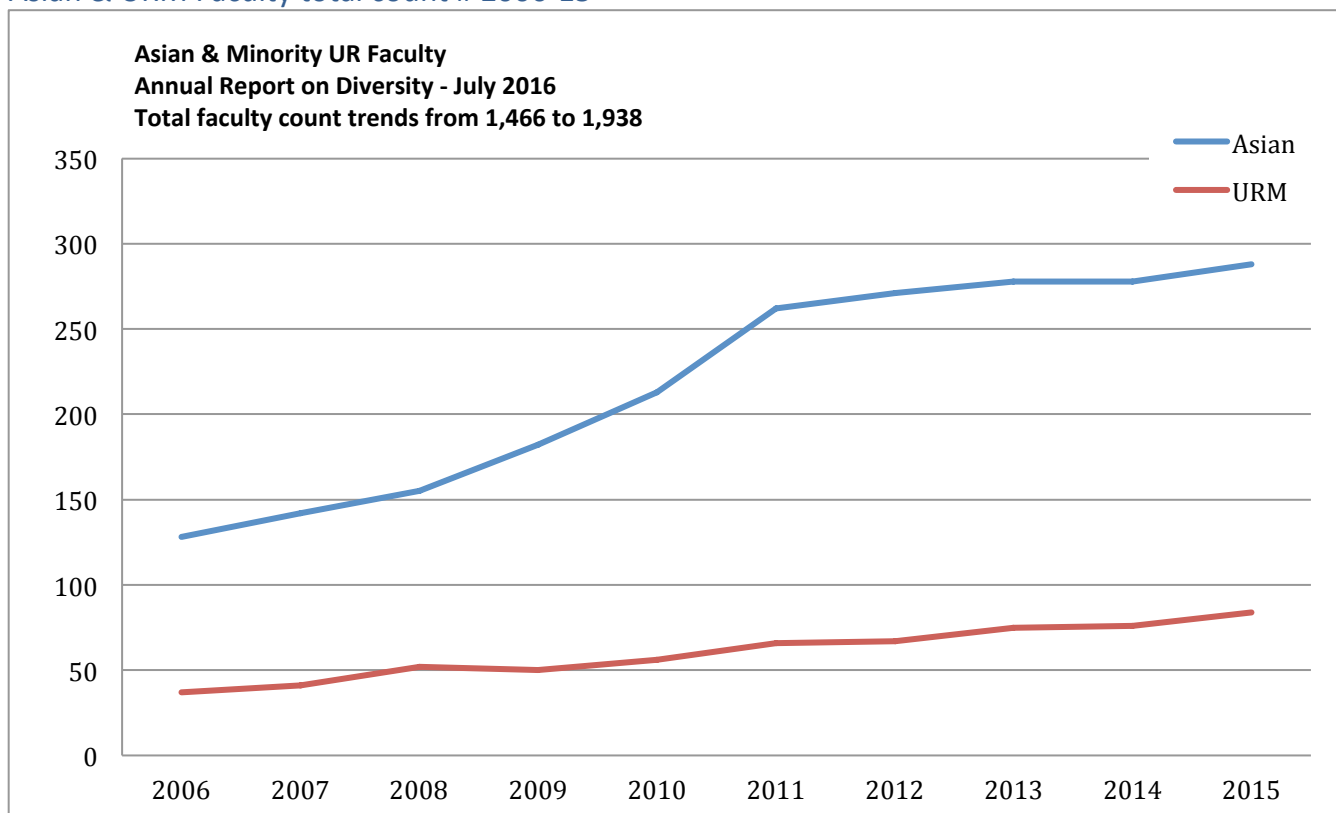
### URM Faculty total count # 2006-15



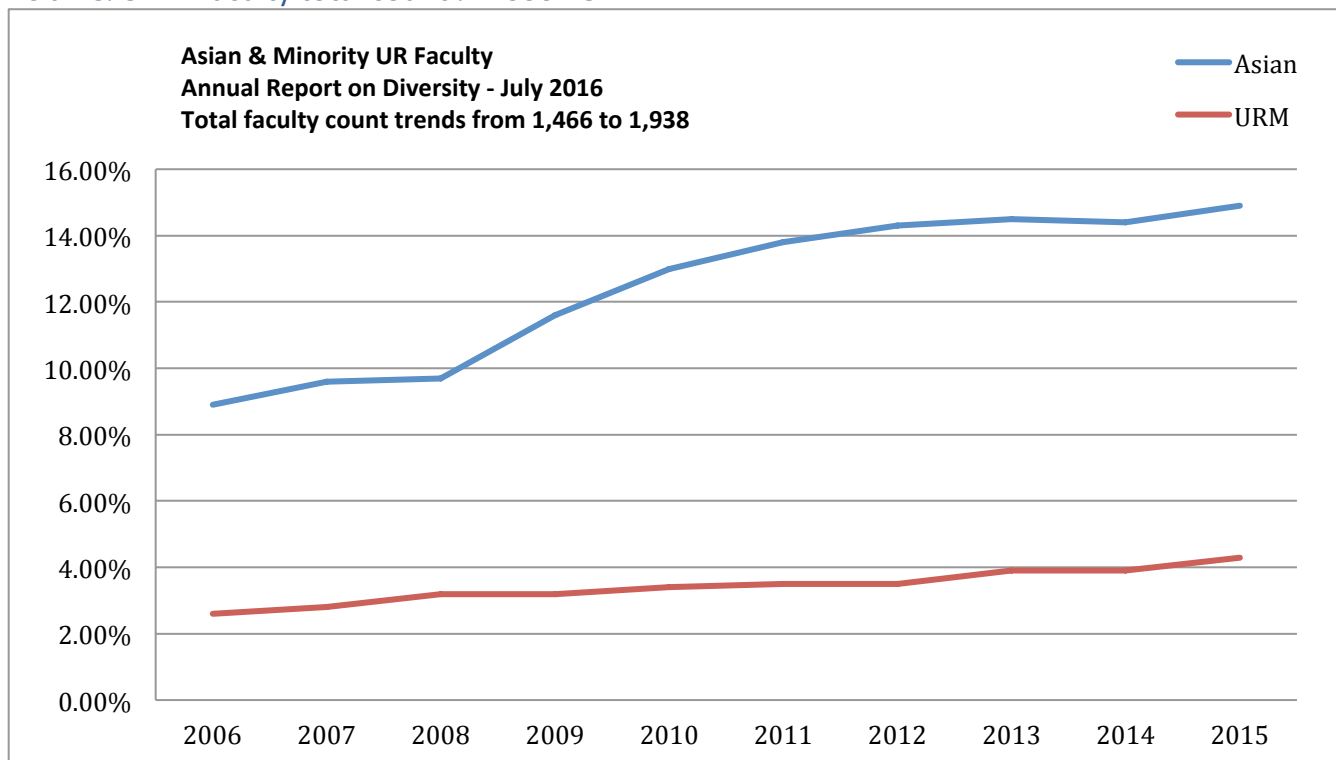
### URM Faculty total count % 2006-15



### Asian & URM Faculty total count # 2006-15

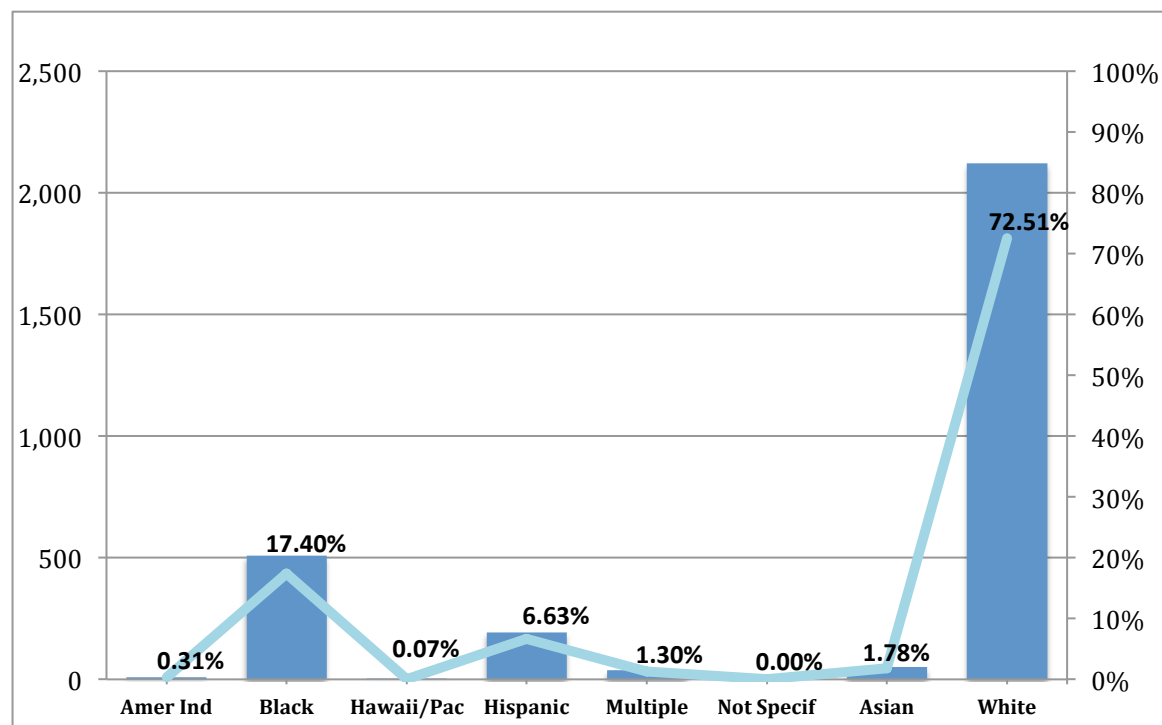


### Asian & URM Faculty total count % 2006-15

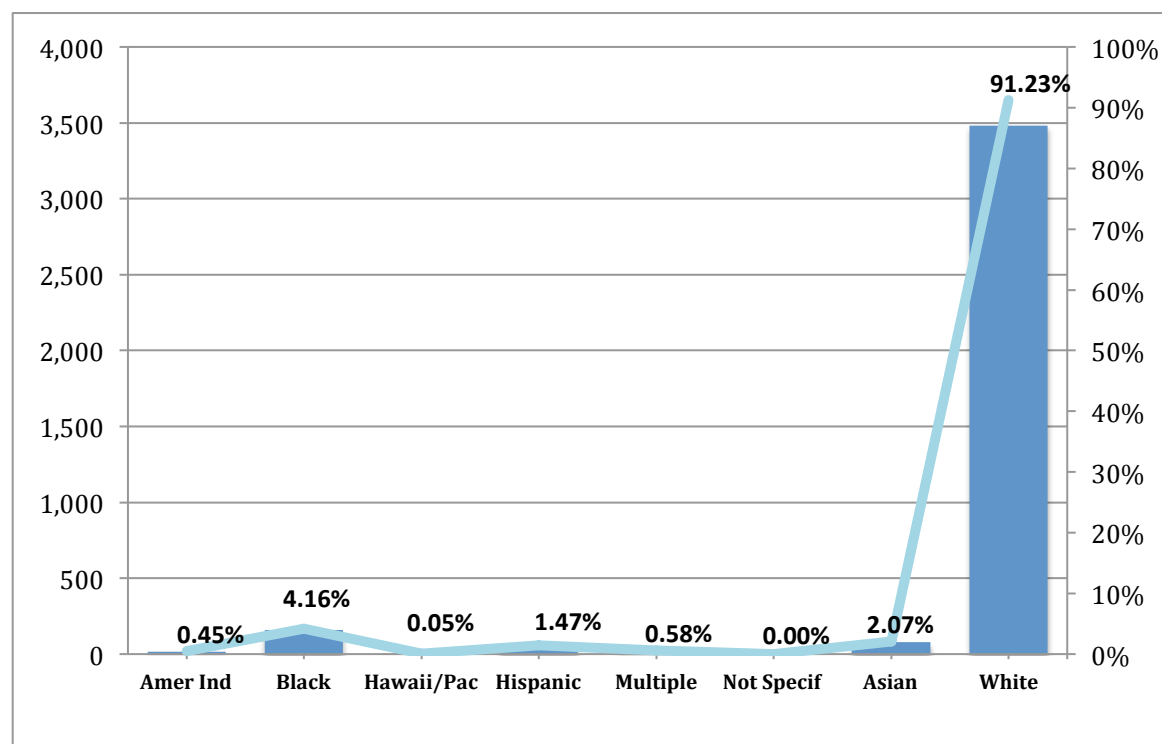


## Appendix M: Staff Ethnicity by Paygrade 2015

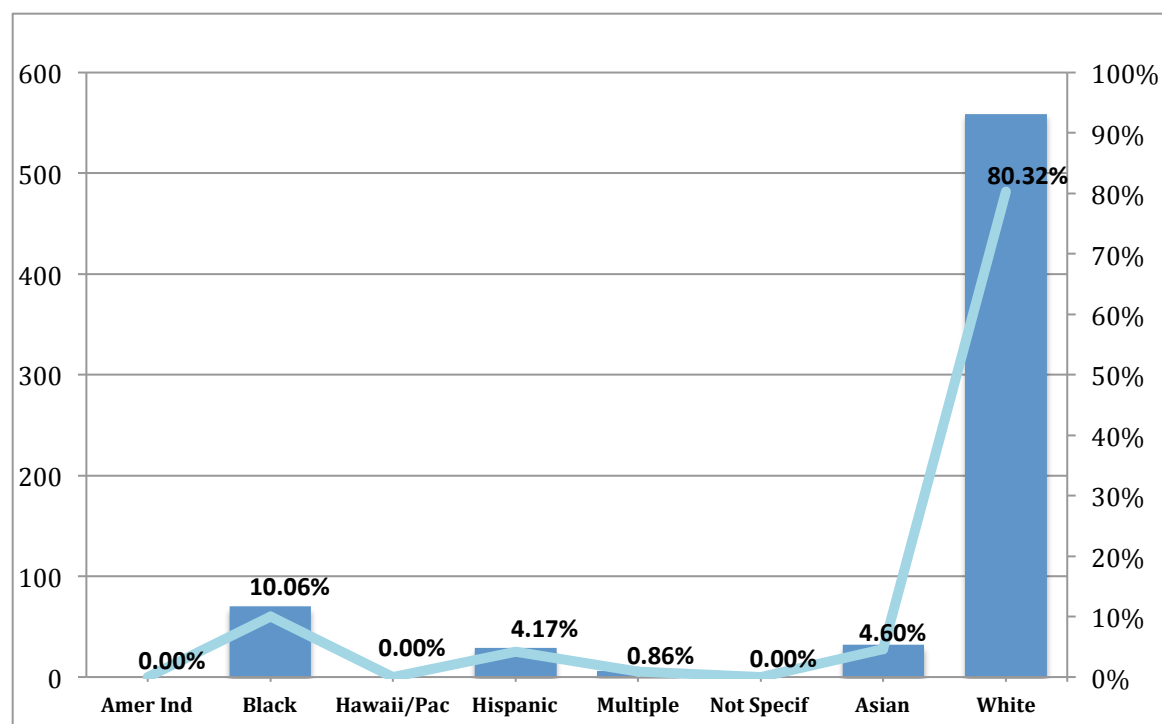
### 2015 Clerical Staff Ethnicity



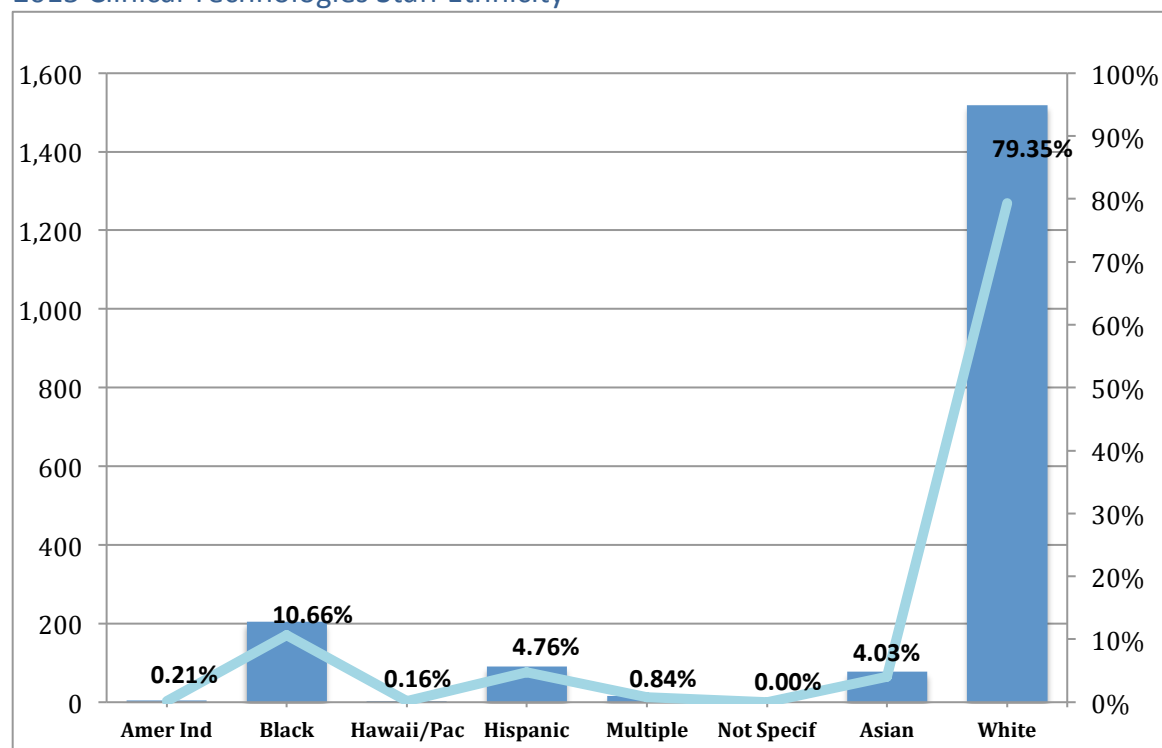
### 2015 Nursing Staff Ethnicity



## 2015 Research Technician Staff Ethnicity

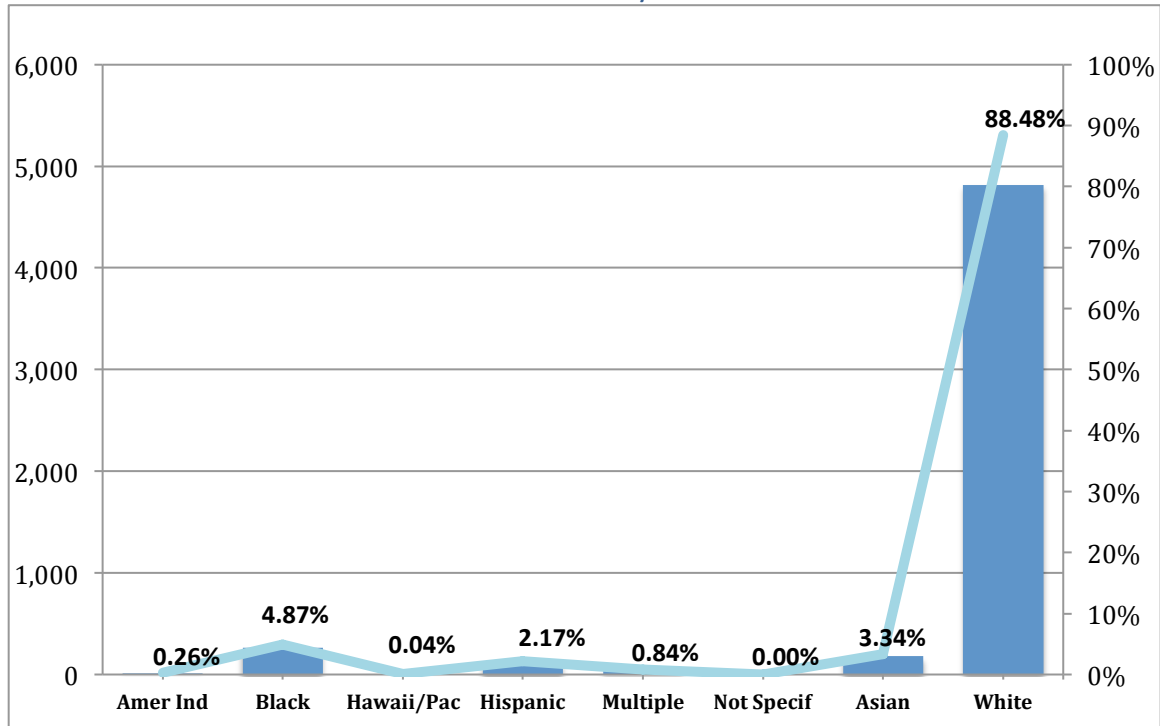


## 2015 Clinical Technologies Staff Ethnicity

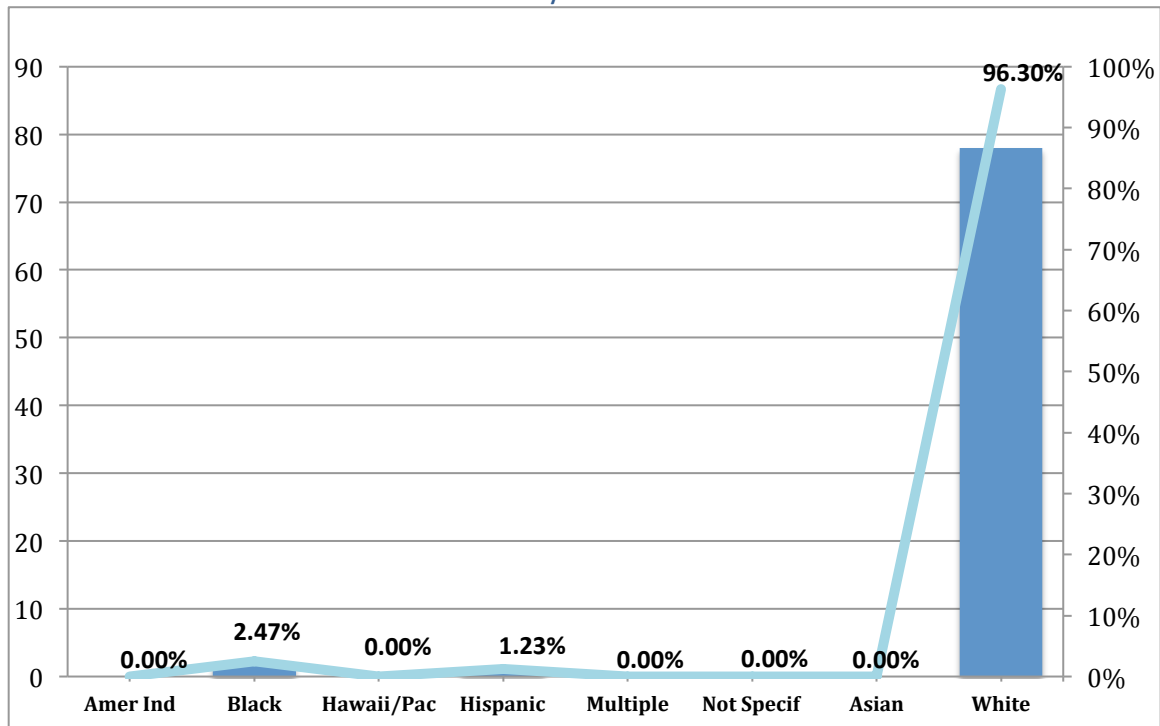




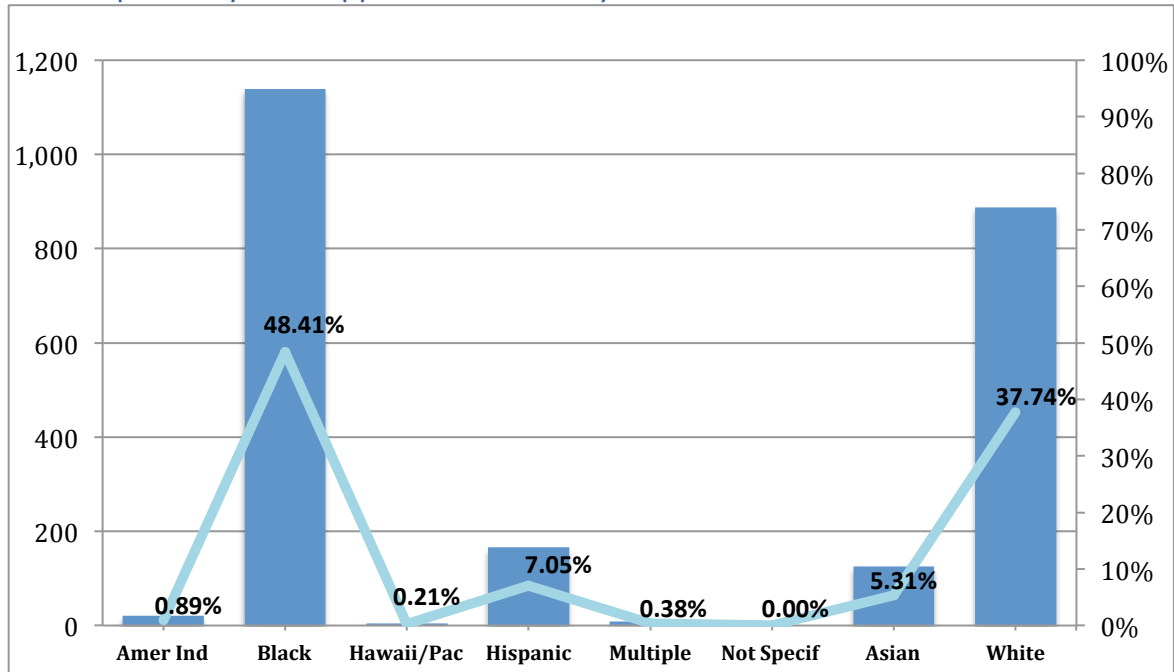
## 2015 Professional Administrative Staff Ethnicity



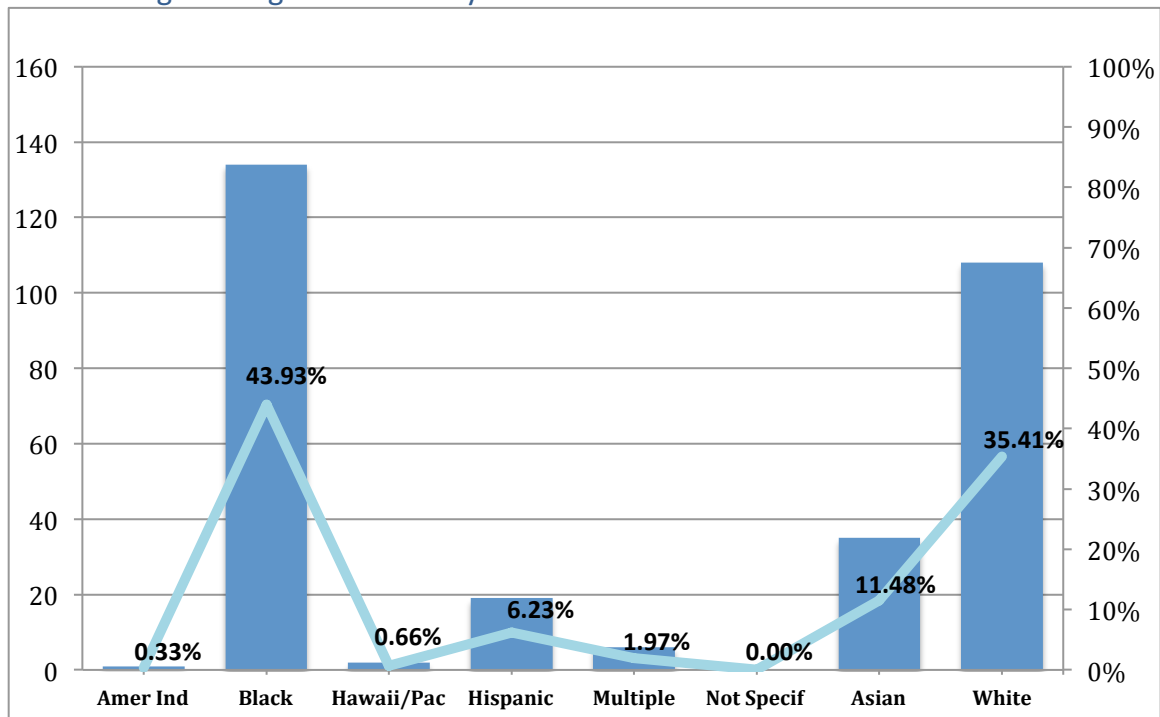
## 2015 Senior Administrator Staff Ethnicity



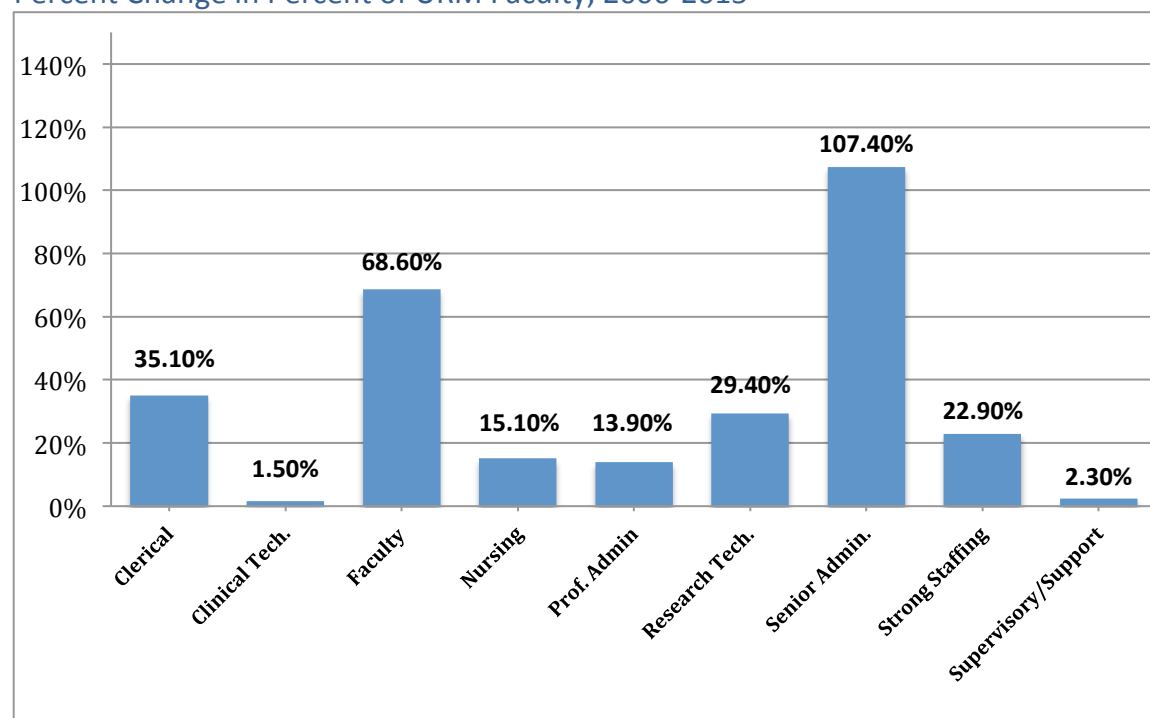
## 2015 Supervisory and Support Staff Ethnicity



## 2015 Strong Staffing Staff Ethnicity

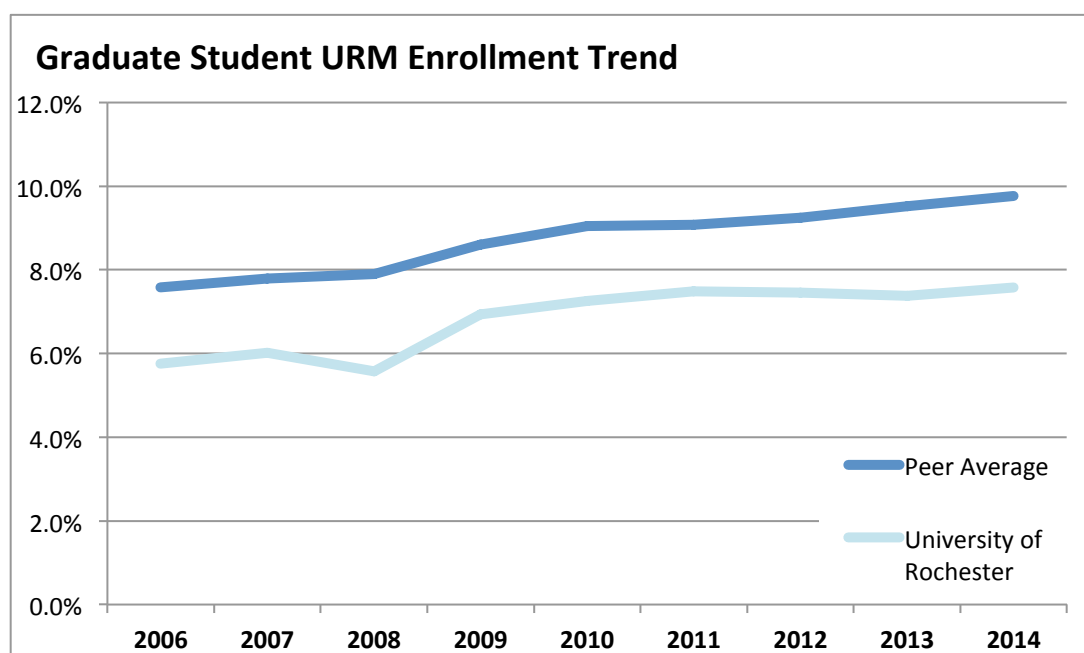
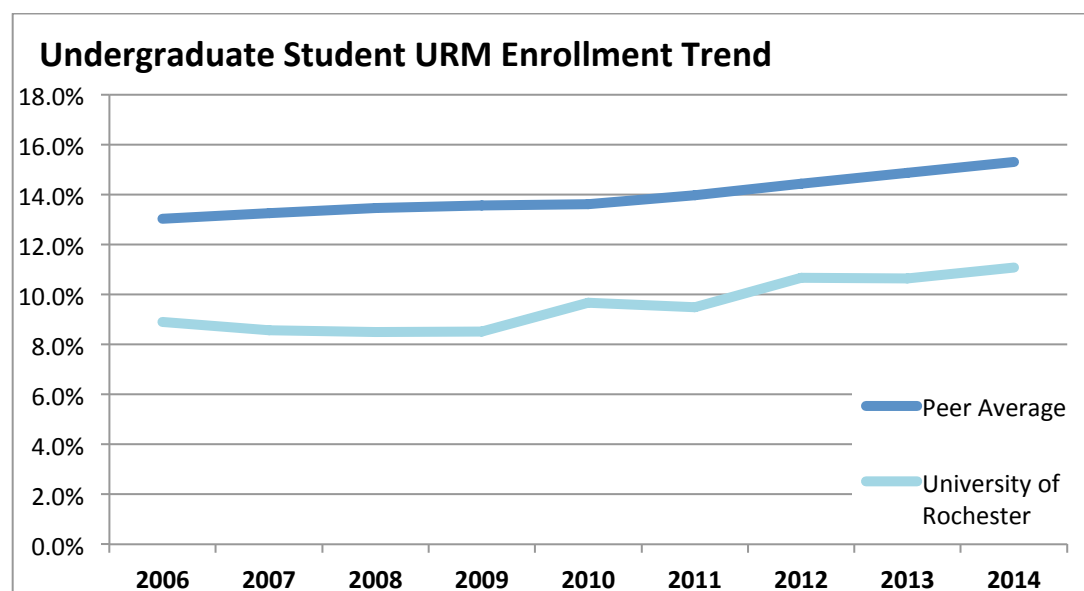


Percent Change in Percent of URM Faculty, 2006-2015

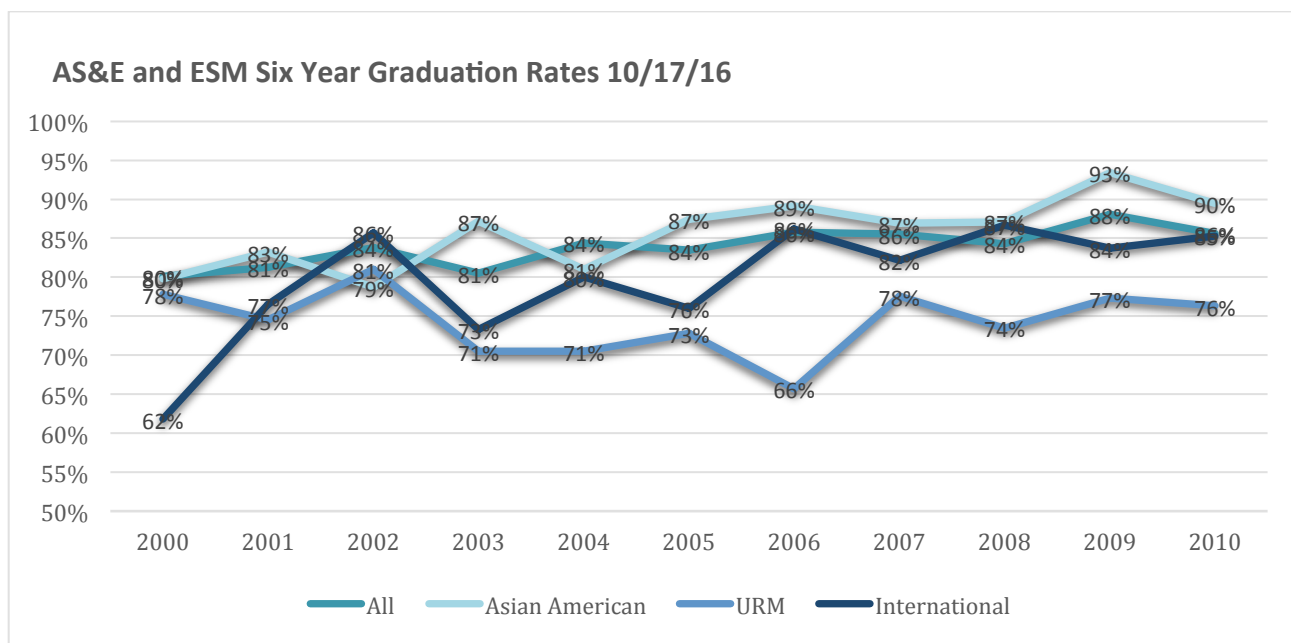


## Appendix N: Peer Institution URM Enrollment

Peer data is drawn from the Integrated Postsecondary Education Data System (IPEDS) and includes the following private universities: Brandeis University, Brown University, Carnegie Mellon University, Case Western Reserve University, Cornell University, Dartmouth College, Duke University, Emory University, Georgetown University, Johns Hopkins University, New York University, Northwestern University, Rice University, Tufts University, University of Chicago, University of Pennsylvania, Vanderbilt University, and Washington University in St. Louis.



## Appendix O: Arts Science & Engineering and Eastman School of Music Graduation Rates



The six-year graduation rate (right) is the most widely used measure of a college's success in seeing its students through to completion. This rate is the percentage of an entering class at a school that has graduated from that same school within six years. The following chart shows the six-year graduation rates for College and Eastman School undergraduates who began as freshmen in the years indicated. Because the College is so much larger than the Eastman School, the College graduation rates very closely track the rates displayed in this chart. The Eastman rates are generally similar, but show greater volatility due to the small number of students. Because some of the Eastman cohorts are very small, they are not displayed separately.

It will be useful to provide some context for these graduation rates. According to the National Center for Education Statistics, "The 2013 6-year graduation rate for first-time, full-time undergraduate students who began their pursuit of a bachelor's degree at a 4-year degree-granting institution in fall 2007 was 59 percent." The graduation rate at highly selective colleges and universities is considerably higher. The College's graduation rate was approximately 80% several years ago and rose to 88.2% in 2015. At this higher rate, it has almost closed the gap with its highly selective peers. Six-year graduation rates for underrepresented minority students are lower, both nationally and at the University. The gap between the overall rate and the rate for underrepresented minority students has averaged 10% for the past three years. Based on the IPEDS data currently available, we believe that the differences seen here are somewhat greater than those seen at some of our very highly selective peers. This issue requires additional analysis.

# Appendix P: Faculty Diversity Officer Reports

## Arts, Sciences and Engineering

April 2016

Jeffrey Runner and Beth Olivares, on behalf of AS&E deans

In what follows we draw much of our response from the Arts, Sciences and Engineering 2016 Status Report on Faculty Development and Diversity Efforts (April 2016), which we have attached for reference. Throughout we retain the Status Report's table and figure numbers.

### 1. What goals has Arts, Sciences and Engineering articulated regarding faculty diversity?

With guidance from AS&E's deans, the FDDOs pursue the following goals:

- Steadily increase the diversity of our faculty--specifically, the number of underrepresented minorities (URM) and women--across all disciplines and through the ranks.
- Ensure that all search committees have access to pool data and are familiar with best practices in faculty searching.
- Work closely with the deans to ensure that AS&E provides the resources necessary for active recruitment, and that school or departmental policies and procedures do not add unnecessary barriers to success.
- Conduct new faculty orientation and provide robust support to help new faculty acclimate to AS&E and support their development and retention.

### 2. How does Arts, Sciences and Engineering develop a diverse pool of applicants for faculty vacancies?

The following is excerpted from p. 6 of the Status Report. There we provide a step-by-step discussion of the process of hiring faculty, which includes efforts to develop a diverse pool of applicants.

#### Tenure track faculty hiring procedures in AS&E

We outline the faculty hiring process here, highlighting efforts to increase the diversity of the faculty.

#### Opening a search

AS&E authorizes up to 25 searches each academic year. Department chairs, in conjunction with Deans Lennie, Culver and Clark, determine curricular and research areas of need. These decisions are based on multiple factors, including school strategic plans and budget forecasts, planned retirements and other potential departures, as well as planned disciplinary growth. The deans typically approve searches in the summer and early fall, although searches can be approved at any time.

#### Advertising the position

Once a description of the position is completed, the deans' office ensures that it includes appropriate language regarding the school and department's interest in attracting a broadly diverse candidate pool. Research has proven that such statements have a positive impact on the eventual hiring of diverse candidates (Smith, 2004). After the advertisement is approved, it is distributed electronically and in

appropriate print outlets. All AS&E faculty openings are accessible on line. Departments are encouraged to advertise in print and on-line locations that tend to have an audience of women or underrepresented minority candidates.

### The search committee

The department chair constitutes a search committee, based on the sub-field in which the department is searching; committee membership is approved by the appropriate dean. (In a small department a search committee may be a committee of the whole.) Dean Culver oversees all searches in the School of Arts and Sciences, and Dean Clark those in the Hajim School of Engineering and Applied Sciences. Each committee has a chair and a number of members (typically 4-6) that runs the search and recommends short-list candidates to the department. AS&E deans encourage departments, when possible, to include faculty of color, both men and women, and senior and junior faculty members in all search committees. One Arts & Sciences department also includes graduate student representatives. Although the graduate students do not vote on candidates, they have input at each stage of the process. This is excellent pre-professional training for the graduate students, and is a practice the FDDOs encourage other departments to adopt.

### The applicant pool

The FDDOs use the Integrated Postsecondary Education Data System (IPEDS), a federal database, to provide each search committee seeking junior faculty with data on the racial and gender makeup of their potential applicant pool. We can give search committees relatively detailed information on recent PhD recipients by sub-field and institution. We provide pool data from all American Association of Universities (AAU) schools, and from a subset, the AAU 25, a smaller list of private universities with whom we most frequently compare ourselves (see an example set of pool data in Table 3). We also urge the search committees to continually seek out and communicate with departments producing URM and women PhDs.

Table 3. Example of AAU 25 pool data, 2015-2016 search year

Department	AAU 25	Women #	Women %	URM #	URM %
Art History	306	234	76.5	14	4.6
Economics	950	268	28.2	22	2.3
History	655	319	48.7	59	9.0
Physics	1134	199	17.5	26	2.3
Political Science	592	265	44.8	55	9.3

### AAU 25 PhDs (2012, 2013, 2014) IPEDS

We expect the actual applicant pools for searches seeking junior faculty to broadly reflect the national pool with respect to percentages of URM and women candidates. This national data are not a perfect representation of the pool (for example, not all of our hires are from the AAU, some departments look for candidates who have had one or more post-doctoral appointments, and many attract international applicants); however, it is a good proxy for the available pool of candidates.

### 3. How does AS&E ensure that faculty prospects receive a fair and unbiased review?

We again draw from the Status Report, here excerpting from pp. 6-7, which describes in some detail

how we work with search committees to ensure that faculty position applicants receive a fair and unbiased review.

### Best practice training

Once the search committee is established, every committee meets with the FDDOs for a discussion of best practices in searches, with a focus on ensuring that departments do everything possible to ensure that their candidate pools contain underrepresented minority and women candidates, and that all candidates receive unbiased review.

The FDDOs engage search committees—in many ways the most crucial agents in our efforts to diversify the faculty—in frank discussions about the value of diversity at the university. Search committees are urged to consider diversity explicitly in their deliberations; increasing the diversity of their departments and thus our school is part of their task. These discussions often reveal that faculty members are quite concerned about the homogeneity of the potential pool. The FDDOs' role is in part to help them to broaden their pool as much as possible, and show them how to direct their efforts most effectively in attracting talented applicants from all backgrounds. Since these meetings were implemented in the fall of 2010, the members of over 130 committees have been part of these conversations.

The FDDOs' advice to committees is grounded in the national literature on best practices in faculty hiring, their work with specialists, and broad knowledge of the culture of AS&E and our departments.

### Best practices include:

- Actively seeking out women and minority graduate students and post-doctoral appointees working in specific curricular areas
- Inviting such scholars for talks as graduate students or post-doctoral fellows
- Being in “search mode” even when there is not an authorized departmental search
- Becoming aware of one's own implicit biases prior to candidate review
- Not ranking candidates until the very end of the process
- Reading the research statement prior to letters of recommendation or reviewing the Curriculum Vita, so as not to be unduly swayed by the opinions of others or by academic pedigree
- Including graduate students as non-voting members
- Ensuring the participation of undergraduate and graduate students during all campus visits

In addition to outreach done by individual departments or search committees, AS&E actively recruits candidates annually at the Institute on Teaching and Mentoring<sup>13</sup> held by the Compact for Faculty Diversity. In addition, UR subscribes to the National Registry<sup>14</sup>, a clearinghouse for the Curriculum Vitae (CVs) of minority and women candidates who have expressed an interest in being recruited for faculty positions at Rochester and elsewhere.

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<sup>13</sup> [www.instituteonteachingandmentoring.org/attendee-information](http://www.instituteonteachingandmentoring.org/attendee-information)

<sup>14</sup> Contact either of the FDDOs for information



### Faculty On-line Recruiting Tool (FORT) and candidate review

AS&E uses a web-based system (FORT) to manage all applications and to organize committee review. Prior to submitting an application, each candidate must answer several demographic questions with respect to gender, ethnicity, ability and Veteran's status. Although each question must be answered, candidates may select "prefer not to answer" for any or all demographic questions. Search committees do not have access to this information until they have selected their short list candidates (those they would like to invite to campus for an interview). Even then, committees receive only demographic information on their applicants in aggregate.

### Implicit Bias in the review process

All of us—men and women, regardless of race, class, ethnicity, or socio economic status—are subject to unconscious bias. Unconscious thoughts and feelings can influence seemingly objective decisions and actions of even the most well intentioned person. Much social science research suggests that people are more prone to implicit bias when they are under time pressure, when the task involves ambiguity, and when the process includes non-verbal automatic processes such as sorting CVs. Examples of findings from the research include: “Blind” auditions, or having musicians sit behind a screen for symphony chairs, which result in an approximately 50% increase in hiring of women (Goldin & Rouse 2000). Both male and female scientists are more likely to “hire” male applicants and at a higher rate of pay, despite identical resumes (Moss-Racusin, et al. 2012).

Identical resumes with “white” sounding names and “African American” sounding names resulted in the “white” candidates being offered 50% more interviews (Bertrand 2004). Letters written for male medical school faculty applicants are longer and have more references to research while those written for women tend to be shorter, refer to personal traits, and have more faint praise and irrelevant information (Trix and Psenka 2003).

The good news is that when reviewers are conscious of the role implicit bias can have on the process, its potential adverse impact can be substantially reduced. Having briefly reviewed this literature during our conversations, the FDDOs recommend that each member of a search committee spend some time on-line participating in the Harvard Implicit Bias Project<sup>15</sup> prior to reviewing applicants.

### 4. What other actions is Arts, Sciences and Engineering taking to achieve the goals identified in (1)?

There are a variety of additional actions that we undertake to achieve our goals as FDDOs, as outlined above. The responses below draw from additional material in the Status Report, especially pp. 8-10. These include carefully attending to the demographics of the search committee-proposed short lists, ensuring that both students and faculty are able to participate in faculty campus visits, additional funding mechanisms that can support the hiring of a diverse set of faculty, and our efforts in pipe-line development.

### Short lists and campus visits

When the search committee determines which candidates they would like to interview, it requests a FORT-generated aggregate demographic report on the entire applicant pool, and on the short list. The committee then explains in writing why these are the top candidates. If the short list is homogeneous,

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<sup>15</sup> <https://implicit.harvard.edu/implicit/index.jsp>

the deans request a discussion of the absence of women or minority candidates on the list. The deans may request that a department revise a list that does not appropriately represent the pool. Both Deans Clark and Culver have done this.

Some departments conduct first round interviews at disciplinary conferences or by Skype. Many invite their short listed candidates to campus for interviews and to give a talk, to which graduate and undergraduate students, as well as faculty from associated fields, are invited.

After the visits are concluded, a department, with the approval of the dean, will make an offer to the preferred candidate, if any. The dean and department chair enter into a negotiation with the candidate. Many searches are unsuccessful; sometimes this is because our top candidate accepts an offer elsewhere, and sometimes it is because no sufficiently qualified applicant emerges from the pool. In cases where URM candidates have multiple offers, one of which is from AS&E, the Special Opportunity Fund (described below) can be leveraged to make our offer even more competitive.

This is one of the ways in which we try to increase the diversity of our faculty: if we identify a candidate we work very hard to make the hire. Faculty hired in a given search year may begin their appointment the following July 1, or at a later date more amenable to their professional schedule or the department's needs.

#### Target of opportunity hiring in AS&E

In addition to searches conducted through the mechanisms described above, AS&E faculty are also encouraged to seek outstanding faculty members who would add to the diversity of the department or school at any time. The deans encourage departments to advise them of unanticipated hiring opportunities that would greatly strengthen the department and AS&E as a whole, despite there being no approved search in the candidate's discipline. The deans emphasize their willingness to make opportunistic hires, at all levels, that will bring AS&E exceptional faculty, including, but not limited to, faculty members from groups that are underrepresented in their disciplines. In recent years, this mechanism has resulted in successful hires in several departments.

A special hire would be one that brings a department a faculty member who would not normally be accessible to the department because:

- The department does not have an active or promised search.
- The department has an active search, but the potential faculty member's domain of expertise is so far outside the disciplinary scope of the search that he or she could not reasonably be considered a candidate.

#### Office of Faculty Development and Diversity's Special Opportunity Fund

The Office of Faculty Development and Diversity has special funds available to help offset hiring costs. These funds can be accessed by all of the schools in the university, including AS&E. This fund can provide supplements to start up packages, additional salary, or other resources needed to attract diverse faculty candidates to the university. AS&E has leveraged this fund in recent years to attract a number of faculty members, including those affiliated with the Frederick Douglass Institute. To access this fund, departments should contact the appropriate dean.

## Pipeline development

A significant impediment to establishing a more diverse faculty is, in some disciplines, the small number of women and minority candidates. AS&E has made explicit investments to increase the diversity of our graduate programs, and invests heavily in the preparation of underrepresented undergraduates for careers in the academy. These efforts are coordinated through the David T. Kearns Center for Leadership and Diversity in AS&E. The mission of the Kearns Center is to expand the educational pipeline through the doctoral degree for low-income, first-generation college, and underrepresented minority students.

In 2010, the Kearns Center created a full time position for a staff member to work closely with the Office of Graduate Studies. Currently, Kevin Wilson, Assistant Director for Graduate Diversity in the Kearns Center, has primary responsibility for the recruitment and retention of graduate students of color in AS&E.

### 5. Has Arts, Sciences and Engineering been successful in its efforts to move toward its diversity goals? What are the challenges in trying to meet these goals?

The Status Report addresses this question in some detail. Here we draw from that report, excerpting material from pp. 2-5.

Overall, Arts, Sciences & Engineering has 357 tenured and tenure-track faculty during the academic year 2015-2016. Table 1 provides a current snapshot of AS&E faculty demographics by division.

Table 1. AS&E tenured and tenure-track faculty demographics 2015-2016.

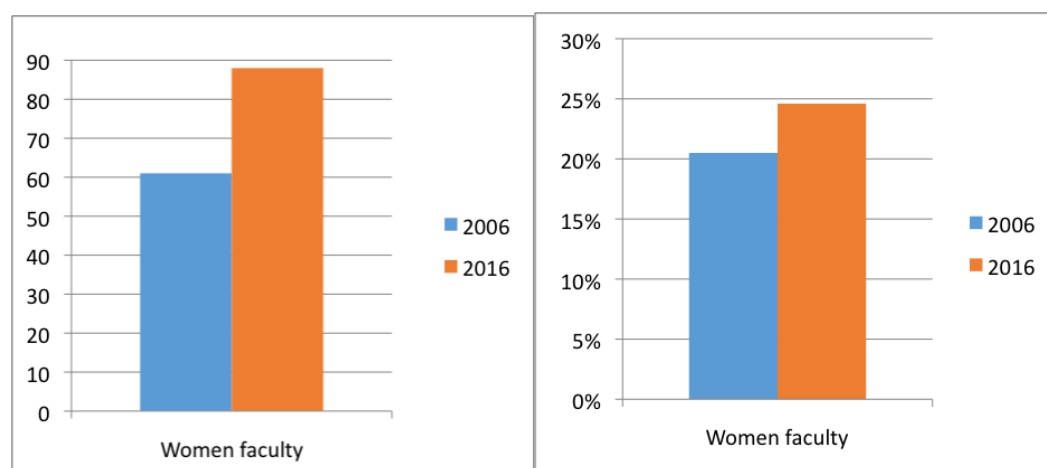
Division	Total faculty	# Non-URM Women	# URM Women	# URM Men
Humanities	71	26	3	3
Natural Sciences	114	19	1	5
Social Sciences	83	26	3	4
Engineering	89	12	0	5
Total	357	83	7	17

The total faculty of AS&E has grown by 20.2% in the past decade, from 297 to the current total of 357. The numbers of women (up 44%) and minorities (up 57%) have grown faster than the faculty as a whole. Table 2 shows the overall growth in the tenure track faculty since 2006, alongside the growth in the number of women and underrepresented minority faculty, and Figures 1 and 2 show this growth over time graphically.

Table 2. Underrepresented minority and women tenured or tenure-track faculty in AS&E, 2005-06 through 2015-16.

Year	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16
Total	297	311	307	328	325	338	349	348	351	362	357
URM	14	15	13	15	15	14	15	15	17	19	22
% URM	4.7%	4.8%	4.2%	4.6%	4.6%	4.1%	4.3%	4.3%	4.8%	5.2%	6.2%
Women	61	67	70	77	77	82	82	83	84	86	88
% Women	20.5%	21.5%	22.8%	23.5%	23.7%	24.3%	23.5%	23.9%	23.9%	23.8%	24.6%

Figure 1. Women Faculty Over Time, by number (left) and by percentage (right)



AS&E has increased the numbers of both underrepresented minority and women faculty; however, in order to understand the degree to which this indicates progress, we must compare AS&E faculty data with faculty data from peer institutions.

### Peer set faculty data

In order to determine whether our efforts are successful, we turn to comparisons of peer set data, to see how we rank against similar institutions. Data from the American Association of Universities Data Exchange (AAUDE) allow us to equate our demographic profile with those of a group of private universities against which we often compare ourselves: Case Western, Chicago, Duke, MIT, Northwestern, Vanderbilt and Washington University in St. Louis. While we do typically compare ourselves with a larger set of AAU non-Ivy League private universities, data are only available for the institutions listed, and from only 2009 through 2015.

Figure 3 shows the average percentages of women and minority faculty in these universities, calculated for sets of academic departments that match those in AS&E. Vertical bars show the interquartile range. The red squares indicate the peer set mean and the blue diamonds indicate the AS&E mean.

Figure 2. URM Faculty Over Time, by number (left) and percentage (right)

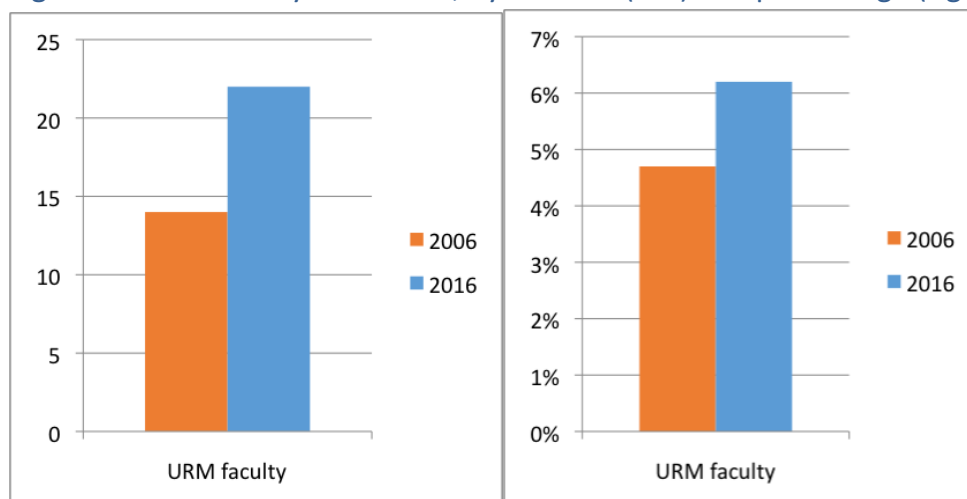
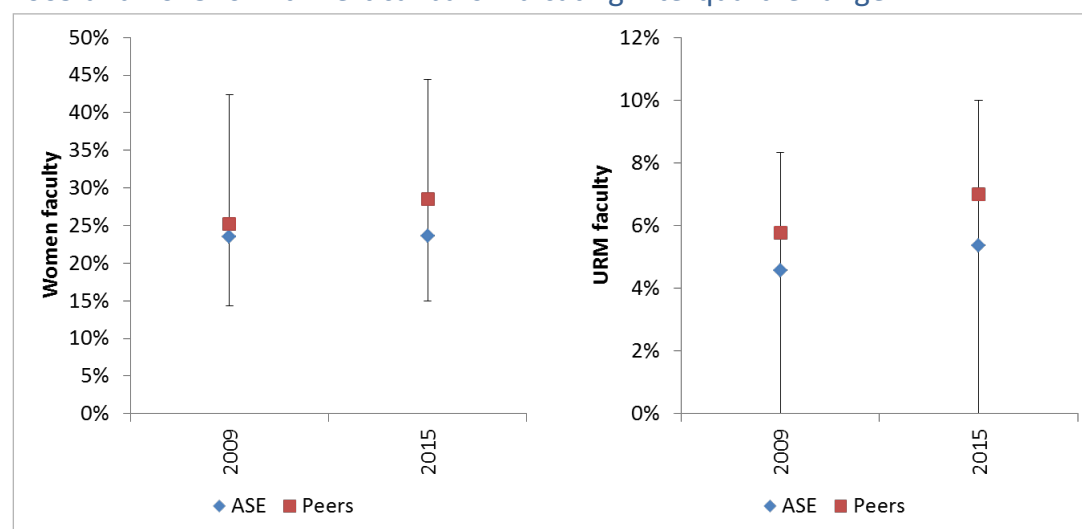


Figure 3. Percent women faculty (left panel) and URM faculty (right panel) in comparison set in 2009 and 2015<sup>16</sup> with vertical bars indicating interquartile range.<sup>17</sup>



The AS&E fraction of women faculty falls very close to our peer set mean, with little growth over time. AS&E's fraction of URM faculty has grown over time, though we remain below the mean of our peer set and our growth appears to be slower.

Figures 4 and 5 provide a more detailed view of changes across disciplines. Fig 4 shows that, although the fraction of women in AS&E does not make AS&E an outlier in any disciplinary division, we fall below the mean in all divisions. However, the AS&E social sciences departments have seen the largest increase in women faculty during this time period.<sup>18</sup>

<sup>16</sup> 2009 data were available for the entire peer set of seven schools. 2015 data were available for 4 of the 7. 2014 data was substituted for the missing 2015 data in Figures 3-5.

<sup>17</sup> This figure illustrates that the interquartile range for many of the peer set departments reaches zero. This means that at least 25% of the departments have no URM faculty. This is also the case for AS&E.

<sup>18</sup> While AS&E categorizes the Department of History within the social sciences, many other institutions consider it within the humanities. For the purposes of comparison we counted our peer set History departments as social sciences departments.

Figure 4. Percent women faculty in comparison set in 2009 and 2015 with vertical bars indicating interquartile range.

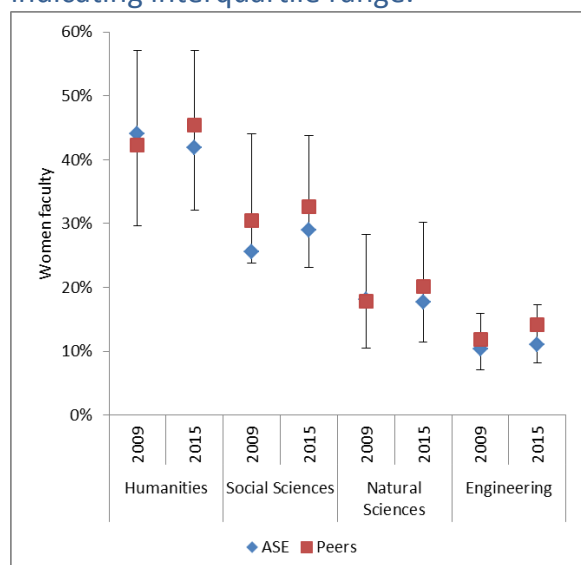
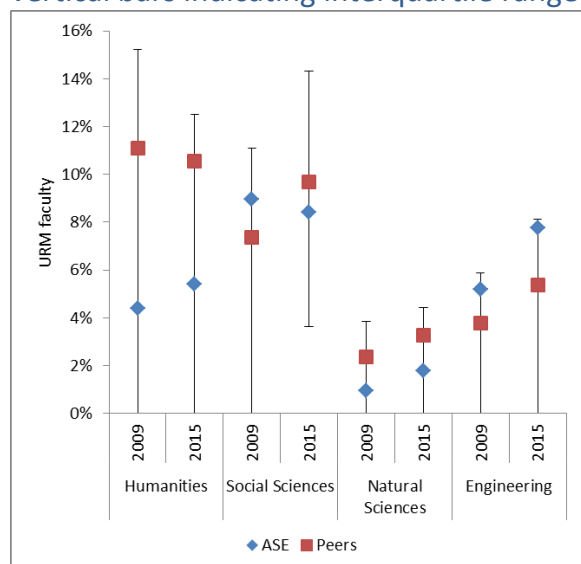


Figure 5 shows the fraction of URM faculty by division. As with women, our complement of underrepresented minority faculty does not make us an outlier, and in engineering we are doing better than our peers. We have seen growth in all divisions except the social sciences, but in the humanities and natural sciences we are still far below the average.

Figure 5. Percent underrepresented minority faculty in comparison set in 2009 and 2015 with vertical bars indicating interquartile range.



Summarizing, AS&E has strengthened the overall representation of women and URM faculty in the decade from 2006 to 2016, though not uniformly across all disciplines. For women faculty growth has been mainly in the social sciences; for URM faculty growth has been in all divisions except social sciences. Our profile does not make us an outlier among other private research universities, but for

both women and minority faculty we generally fall below the means of the distributions across different academic divisions, in some cases (e.g., women in social sciences, URM faculty in the humanities) conspicuously so.

#### **6. What does Arts, Sciences and Engineering do to support and mentor faculty? Are any of the steps especially relevant to the effort to diversify the faculty?**

As Faculty Development and Diversity Officers a central part of our job is devoted to supporting and mentoring faculty, and our efforts are designed with particular sensitivity to the needs of women and underrepresented minority faculty. This is discussed in the Status Report and here we draw from that report (p. 7).

##### **Faculty retention**

To create and sustain a welcoming and inclusive climate for all members of our community, we must provide the faculty we hire with the support they need to thrive. The FDDOs work with other faculty and staff to create multiple opportunities for new faculty to find others with similar research or personal interests. In particular, women and underrepresented minority faculty members can feel isolated, especially early on, and especially when they are the only one, or one of a small number of other women or URM faculty in their departments. One of our goals is to make sure new faculty never feel isolated in their departments, and can develop friendships and collaborations of various sorts across departments. We are a small school with small departments that do not hire frequently, so it is essential that new faculty have as many opportunities as possible to develop a sense of "home" in AS&E.

Over the past three years, the FDDOs have developed a series of informational and networking events that help us to achieve that goal.

##### **AS&E-specific new faculty orientations in August and January**

During orientation, new faculty members are introduced to all the deans and a variety of offices with which they will work as they develop their research and teaching careers in AS&E. The FDDOs begin preliminary discussions of the process of tenure and promotion. We discuss the value of mentorship and encourage new faculty to identify mentors in their departments and elsewhere. We establish our role as faculty development officers by making ourselves available to them to assist with their transition to faculty life in AS&E. Making new faculty feel welcome is an important part of this first event and a big part of that is having the new faculty meet each other and begin to develop relationships, both professional and friendship. Retention of newly recruited and hired faculty begins already at this stage.

##### **Other faculty development efforts**

In addition to the formal orientation, the FDDOs provide opportunities for the new faculty to meet their specific deans in a more casual atmosphere. This allows both the faculty to get to know their Dean, but for that Dean to get to better know her/his faculty. We also sponsor monthly lunches for pre-tenure faculty to get together in an informal setting to further develop their connections with one another. During the year we offer a variety of workshops that will be useful for all faculty, on teaching, research, tenure and promotion.

## Mentoring

As AS&E focused more deeply on faculty recruitment, the deans and FDDOs also attended to issues of faculty development and retention, specifically in regards to mentoring of junior faculty. An acceptable mentoring framework for Arts, Sciences and Engineering must accommodate wide variation across disciplines in the needs of faculty, and a uniform policy is unlikely to be useful or acceptable to departments. Nevertheless, there are core elements that the deans believe should be present in all policies and practices:

- Each department should make explicit its procedures for fostering and monitoring the early career development of faculty. A procedure for assessing the effectiveness of teaching, and for providing assistance in strengthening it.
- Each department should identify a mechanism through which junior faculty are offered help with key skills (such as grant-writing and book publishing) for managing research and scholarship.

### **7. What opportunities exist, if any, in Arts, Sciences and Engineering for students to be involved in the faculty recruitment process?**

Last summer, based on undergraduate student interest in the topic, the FDDOs commissioned a video in which a variety of undergraduate students discuss the reasons a diverse faculty is important to them. ([www.youtube.com/watch?v=owogyWB\\_lqE](http://www.youtube.com/watch?v=owogyWB_lqE)). The FDDOs show the video to every search committee in AS&E; it has engendered interesting and substantive conversations with the faculty. In addition, the FDDOs recommend that each search committee ensure undergraduate and graduate student participation in the process, particularly during the campus visits of short list candidates. This year, the Department of Biomedical Engineering made a concerted effort to attract undergraduate students to the job talks given by their candidates, with less success than they would have liked.

The full Status Report also includes additional information, for your review. We also anticipate providing more detail online.

## University of Rochester School of Nursing

### **1. What goals has the School of Nursing articulated regarding faculty diversity?**

The Faculty Search Committee (FSC) includes one faculty diversity office as a diversity representative member since the Committee started its work. The FDO has consulted with Beth Olivares, Dean for Diversity Initiatives and Director of David T. Kearns Center for Leadership and Diversity in AS&E, for best practice of addressing diversity and inclusiveness in faculty search process.

The FDO has participated in all FSC meetings to assure the Committee address diversity and inclusiveness through the following activities. In addition, the Chair of the FSC has copied the email communications between the Chair and an applicant to the FDO.

- Adhere to institutional policies and procedures that are related to the search process.
- The information for open faculty positions is posted on the SON website, which is available to everyone who is interested.



- All applications are submitted through the UR HRMS (Human Resources Management system), in which applicants are asked to provide information of race/ethnicity on a voluntary basis.
- Develop a systematic review process that offers every applicant a fair and equal opportunity to be evaluated. The review process includes screening applications, phone interview, on-site interview, evaluations (solicited from faculty, staff and students), and make recommendation to the Dean.
- Each stage has its own pre-developed criteria. The FSC ask the same questions to applicants in phone interviews. For those applicants who are local, phone interview is modified to in-person interview by the FSC; however the same questions are asked as in a phone interview.
- The SON hires faculty from disciplines other than nursing, which enhance inter-professional collaboration and education, a best practice advocated by the Institute of Medicine for cutting-edge research and education. It also helps cultivate an inclusive organizational climate.
- All applicants are offered the opportunities to ask questions at any time through emails to the Chair of the FSC.

## **2. How does the School of Nursing develop a diverse pool of applicants for faculty vacancies?**

Our HRMS posting has remained opened for the past 3 years so that we can continue to review all applicants, even if we have made our goal of recruitment for that year --- this affords us the opportunity to increase the number of applicants and to increase our chances of enhancing our diversity. We have also instituted a “visiting professor” process to engage faculty with the URSON (some from underrepresented groups) to hopefully increase their attention to the URSON.

## **3. How does the School of Nursing ensure that faculty prospects receive a fair and unbiased review?**

See response to #1 above – in summary, the FDO is a member of the Faculty Search Committee and the same process and interview questions are used for all applicants.

## **4. What other actions is the School of Nursing taking to achieve the goals identified in (1)?**

Dean’s Pre-doctoral Faculty Award – instituted as part of the commitment to RWJ, six RWJ/NCIN scholar graduates were selected to receive full financial funding to pursue doctoral education and mentoring as future faculty to develop a pipeline of faculty underrepresented in nursing (men and URM groups). Although this was begun as part of the RWJ initiative, plans are to continue with this program with one to two students from the Accelerated Program for Non-nurses (APNN) or MS program per year. All six students are currently teaching either in the lab setting or clinical setting in the APNN program. Currently, only one of the six would be appropriate for the tenure track, while the others are most appropriate for clinical track faculty.

## **5. Has the School of Nursing been successful in its efforts to move toward its diversity goals? What are the challenges in trying to meet these goals?**

Recruitment of tenure track faculty in nursing is a challenge nationally – regardless of the diversity of candidates. We successfully recruited LaRon Nelson, African American male in 2013 as a tenure-track faculty member. We were able to receive an anonymous donation of \$500,000, to which the SON added

\$250,000 to institute an Endowed Dean's Fellowship in Health Disparities. This was instrumental in the recruitment.

All six of the above pre-doctoral students are currently teaching or will be teaching beginning this summer in the APNN program. In addition, we have successfully recruited several clinical faculty underrepresented in nursing (gender and racial diversity). For our APNN program, every lab and clinical specialty group now has a faculty assigned who is underrepresented – this is an intentional process. For example, we have 8 faculty teaching the pediatric clinical rotation – at least one of those faculty every semester represents an underrepresented group. Racial/ethnic diversity of our faculty include: African American, Hispanic, Asian and Native American.

**6. What does the School of Nursing do to support and mentor faculty? Are any of the steps especially relevant to the effort to diversify the faculty?**

A formal process of mentoring was initiated for all junior tenure track faculty last year and is overseen by the Chair of SON Tenured Faculty. There is an informal process for clinical faculty and is the responsibility of the academic program director where the faculty member is most closely aligned.

**7. What opportunities exist, if any, in the School of Nursing for students to be involved in the faculty recruitment process?**

Students are all invited to the presentations given by candidates for the tenure track faculty positions. However, evaluations are not sought from the students. This is a process that we could definitely improve upon.

## **School of Medicine and Dentistry**

*April 6, 2016*

**1. Goals**

URMC has established the goal to be the preferred destination for students, faculty and staff. To do so, we must cultivate a diverse and inclusive environment. Increasing the number of SMD faculty from diverse backgrounds and those who are underrepresented in medicine is one component of the larger strategy.

**2. – 4. Faculty**

The SMD hires well over 100 faculty members annually. The majority of recruitment occurs at the division or department level except for the most senior level faculty positions such as department chairs and center directors.

Recruitment Resources. The Office for Inclusion and Cultural Development works closely with the Office of Academic Affairs on all chair and senior level recruitment efforts. The Senior Associate Dean for Inclusion and Cultural Development (SADICD) is part of the process for on-boarding the search committee members with an understanding of implicit bias. She works with the Senior Associate Dean

for Academic Affairs to develop a diverse search committee membership and encourage a diverse applicant pool. The SADICD is closely involved in the interview processes of chair applicants. In addition, she is available to department chairs and division chiefs to meet with any faculty recruits to provide information about the diversity and inclusion efforts across the university as well as the Rochester community.

The Senior Associate Dean for Inclusion and Cultural Development and the Office of Human Resources are available to provide implicit bias training to any and all departments conducting faculty searches. Chairs are encouraged to advertise open faculty positions on websites or in journals and publications that are read by women and under-represented groups of faculty. For example, for all senior level positions, it is suggested that the position be posted on the Executive Leadership in Academic Medicine (ELAM) website as this will likely be read by senior, successful women who may be interested in such leadership positions.

**Networks and Network Development:** Because a diverse faculty cannot be developed without linkages and networks across the educational continuum, a major component of the office is to facilitate formal and informal opportunities for students, residents, post-docs and faculty from diverse and under-represented in medicine backgrounds to connect to one another. Programs include facilitating and helping to support the student affinity groups, such as SPECTRUM, APAMSA, SNMA and LMSA, to have events in which residents and faculty, as well as community physicians are present. One such event includes the SNMA pre-medical conference in which the Office for Inclusion and Cultural Development assists with recruiting residents and faculty to be lunch leaders and discussants with student attendees as well as with the medical student leaders. In addition, there are informal programs for networking in which the office links faculty to the student organizations to participate in mentorship and networking.

Another focus for networking has been on developing a faculty community among under-represented faculty. In 2014 the Office for Inclusion and Cultural Development brought together more than half of the under-represented in medicine faculty for dinner and a discussion of what URSMD can do to facilitate a community into which residents will be comfortable joining the faculty. The group decided that they required a more formal physician group and established a Rochester-wide Black Physicians Network that is now working with the Office for Inclusion and Cultural Development to connect with other black physician faculty as well as to incoming or interviewing faculty members and residents.

For most junior faculty positions, especially clinical positions, there may not be a formal search committee, although identified candidates typically interview with relevant departmental faculty and staff and are evaluated by the department chair or center director along with other members of the departmental leadership team. Junior faculty members taking available clinical positions are often recruited from within our residency and fellowship programs. Therefore, we have developed a targeted effort to increase the number of residents and fellows from diverse and under-represented in medicine backgrounds. We have begun resident affinity groups, networking events with faculty members, and attendance at recruitment fairs for underrepresented in medicine medical students. These efforts were initiated in 2015 and are being expanded in 2016-17.

To facilitate networking and prioritization of needs, multiple committees have been established

including, the Faculty Diversity Liaison Committee to facilitate 2-way communication between the Office for Inclusion and Culture Development and department faculty; the new Executive Committee on Diversity and Inclusion to set priorities for URMC diversity and inclusion initiatives (includes students, trainees, faculty and staff; and the Women Faculty Advisory Committee to prioritize needs for women faculty.

In addition, the AVP/SAD for Inclusion and Culture Development meets annually and as needed / requested with the Medical Faculty Council to update them on the diversity and inclusion efforts, policies, procedures related to SMD faculty.

The AVP/SAD for Inclusion and Culture Development sits on the MEDSAC steering committee (promotions and tenure committee) as an ad hoc member thus being available for concerns or questions related to issues of diversity, family leave, etc.

## **5. Progress**

The SMD has been successful increasing the number of faculty from underrepresented in medicine backgrounds as see by the increase in numbers from 24 in 2009 to 57 in 2015 (Source of above data: University of Rochester Human Resources Management System; These are Full-time Hired Voting Faculty members (does not include instructors/senior instructors); snapshot as of 9/30/15. When accounting for all full-time, part-time and voluntary faculty members, as of October 2015, 85 faculty members are from groups underrepresented in medicine. In addition, 15% of faculty hired between October 2014 and September 2015 self-identified as coming from groups that are underrepresented in medicine.

## **6. Mentoring and Educational and Career Development Programs:**

The Office for Faculty Development, part of the Office of Academic Affairs, provides an institutional framework that includes a broad range of activities to reengage and support faculty in their multiple academic roles. The activities include mentoring, leadership, scholarship, and career development. There are multiple series including faculty development workshops, an annual faculty development colloquium, technology in medical education, leadership development series, Dean's Teaching Fellowship Program, mentor development core (part of the CTSI), UR mentors, a mentor consultation service, and many other opportunities including department level mentoring programs.

The AVP/SADICD is available to meet individually with students, trainees, faculty and staff at their request. She meets regularly with individual faculty who request her consultation on a variety of topics such as promotion, advancement, career development, balancing family and career, etc. The Office for Inclusion and Cultural Development has an internal nomination process to provide resources for faculty to attend the AAMC minority faculty development seminars (1-2 faculty members are nominated and apply annually). Between 2010-2014, 6 faculty members attended the minority faculty career development workshop.

Advancing women into leadership positions in academic medicine is crucial to diversifying academic medicine. The Office for Inclusion and Cultural Development has an internal nomination process to

provide resources for women faculty to attend the AAMC early and mid-career women faculty development seminars (a minimum of 2 per each program are nominated and apply annually). Between 2010-2014, 10 women attended the AAMC mid-career and five attended the early faculty career development workshops. In addition, the Dean's office nominates a senior woman annually to apply to the Executive Leadership in Academic Medicine (ELAM) program. Nine women have graduated from or enrolled in ELAM of whom 7 remain at the URSMD in senior leadership roles.

The Senior Associate Dean for Inclusion and Cultural Development recognized that while these programs are beneficial to those who attend, there are many more women who would benefit from similar programs. Therefore, in 2014-15 she began, in collaboration with the UR Susan B. Anthony Center a women's mid-career development program, Developing From Within, to provide leadership skills and education to a cohort of 15 women. The program meets 3 times over 6 months for a total of 4 full days and addresses topics such as academic medicine finance, negotiation skills, difficult conversations, etc. Because we wish to develop a cohort and network we also provide structured networking opportunities and additional targeted workshops.

In 2013, the Office for Academic Affairs established the Leadership Development Seminar for Chairs and Center Directors, which includes sessions on relevant topics such as supporting and developing faculty, culture and leading culture change, and diversity/inclusion.

The Office for Inclusion and Cultural Development co-sponsors and participates in many events throughout the medical center, medical school, school of nursing, university and community. Recognition and Awards: The Office for Inclusion and Cultural Development established the Faculty Diversity Award in 2013 to recognize the exceptional contributions and accomplishments of medical school faculty to fostering a diverse and inclusive medical school community. Recipients demonstrate this commitment through leadership in recruitment and retention efforts, teaching, mentoring, research, multi-cultural programming, cultural competency, community outreach activities and /or other initiatives. Award recipients are honored during the URSMD Convocation annually. The recipients' names are added to an award plaque that is posted in the medical school. We have recognized 3 faculty members in the two years of its existence.

## **7. Student Involvement**

Graduate students and trainees are welcome to attend seminars or Town Hall meetings by faculty or chair candidates and provide feedback to the search committee or department leader managing the recruitment for that position. As well, candidates may have separate meetings with GME trainees and/or graduate students in the department, often as a group, during the recruitment process.

# Warner Graduate School of Education and Human Development

Raffaella Borasi, Dean, Nancy Ares and Dena Phillips Swanson, FDOs

*April 7, 2016*

## **1. What goals has the Warner School articulated regarding faculty diversity?**

In alignment with our strategic plan, we have been pursuing the following goals specifically related to faculty recruitment over the last several years:

- Support scholarship activities and professional success of underrepresented faculty
- Increase pipeline of underrepresented faculty into academia in partnership with OFDD
- Ensure a demographically diverse pool of candidates for open faculty positions.

## **2. How does the Warner School develop a diverse pool of applicants for faculty vacancies?**

- FDOs participate as in all faculty search committees to support broadening the applicant pool and the review of applicants' qualifications.
- FDOs take the responsibility to proactively advertise open positions in special venues for members of underrepresented groups as a way to broaden the pool of applicants.
- FDOs continue to pursue direct recruiting of applicants and support staff/ faculty in such efforts.
- We work with the U of R's Faculty Development and Diversity Office in providing information about the diversity of community life throughout Rochester for applicants invited to campus for an interview.

## **3. How does the Warner School ensure that faculty prospects receive a fair and unbiased review?**

- As noted under question 2 above, FDOs participation in faculty searches serves to broaden the applicant pool and reduce bias in the screening process.
- Over the years, there have been multiple professional development opportunities for faculty to learn about biases in the review process.

## **4. What other action is the Warner School taking to achieve the goals identified in (1)?**

- The Dean's office and, sometimes, individual departments, fund writing retreats focused on concentrated time for faculty to write in a supportive environment. These are to support publication productivity in a school that is highly student-centered.
- Special efforts continue to be made to recruit and fund doctoral students of color.
- We have often hired doctoral students from under-represented groups into our Visiting Assistant Professor positions. These are 1-2 year contracts that provide advanced students and recent graduates opportunities to develop teaching experience and skills important to entering the academy upon their graduation, and can make them more attractive when applying to faculty positions.

- Whenever possible, we have taken advantage of the Special Opportunities Fund through the OFDD to help fund salaries for faculty of color.

**5. Has the Warner School been successful in its efforts to move toward its diversity goals? What are the challenges in trying to meet these goals?**

We start with reporting some data about tenure-track faculty over the past 15 (since Dean Borasi's tenure started):

- In 2001, the tenure-track faculty at Warner comprised of 17 faculty (of which only one [6%] was a faculty of color, and that faculty was untenured); currently, we have 21 tenure-track faculty (of which two [10%] are faculty of color, both tenured).
- Over the past 15 years, we hired a total of 33 tenure-track faculty (25 white faculty and 8 faculty of color) and over the same period of time 29 tenure-track faculty left for various reasons (22 white faculty and 7 faculty of color) – with “turn around” ratio of faculty who left/new faculty hired very similar across the two groups [88%].
- Of the 25 white faculty hired in this time period, 11 (44%) were tenured, 3 were denied tenure (12%), and 11 (44%) left (including one tenured faculty).
- Of the 8 faculty of color hired in this time period, 3 (38%) were tenured, 1 was denied tenure (12%), and a total of 6 (75%) left (including one tenured faculty).

Looking across this data we can state the following:

- We have been somewhat successful in hiring faculty from under-represented groups, as we hired 8 tenure-track faculty of color – representing  $\frac{1}{4}$  of the entire group of the tenure-track faculty hired.
- We have been successful in tenuring 3 faculty of color – the first tenured faculty of color at Warner. The percentage of faculty who achieved tenure out of those hired in this time period was essentially the same for faculty of color and white faculty (38% vs. 44%).
- We have struggled more with retention of faculty of color. Of the eight faculty of color hired into tenure-track positions, six have left (a 75% attrition rate) versus a 44% attrition rate for white faculty hired during that same span of time.
- We are in the process of developing an interview protocol with faculty of color (current and former) to identify factors that contribute to this higher attrition rate.

**6. What does the Warner School do to support and mentor faculty? Are any of the steps especially relevant to the effort to diversify the faculty?**

- Voluntary writing and research groups meet weekly to provide concentrated and collegial support for efforts to publish. This has been an ongoing effort over 8-10 years.
- Informal mentoring opportunities are available, with individual senior faculty serving as sounding boards, advisors, and, sometimes, co-authors.
- A one-semester junior leave is offered during faculty members' fourth year to support their work toward tenure.



- Mini-grants are available from the Dean's Office to provide seed money for research, primarily for pre-tenured faculty who apply for an external grant that is not funded.
- Warner has a grants specialist who supports faculty seeking external funding for research and professional development efforts.
- None of these is specific to diversifying the faculty.

**7. What opportunities exist, if any, in the Warner School for students to be involved in the faculty recruitment process?**

- Doctoral students host a lunch meeting with all tenure-track applicants who interview on campus.
- Doctoral students are invited to attend colloquia that faculty applicants give as part of their campus interview.

## Eastman School of Music Responses

*April 17, 2016*

**1. What goals has the Eastman School of Music articulated regarding faculty diversity?**

Increasing faculty diversity. No target numbers or quotas have been established.

Eastman expanded its mission statement several years ago by adding the following statement. "The Eastman School of Music strives to create a musical community that is rich with cultural, social, and intellectual diversity."

**2. How does the Eastman School of Music develop a diverse pool of applicants for faculty vacancies?**

- All searches are advertised through the Center for Black Music Research "jobs in the field."
- Position announcements are sent to historically black colleges with reputable music programs (e.g. Howard University).
- Colleagues in the profession are contacted and asked specifically about underrepresented minority members who should be contacted about opportunities.
- Search committees are strongly encouraged to actively seek underrepresented minority candidates.

**3. How does the Eastman School of Music ensure that faculty prospects receive a fair and unbiased review?**

The same way we expect all candidates to receive a fair and unbiased review. By trusting in the integrity and professionalism of our faculty and staff members to treat all applicants and candidates with the highest degree of respect.

**4. What other actions is the Eastman School of Music taking to achieve the goals identified in (1)?**

Eastman has had few viable underrepresented minority candidates for searches. In eleven years of



heading approximately fifty searches at Eastman, I have entered negotiations with only two very promising African-American faculty candidates. In the first instance, the candidate's points of negotiation could not be met. The individual was a third year, untenured professor at an institution not considered a peer school. The candidate demanded an appointment with tenure. We could not agree to this condition.

The second case occurred this past year. Eastman extended itself beyond salary and other conditions offered for any previous faculty candidate, and met all conditions articulated by the candidate. Ultimately, the candidate accepted a competing offer because it was located in the major metropolitan area where the candidate desired to live.

With the assistance of President Seligman, Vivian Lewis, and the special opportunities fund, Eastman is in the final stages of hiring an African American candidate for a position created specifically for this individual. The position is related to a special and unique opportunity. The candidate is highly qualified and someone we very much desire to be a part of the Eastman community.

Additional activities have been related to the intensive and strong work of Eastman's Diversity Committee. Having established the Eastman Departmental Diversity Initiative (EDDI), many visitors have come to Eastman over the past six years, many of whom are faculty members at other institutions. Others have been prominent performers who might be viable candidates for future applied faculty searches. All of our guests have interacted with the host department's faculty, our students, and members of the Eastman Diversity Committee, enriching our community by their artistry, scholarship, and the personal perspectives on diversity they have shared with us.

Other initiatives spearheaded by the diversity committee include organizing a community-wide engagement initiative on diversity through the *Expanding our Horizons/ Identities at Eastman* themed series, with two recent themes being Identities at Eastman: Talking about Religion and Identities at Eastman: Talking about Race, along with the highly regarded *Identities@Eastman* program during orientation spearheaded by the Student Life Office. These programs all demonstrate actions towards our addressing the multiple facets of diversity in the community.

**5. Has the Eastman School of Music been successful in its efforts to move toward its diversity goals?  
What are the challenges in trying to meet these goals?**

Not particularly. The number of qualified African American candidates has been woefully small. This is a widely recognized problem throughout all facets of the classical music field. Increasing diversity in symphony orchestras is a high priority among several major foundations.

Eastman is working to be part of the solution by recognizing that we will not be able to increase the diversity of our faculty, until we lead other music schools in educating a widely diverse student body. Toward that end, Eastman has started two programs for children with the aim of "growing our own." ROCmusic is an inner-city, tuition-free music program intended to provide opportunity to underrepresented minorities in the most challenged Rochester neighborhoods. Now in its third year, nearly 14 ROCmusic students are now enrolled in the School for the Arts—Rochester City

School District's highest performing high school. Many of these students are also enrolled in Eastman Pathways—a program that provides free music instruction in the Eastman Community Music School all the way through high school. Upon graduation, it also provides full scholarships for students admitted to the Eastman School of Music. Until Eastman (and other major music institutions), can populate our PhD programs with African American musicians, increasing the diversity of the faculty with African American candidates will remain a tremendously elusive goal.

**6. What does the Eastman School of Music do to support and mentor faculty? Are any of the steps especially relevant to the effort to diversify the faculty?**

Different departments have differing levels of mentorship from very formal to very informal. Senior Associate Dean Donna Brink Fox has been charged with instituting mentoring expectations and guidelines for each department.

**7. What opportunities exist, if any, in the Eastman School of Music for students to be involved in the faculty recruitment process?**

Students are very involved in the interview and selection process, but not in the preliminary recruitment process. For performance faculty searches, students attend recitals, interview the candidates, participate in Q and A sessions, and perform in master classes and/or private lessons.

For academic faculty searches, students attend classes taught by candidates, attend research presentations, and graduate students often meet with candidates for lunch.

In all cases, students complete candidate survey forms. The opinions shared by the students are considered with all due seriousness by the faculty search committees. Students do not typically sit on faculty search committees.

## **Simon Business School**

Simon Business School strives for a diverse community of faculty, staff, and students and supports activities to foster and welcome such a community. Simon is proud of its diverse student body and seeks to match this level of diversity among our staff and faculty.

Each functional area (Accounting, Economics & Management, Finance, Marketing, and Computer Information Systems & Operations Management) participates annually in their respective markets for new tenure-track assistant professors. The labor market for each functional area is highly coordinated globally with a job fair during its main annual academic conference. All recent or soon-to-be graduates are aware of where openings are posted (online and in publications) by all schools with openings, including Simon. As such, the process ensures a wide net is cast. Faculty on search committees are reminded of the importance of identifying qualified candidates from the full set of applicants, as opposed to relying on recommendations from peers at other schools.

In the first round of each search, each application is reviewed and a set of approximately 50 potential candidates is identified. These packets are then reviewed in more depth by two or three members of

the search committee and the committee discusses which 20 to 30 are to be interviewed at the conference (for 30 to 45 minutes). From those interviewed at the conference, the most promising candidates are invited to visit campus to present their research and to meet with faculty. Each area invites around 5 to 10 candidates.

In 2015-16 Simon invited 46 candidates to visit campus for assistant professor positions. Of these, 15 were women, 1 was of African descent (French citizenship), and 1 was Hispanic. Finance was the most challenging area to find underrepresented candidates – only 1 of the 14 campus visits was by a woman and none were minorities. This woman did, however, receive an offer. The only area that did not make a job offer to a woman or minority was Accounting. A woman was among the top two Accounting candidates and she would have received an offer had she not received an offer by Wharton. One of our offers was to a hispanic candidate whose wife had an offer from the department of Biostatistics and Computational Biology. Despite pulling out all the stops in recruiting this couple, they unfortunately chose elsewhere.

The current year's level of recruiting under-represented populations is much higher than in 2014-15 when only 6 of 42 campus visits were women and no offers were made to minorities. Currently, 8 of 39 tenure-track faculty are women, distributed across all ranks. Unfortunately, none are minorities. We will continue to strive to improve both of these measures of diversity among our tenure-track faculty.

Simon continues to seek under-represented faculty for our Clinical track and adjunct positions. An offer was made to a woman to be a Clinical Assistant Professor of Business Communications and Leadership, but she decided to remain at Cornell until her daughter graduates from high school. We hope to have her teach a leadership course as an adjunct to build a relationship with her for future recruiting. Simon also hired a woman as an adjunct marketing instructor, following her successes as a guest lecturer.

The greatest hurdle in building a suitably diverse faculty is the limited supply of PhD graduates from under-represented populations. The PhD Project is an organization ([PhDproject.org](http://PhDproject.org)) whose mission is to increase this supply by encouraging and advising candidates to pursue doctoral degrees in business. Simon recently renewed its support and involvement with The PhD Project. Sue Harris, Simon's PhD Administrator, and Ron Goettler, Senior Associate Dean of Faculty and Research, will be attending their November conference.

Given the difficulty of hiring tenured faculty in the senior market, the faculty at Simon are aware of the importance of mentoring their junior faculty to develop professionally. Such mentorship is both formal and informal. New faculty are formally reviewed in their second, third, sixth, and tenth years of service, though this timing may be accelerated as prompted by successes or external offers. With each formal review, a committee reads the candidates research papers and reviews his or her teaching and service contributions, providing comments on each element and suggestions for improvement. Due to Simon being a small school, informal mentorship between these formal reviews has been largely unstructured and allowed to evolve naturally through co-authored papers, co-advising of PhD students, interactions in weekly seminars, dining out together with visiting researchers, and frequent

lunches together. The benefits derived by junior faculty from our current approach to mentorship certainly varies across individuals. We are in the process of evaluating how this process can best be improved.

All PhD students are actively encouraged to participate in faculty recruiting by attending job talks and sharing comments with the faculty, both during and outside of the talk itself. MBA and MS students are not actively encouraged to attend these talks, though they are open to the public and students would be welcomed to attend and provide comments.

As noted in the opening, Simon is proud of its diverse student body and feel this student body helps when trying to attract minority faculty. We encourage members of the Presidential Commission on Race and Diversity to review Simon's annual FDO reports for a list of activities and student events that celebrate this diversity.

## Appendix Q: Special Opportunities Fund Commitments by Type of Support

This appendix was originally published on page 33 of the *Diversity Annual Report* from the Office of Faculty Development and Diversity: [http://www.rochester.edu/diversity/wp-content/uploads/2016/05/1918-Diversity-Annual-Report-FINAL\\_web\\_singlepages\\_REV.pdf](http://www.rochester.edu/diversity/wp-content/uploads/2016/05/1918-Diversity-Annual-Report-FINAL_web_singlepages_REV.pdf)

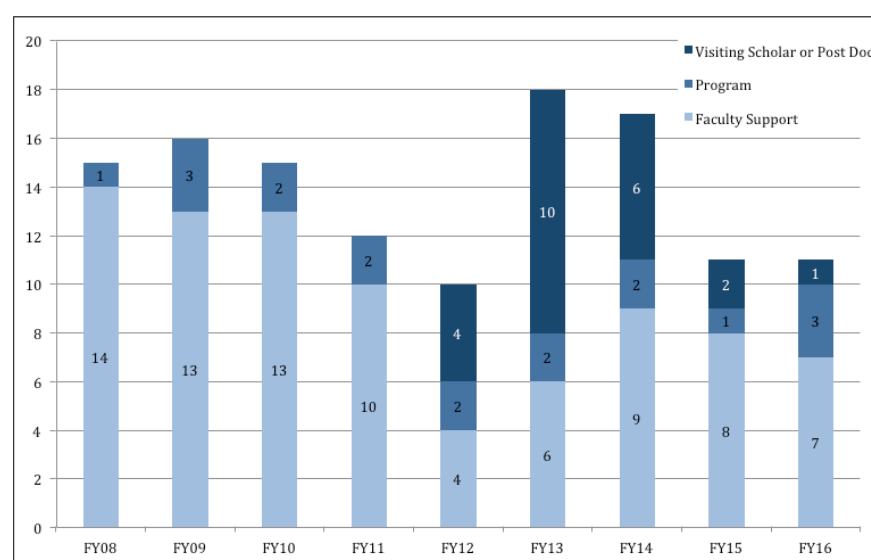
Fiscal Year	Faculty Support (New Hires, Retention, or Dual Career Support)	New Programs	Visiting Scholars and Post Docs	Grand Total
FY08	14	1	0	15
FY09	4	2	0	6
FY10	6	1	0	7
FY11	1	1	0	2
FY12	0	0	4	4
FY13	4	1	10	15
FY14	3	1	0	4
FY15	2	0	0	2
FY16	3	2	1	6
<b>Grand Total</b>	<b>37</b>	<b>9</b>	<b>15</b>	<b>61</b>

*Note: Of the 61 unique cases the fund has supported, 37 were faculty support which includes new hires, retentions, and dual career support, 15 visiting scholars and post-docs have been supported, and 9 different programs have been supported.*

### New and Continuing Programs

Fiscal Year	Faculty Support (New Hires, Retention, or Dual Career Support)	Programs	Visiting Scholars and Post Docs	Grand Total
FY08- FY16	\$3,458,150	\$249,985	\$484,492	<b>\$4,192,627</b>

*Note: Over the last ten years, we've committed more than 4 million dollars in support from the Special Opportunities Fund, most of which went directly to supporting new hires, retention plans, and dual career support.*



*Note: In past years' annual reports we have shown counts of new and continuing commitments per year, but the intent of this chart is to show the total number (and type) of commitments funded each year, and since almost all of the faculty support cases span financial commitments over multiple fiscal years, they should not be counted cumulatively. Some programs have also been funded over multiple years.*

# Appendix R: Proposed Presidential Diversity Council and Presidential Diversity Council Implementation Committee Membership

## Presidential Diversity Council (PDC) Proposed Membership

- Members
- President
- Provost
- Dean of the Faculty of ASE
- Dean of the College, ASE
- SMD Dean
- ESM Dean
- Warner Dean
- SON Dean
- Simon Dean
- SVP Admin and Finance
- AVP of HR
- Vice Provost for Faculty Diversity
- AVP of URM Culture and Inclusion
- Libraries Dean
- Designee from the Faculty Senate
- Chair of the IAC

## Special Advisors to the PDC

- Vice President, Senior Advisor to the President & University Dean
- Vice President & General Counsel

## Presidential Diversity Council Implementation Committee (PDCIC) Proposed Membership

- URM – Representatives from the Council on Diversity and Inclusion
- ASE – Kearns, OMSA, PJBICC
- SON – Representative from the Diversity and Inclusion Committee
- Eastman – Representative from the Diversity Committee
- Simon -- Representative from the Diversity and Inclusion Committee
- Staff – Co-chairs from the Diversity and Inclusion Committee
- Library – Diversity Committee
- Advancement Representative
- Facilities Representative
- Laser Lab Representative
- Public Safety Representative
- MAG Representative
- Warner Faculty or Staff Representative

## Students

- Medical Center Student Representatives
- ASE Student Representatives – Student Association, MSAB, GSOC
- Eastman Student Representative
- Simon Student Representative
- SON Student Representative
- Warner Student Representative

## PDC Charge

- Create long-term goals and objectives for diversity and inclusion
- Implement recommendations from the Commission on Race and Diversity
- In its first year, the PDC is expected to:
  - Integrate Strategic Planning of Diversity and Inclusion University wide:
  - Define University and divisional structures (and personnel) that will be needed to support recommended diversity and inclusiveness efforts, identify resources required and identify measures that will be used to evaluate the success of these efforts.
  - Target Areas of concern found in the Diversity Engagement Survey

## PDCIC Charge

- Implement recommendations from the Presidential Diversity Council in an efficient and coordinated manner
- On an ongoing basis, the PDCIC is expected to facilitate the implementation of critical PDC initiatives
- Specifically:
  - Share best practices and coordinate resources to ensure effective implementation
  - Examine and evaluate the status of action items
  - Identify barriers/propose solutions to facilitate effective implementation of PDC objectives

## Appendix S: AAU Peers with Medical Centers, Tenured and Tenure Track Faculty by Ethnicity and Gender

Institution Name	Fall 2005					Fall 2014				Change Over Time	
	Grand Total	Grand Total Women	% Women	URM	%URM	Grand total	% Women	URM	% URM	#URM	%URM
Brown University	567	153	27.0%	34	6.0%	780	269	34.5%	58	7.4%	24
Case Western Reserve University	896	256	28.6%	47	5.2%	1357	532	39.2%	68	5.0%	21
Columbia University (NYC)	1761	516	29.3%	97	5.5%	3814	1568	41.1%	330	8.7%	233
Cornell University	1428	344	24.1%	84	5.9%	1790	611	34.1%	133	7.4%	49
Emory University	1082	297	27.4%	78	7.2%	1963	797	40.6%	197	10.0%	119
Harvard University	1668	396	23.7%	75	4.5%	2152	636	29.6%	150	7.0%	75
Johns Hopkins University	2332	686	29.4%	121	5.2%	3587	1414	39.4%	231	6.4%	110
New York University	1905	607	31.9%	128	6.7%	5028	2049	40.8%	433	8.6%	305
Northwestern University	1148	288	25.1%	66	5.7%	2111	779	36.9%	154	7.3%	88
University of Chicago	1075	261	24.3%	41	3.8%	2004	670	33.4%	112	5.6%	71
<b>University of Rochester</b>	<b>1226</b>	<b>332</b>	<b>27.1%</b>	<b>30</b>	<b>2.4%</b>	<b>2061</b>	<b>740</b>	<b>35.9%</b>	<b>86</b>	<b>4.2%</b>	<b>56</b>
University of Southern California	1459	348	23.9%	75	5.1%	2184	765	35.0%	181	8.3%	106
Vanderbilt University	1175	298	25.4%	57	4.9%	3408	1551	45.5%	208	6.1%	151
Washington University in St Louis	1187	248	20.9%	52	4.4%	1547	476	30.8%	100	6.5%	48
Yale University	1299	377	29.0%	72	5.5%	2695	1023	38.0%	167	6.2%	95

2005 Source: US Department of Education: National Center for Education Statistics: IPEDS Peer Analysis System Full-and Part-time staff by Primary Occupational Activity Fall 2005

2014 Source: US Department of Education: National Center for Education Statistics: IPEDS Peer Analysis System Instructional Staff with Faculty Status Fall 2014