



Building on Excellence

Guide to Recruiting and Retaining
an Excellent and Diverse Faculty
at Stanford University

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An excellent and diverse faculty

By John Etchemendy, Provost and Professor of Philosophy

Recruiting and retaining an excellent and diverse faculty is hard work, even at an institution as known for excellence as is Stanford University. This publication and the programs it describes reflect our intention to vigorously pursue an exceptional and diverse faculty with all the commitment, resources and energy we can summon.

Building diversity—broadly defined—within the professoriate and ensuring fairness for all in the hiring and promotion process are challenges for all of higher education. All institutions face similar problems. For instance, minorities and women are often underrepresented in our candidate pools. And, despite best intentions, they may sometimes be subject to an unconscious bias imposed by a society that has not yet fully recognized the value of its own diversity. At Stanford, we believe we have a special obligation to confront these and other challenges and to succeed in our efforts.

First, we believe that to be considered world class, an institution like Stanford must reflect the multi-racial, multi-ethnic society and pluralistic democracy that serve as a foundation for the university. Second, we believe that a diverse campus community enriches the educational and scholarly environment by bringing varied interests, experiences and perspectives to the teaching, learning and creative activities that constitute our core mission. Third, we recognize that our prominence brings with it added responsibility, namely, that we assume a leadership position here as we do in our other pursuits.

And finally, seeking an exceptional and diverse faculty fulfills the vision of our founders, who wanted their university to “resist the tendency to the stratification of society, by keeping open an avenue whereby the deserving and excep-

tional may rise through their own efforts from the lowest to the highest station in life. A spirit of equality must accordingly be maintained within the University.”

I have had the privilege of participating in the hiring, mentoring and promotion of many very worthy Stanford faculty members in my roles as a department chair, dean and now provost. I start with the assumption that, as faculty members, we are here to pursue and disseminate knowledge for the benefit of society.

When talking about the creation of knowledge, people often use the metaphor of building an edifice, constructed one building block at a time. While this may be a useful metaphor in that the creation of knowledge is indeed a communal project with many people contributing individual pieces, it is not quite right.

Building blocks—such as bricks—are the same shape and dimension. Thus the metaphor implies that all contributions are the same. But new knowledge—new discoveries, new insights—are never homogeneous. Diversity allows for new shapes, textures and imaginings of knowledge; it encourages the innovation and insight that are essential to the creation of knowledge. A diverse community of scholars asks diverse questions and has diverse insights, and so pushes the forefront of knowledge further faster; providing, in turn, a richer educational environment for our students.

The underlying message contained in the various programs described in this publication is that tried and true methods of recruiting, hiring and retaining well-qualified and diverse faculty members are not enough. We must think anew and we must rigorously review our perceptions, our assumptions and our methods of identifying, recruiting and supporting faculty if we are truly to serve our mission.

Stanford's commitment to faculty diversity

President John Hennessy and Provost John Etchemendy presented the following statement on faculty diversity at a meeting of the Stanford Faculty Senate on May 31, 2001. The statement was subsequently endorsed by the Board of Trustees.

For many years Stanford University has had a commitment to enhancing the diversity of its faculty. This commitment is based, first and foremost, on the belief that a more diverse faculty enhances the breadth, depth and quality of our research and teaching by increasing the variety of experiences, perspectives and scholarly interests among the faculty. A diverse faculty also provides a variety of role models and mentors for our increasingly diverse student population, which helps us to attract, retain and graduate such populations more successfully.

The President and Provost wish to emphasize Stanford's continuing interest in and commitment to increasing the diversity of our faculty and to providing access to equal opportunities to all faculty independent of gender, race or ethnicity. More specifically, we assert our commitment to the following steps, some of which reaffirm existing university policies, and others that extend those policies:

1 Faculty searches are obligated to make extra efforts to seek out qualified women and minority candidates and to evaluate such candidates. It is the obligation of the search committee to demonstrate that a search has made a determined effort to locate and consider women and minority candidates. This obligation must be taken especially seriously for senior appointments where active outreach to potential candidates is required as part of the search process. Department chairs and deans have the responsibility to make sure that these obligations have been fulfilled.

2 We will make use of incentive funds and incremental faculty billets to encourage the appointment of candidates who would diversify our faculty, such as women and minorities in fields where they continue to be underrepresented. Our goals are two-fold. First, we want to encourage the normal process of diversification, which should occur as a byproduct of outreach during searches. Second, we hope to accelerate this process by encouraging departments and schools to take advantage of opportunities to appoint additional equally qualified candidates from underrepresented groups who are identified during searches but who (for reasons such as their area of specialization) may not be the first choice of the search committee. This second mechanism is especially important in fields where the small pool of available candidates means that opportunistic approaches are important.

3 The Provost has established an Advisory Committee on the Status of Women Faculty and is in the process of forming an Advisory Committee on Faculty Diversity. These committees will work with the Provost and his staff to explore ways in which we can foster the goals of gender, racial and ethnic diversity and equal opportunity for our faculty.

4 We will continue to monitor and report on the representation of women and minorities on the faculty, as well as their tenure and promotion rates, on a yearly basis to the Faculty Senate. We hope that sharing the data will continue to keep this issue on the agenda of school deans, department chairs, faculty search committees and the faculty as a whole.

5 We will support and mentor all junior faculty, and we will continue to use a review process for tenure and promotion that is based on a candidate's contributions to research and teaching and that is appropriate for the candidate's area of scholarly interest.



Faculty members at Commencement

6 We will continue to evaluate faculty salaries, with special emphasis on women and minority faculty salaries, through an objective methodology (the so-called quintile analysis). Any inequities in salaries—whether for women or men, minorities or non-minorities—will be sought out and corrected.

7 We will also monitor the distribution of university resources that support individual faculty research programs, including both research funds and space, to ensure that the distribution of the university's resources is not based on improper factors (such as gender, race or ethnicity). Any such inequities discovered will be corrected.

8 We seek to increase the representation of women and minority faculty in leadership positions in departments, schools and the university administration. In addition, in the process of appointing faculty to leadership positions—such as department chair, associate dean or dean—we will consider the efforts and effectiveness of the candidates in promoting and enhancing faculty diversity and equal opportunity. Such criteria will also form a part of the yearly review of all faculty leaders.

9 Attracting and retaining the best faculty members in an increasingly diverse society requires us to have a university that is supportive of faculty diversity, both in the

composition of the faculty and in their scholarship. Stanford University seeks and promotes an academic environment for each faculty member that is collegial, intellectually stimulating and respectful of his or her contributions and accomplishments. Such an environment should enable the highest quality scholarship and teaching, and provide every faculty member a voice in department decision-making.

10 Realizing that small pool sizes and pipeline problems continue to affect the availability of talented women and minority faculty candidates in many fields, Stanford will continue a strong effort to seek out and support graduate students who bring diversity to our university. As an institution, we will encourage women and minority students to pursue academic careers.

Finally, we acknowledge that no single policy is likely to be sufficient to achieve our goals. Instead, a concerted implementation of a variety of approaches is necessary to achieve an overall university culture that fosters effective diversity and that can serve as a national model for other universities. While we view this statement and these policies as an important first step, careful attention to practices and viewpoints throughout the faculty will be needed to make significant progress. We call upon all our colleagues to engage actively in this important effort.

Recruiting an excellent and diverse faculty

Stanford University's commitment to enhancing the diversity (broadly defined) of its faculty recognizes that research and teaching are enriched by a variety of perspectives and that students must be prepared to achieve in a world that is increasingly global and diverse. The following faculty recruitment practices are offered as guidelines to assist schools and departments in achieving the benefits of a diverse faculty.

1 CREATE A DIVERSE SEARCH COMMITTEE

A diverse search committee helps to ensure a diverse candidate pool. Deans or department chairs should:

- A. Actively monitor the composition of search committees to ensure that they include members with different backgrounds, perspectives and expertise.
- B. Make an effort to appoint members with demonstrated commitments to diversity and members of groups that are underrepresented in the school or department.
- C. Ask one member of the committee to serve as a diversity officer, if appropriate. Faculty serving in this position are responsible for monitoring the inclusiveness of the candidate pool and the procedures of the search process.
- D. Consider adding an outside individual with relevant expertise who would add diversity to the search committee if the small number of women and minority faculty in the department or school prevents their involvement.

2 CONSIDER THE COMPOSITION OF CANDIDATE POOLS

In order to ensure a diverse and well-qualified candidate pool, search committees should:

- A. Discuss selection criteria and strategies for identifying qualified candidates from diverse backgrounds (including from underrepresented groups).
- B. Define the position broadly so that qualified candidates from diverse backgrounds are not excluded.
- C. Obtain the best data about availability pools to assess whether women and minorities are underrepresented at entry or senior levels in the relevant Stanford department or fields. Particular efforts should be made to increase the sources of information concerning potential candidates from any such underrepresented groups.

3 LOOK IN THE RIGHT PLACES

Identifying appropriate candidates who would add diversity often requires more than standard announcement and recruitment practices. Search committees should:

- A. Advertise in specialty journals targeted to women and minorities, which indicates concern about diversity and may identify promising applicants.
- B. Consult relevant publication lists and databases and make personal contacts with colleagues at other universities to expand the candidate pool. The Faculty Recruitment Office can assist search committees by identifying useful resources.
- C. Approach women or minority candidates who you assume are unavailable, perhaps due to family constraints or a partner's employment. Assumptions should be verified through direct inquiry because Stanford offers many programs designed to aid in recruiting such faculty members.

- D. Expand the short list at the time of scheduling interviews to include consideration of candidates who would contribute to diversity, especially in departments where the desired diversity may not exist (such as, for example, where women or minorities are underrepresented in relation to the relevant applicant pool at either entry or senior levels). Personal interviews may allow qualified individuals to demonstrate previously overlooked strengths.
- E. Consult the dean's office or the Provost's Office to ascertain if any resources are available to subsidize expenses of additional interviews of candidates who would bring diversity to the faculty.
- F. Provide mentoring to promising undergraduate and graduate students to increase the potential applicant pools nationwide in areas where women and minorities are underrepresented.

4 MONITOR THE DIVERSITY OF SEARCH PROCESSES

The adequacy of a search process is hard to assess after the fact. Search committees should:

- A. Monitor diversity-related efforts throughout the process, including asking for a review of the short list before it is finalized.
- B. Seek active oversight by deans and the Provost's Office to encourage appropriate proactive measures by chairs and departments.

5 USE PROACTIVE RECRUITMENT STRATEGIES

- A. Consult with peer institutions to identify promising recruitment strategies, as well as candidates.
- B. Adapt to special circumstances and particular opportunities. In areas where women or minorities, for example, are significantly underrepresented, it may be appropriate to evaluate all potential female or minority candidates

and to consider adjusting subject matter priorities in light of the availability of qualified candidates.

- C. Become informed about potential resources, such as the Faculty Incentive Fund, which can be used for the recruitment of women, minorities and other candidates who would bring diversity to the professoriate; and the Gabilan Provost's Discretionary Fund, which is used primarily for the recruitment and retention of women faculty in the sciences and engineering.

6 CONSIDER THE CONCERNS OF UNDERREPRESENTED RECRUITS

- A. Be mindful of possible concerns that underrepresented minority and female recruits might have about working at Stanford. Such concerns may include family leave, child care, spouse/partner employment, a sense of isolation and/or possible excessive work burdens (e.g., committee service and mentoring/advising of female and minority students).
- B. Describe to recruits appropriate policies regarding efforts to diversify the faculty to ensure that they are understood.
- C. Identify contacts and resources such as relevant university web sites. Individuals in charge of recruiting (generally chairs and deans) should be familiar with the relevant policies and resources and be able to make appropriate referrals.
- D. Use the Faculty Recruitment Office as a source of information. The Faculty Recruitment Office will meet with recruits to provide information and referrals, for instance, concerning employment opportunities for spouses and partners. It can also arrange meetings of recruits with faculty from other schools and departments with related interests.
- E. Interview candidates who rejected offers to identify any potential strategies for future searches.

7 BASIC INTERVIEW GUIDELINES
UNDER FEDERAL LAW

TOPIC	QUESTIONS TO AVOID	PERMISSIBLE QUESTIONS
Age	Age, date of graduation	None
Citizenship	Whether candidate is a U. S. citizen Place of birth	Whether person is eligible to work in U. S.
Disabilities	Any question that is for the purpose of eliciting information about a disability	Questions about how candidate would perform the job and whether candidate could perform teaching, research and other related job functions with or without accommodation
Marital and family status	Questions about marital status, child care, children or pregnancy	May inform candidate that information regarding university family policies and services is available and then refer candidate to appropriate campus resources (Faculty Development Office, WorkLife Office, Faculty Affairs Office)
Race	Any question about individual's race, national origin, ethnicity, or (unless relevant) languages spoken	None
Religion	Questions about religious affiliation	None

For more information, contact the Office of the General Counsel at (650) 723-9611.



Professors Claude Steele and Hazel Markus team teach a psychology class.

Retaining an excellent and diverse faculty

Stanford works hard to retain faculty members who bring excellence and add diversity (broadly defined) to the university. The following retention practices are offered as guidelines to assist Stanford schools and departments in supporting and retaining their faculty.

Although policies on retention are difficult to formalize, schools should nevertheless:

- 1** Devise strategies for providing appropriate individual support and recognition, and some measure of horizontal equity among faculty.
- 2** Ensure that professors feel appropriately valued, lest they seek or become vulnerable to outside offers.
- 3** Dispel perceptions that outside offers are the only way to gain rewards.
- 4** Reward faculty appropriately for their productivity and contributions regardless of their mobility or their interest in pursuing outside offers.
- 5** Recognize outstanding performance through monetary compensation and also through opportunities for leadership or for initiatives of special interest to the faculty member and the institution.
- 6** Give faculty members an opportunity to voice concerns and receive feedback through annual meetings with their department chair (or the dean or his/her designee in schools without departments).
- 7** Provide information and guidance about benefits and policies periodically (for example, policies for new faculty parents, research support and teaching buy-out opportunities) that either may not always be clear in their application to particular circumstances or that may be subject to deans' or chairs' discretion. Good communication about such matters is important.

Guidelines for junior faculty counseling and mentoring

Providing support, guidance, advice and feedback to junior faculty is a high priority for Stanford. In their statement on faculty diversity (page 2), President John Hennessy and Provost John Etchemendy expressed the university's commitment to supporting and mentoring all junior faculty.

There is variation across the university in how this support and guidance is provided, and the university does not mandate a particular methodology. However, it is expected that counseling and mentoring will occur on a regular basis. This document outlines the general expectations for the kinds of support, advice and feedback junior faculty members should receive.

COUNSELING

Counseling, which is the first aspect of guiding junior faculty, entails providing feedback on performance relative to the standards for reappointment and promotion. The university's Faculty Handbook specifies that "deans, department chairs or their delegates should confer annually with each junior faculty member in their department or school to review his or her performance in the light of the criteria for reappointment or promotion."

Among the topics that should be discussed are the junior faculty member's teaching performance and research/scholarship quality and productivity, including progress in such indicators as books, publications and grant funding, as appropriate. In some schools counseling is carried out by the department chair; in others, the dean or associate dean meets with each junior faculty member.

In one school, the senior faculty in an area meet annually to discuss the junior faculty member's progress prior to the

annual discussion. In another, the meeting includes the junior faculty member, the dean, the department chair and the individual's mentor. It is important that this discussion include someone, like the chair, who has recent experience in the appointment and promotion process and can provide advice informed by recent participation in that process.

These counseling sessions should include direct reference to—and discussion of—the university's and the school's criteria for reappointment and promotion, as set forth in the university's Faculty Handbook (available online at <http://facultyhandbook.stanford.edu>) and as supplemented by the school's handbook. The comparative and predictive aspects of the tenure decision should be stressed, as should be the point that these judgments are not generally able to be made until the referee letters are received as part of the evaluation process. For this reason, counseling the junior faculty member that he or she is "on track" to gaining tenure is inappropriate.

There is also variation across schools in viewpoint and practice as to whether there should be a written record of these annual discussions. The university leaves this matter to each school's discretion. However, the university does require a written record—the counseling memo—at the time of reappointment and promotion.

The counseling memo is submitted with the recommendation papers. It is expected that the counseling memo submitted with the file is in draft form. Only after completion of the review process should the counseling letter be finalized and then given to the faculty member, preferably followed shortly by a meeting between the faculty member and the chair or dean at which the issues raised in the letter should be discussed.

MENTORING

The second aspect of the guidance to be offered to junior faculty is mentoring, meaning ongoing advice and support regarding the junior faculty member's scholarship and teaching. The university's Faculty Handbook says "schools are expected to have policies and practices for providing mentoring to junior faculty." These vary across the university.

In general, it is recommended that junior faculty be assigned mentors who are senior faculty members but not department chairs. The mentor should be available to provide guidance on an ongoing basis and should meet at least annually with the junior faculty member. In situations in which the initial mentor assignment may not be successful, deans or department chairs should work with the junior faculty member to identify a suitable mentor.

INFORMATION SESSIONS

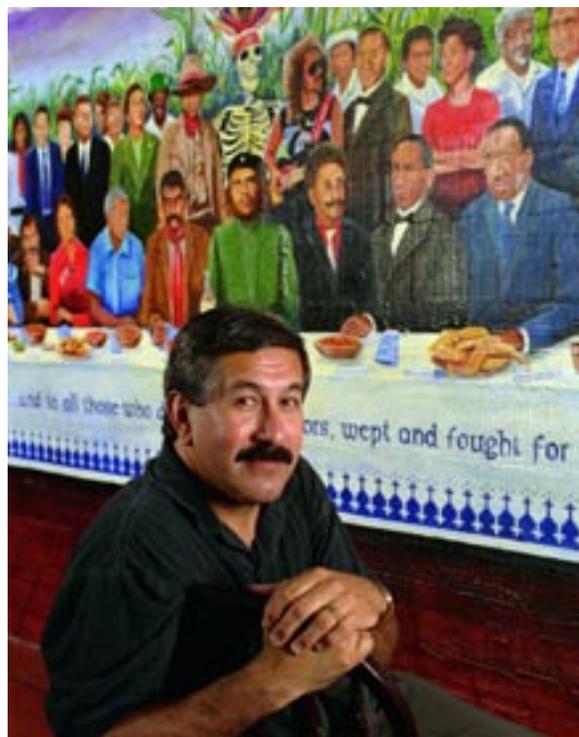
While central university resources such as the Center for Teaching and Learning and the Vice Provost for Faculty Development provide some general orientation and information sessions for new and junior faculty, topics for which practices vary significantly among schools or departments should be discussed with junior faculty locally, by the school and/or department through information sessions and/or mentoring. These topics might include teaching and grading strategies and practices, graduate student advising, expectations regarding publications in the specific field, expectations for and sources of grant funding and financial management of grants.

THE JUNIOR FACULTY MEMBER'S RESPONSIBILITIES

The core purpose of junior faculty counseling and mentoring activities is to provide candid and helpful feedback and guidance to the individual. The goal is to provide a supportive atmosphere to assist junior faculty in succeeding in their academic careers.

However, it should also be recognized and communicated to the junior faculty that the ultimate responsibility for career trajectory and success lies with each faculty member himself or herself. Thus, it is up to the junior faculty to respond to invitations to meet with their mentors, department chairs or deans; to request such counseling and mentoring sessions if such sessions are not otherwise scheduled for them; to attend information sessions offered to them; and to become familiar with policies and procedures concerning reappointment, tenure and promotion—in particular, those included in the university and school faculty handbooks.

For more information about these guidelines, contact Vice Provost for Faculty Development Patricia Jones (patjones@stanford.edu, 650-725-8471) or Faculty Affairs (facultyaffairs@stanford.edu, 650-723-3622).



Albert Camarillo, professor of history

University resources for faculty recruitment and retention

Stanford University provides the following mechanisms to encourage efforts to recruit candidates who bring diversity (broadly defined) to the faculty.

TARGET OF OPPORTUNITY

The faculty appointment process at Stanford normally begins with a national (and often international) search for the best available person who fulfills the needs of the open position. Faculty search committees are required to engage in a rigorous effort to identify qualified women and minority candidates. Occasionally a department or school identifies without a search a truly exceptional individual who would greatly enrich its faculty, e.g., by bringing uniquely outstanding scholarship and/or diversity to the department. In such “target of opportunity” cases, a search waiver may be requested from the provost. Search waivers for junior faculty are granted only in extraordinary circumstances and in situations with compelling needs.

FACULTY INCENTIVE FUND

The Faculty Incentive Fund helps make it possible for departments and schools to make incremental appointments of qualified individuals who would bring diversity to the faculty; this can include minority scholars and (in disciplines in which they are underrepresented) women scholars, as well as others who would bring additional dimensions to the university’s research and teaching programs. In some cases these individuals are not in the precise field in which the department is searching but are in fields that are appropriate for Stanford.

The need for the fund stems from two aspects of Stanford’s faculty appointments situation. First, the rates of faculty growth and turnover are very low; as a result, the university has very few openings, which must of necessity be defined relatively narrowly in order to fulfill the particular academic needs of the departments and schools with these openings. Second, the distribution of minority and women scholars does not map evenly onto the academic disciplines. This means that, particularly with respect to minority scholars, there may be little overlap in any given year between the set of disciplines in which there are hiring opportunities and those in which there are qualified candidates who would increase faculty diversity. The Faculty Incentive Fund resources provided by the provost, together with support supplied by the school, become a tool that facilitates optimum use of the availabilities of scholars who would bring diversity. For more information, contact Faculty Affairs at facultyaffairs@stanford.edu or (650) 723-3622.

GABILAN PROVOST’S DISCRETIONARY FUND

In addition, thanks to an anonymous gift of endowment to the university in 2000 that has been named the Gabilan Provost’s Discretionary Fund, there are resources available for the recruitment and retention of faculty in the sciences and engineering, particularly women faculty. Department chairs and deans work directly with the Provost’s Office to secure these funds. For more information, contact Vice Provost for Faculty Development Patricia Jones at (650) 725-8471.

Stanford offices that offer assistance

DEANS' OFFICES

Each of Stanford's seven schools is administered by a dean, who is responsible, both academically and administratively, to the provost. The Office of the Dean within each school generally contains specialists in human resources, faculty affairs and many other university functions.

FACULTY AFFAIRS

The provost's Faculty Affairs group advises university leadership on decisions related to faculty and faculty policies and maintains and provides accurate information about faculty matters. Staff members manage appointments and promotions; salary setting, leaves and retirement; faculty personnel files; faculty appeals; policy development and communication; and policy management and exception requests. They also manage data related to faculty, including appointments, demographics, leaves, base salaries, billets, endowed professorships and administrative appointments. The office works with school deans' offices, the Advisory Board and the provost to ensure compliance with Board of Trustees and Academic Council policies and to facilitate communication on issues related to the professoriate and other teaching staff. Call (650) 723-3622 or write to facultyaffairs@stanford.edu.

FACULTY DEVELOPMENT OFFICE

The Faculty Development Office, led by Vice Provost for Faculty Development Patricia Jones, supports the faculty through a variety of programs and information resources. Included are orientation and informational events and resources for new and junior faculty, workshops for department chairs and deans and initiatives supporting faculty diversity. The Faculty Development Office also serves as

a central information resource for all faculty and provides referrals to other offices on campus and in the community. Visit the web site at <http://facultydevelopment.stanford.edu/OFD.html> or call the Faculty Development Office at (650) 736-0384.

FACULTY RECRUITMENT OFFICE

The Faculty Recruitment Office, which is part of the provost's Faculty Development Office, assists in faculty recruitment and retention to ensure that Stanford has a well-qualified and diverse faculty. The office is under the direction of Associate Vice Provost for Faculty Development Sally Dickson.

The Faculty Recruitment Office is charged with:

- assisting deans, chairs and faculty search committees with outreach efforts in developing talented and diverse applicant pools, and
- serving as a central information resource for all faculty recruits and newly hired faculty in their transition to the Stanford community.

For deans, chairs and search committees, the Faculty Recruitment Office can:

- assist in coordinating candidate visits
- publicize on-campus job talks
- answer questions recruits may have
- provide candidate recommendations from women and minority Ph.D. databases
- access online links to minority professional organizations and publications

For new and prospective faculty members, the Faculty Recruitment Office can:

- provide information on the local communities
- help in seeking spousal or partner employment opportunities
- offer referrals to university resources relating to teaching and research
- identify ethnic and cultural community centers on and off campus
- give information on community services and resources, including local public school systems, dining and entertainment

Contact the Faculty Recruitment Office at (650) 725-2376 or visit the web site at <http://facultydevelopment.stanford.edu/FRO.html>.

BENEFITSU

BenefitSU, which is part of Human Resources at Stanford, is staffed by professionals who can answer questions related to health benefits, retirement benefits and such offerings as the tuition grant program. Benefit representatives are available 8 a.m. to 5 p.m., Monday through Friday, to answer questions. BenefitSU also offers an extensive web site with self-service information and forms at <http://benefitsu.stanford.edu/>. Send e-mail to benefitsu@stanford.edu.

CENTER FOR TEACHING AND LEARNING

The Center for Teaching and Learning supports the communication of knowledge and the love of learning by faculty in the classroom. The center promotes excellence in teaching at all ranks and excellence in student learning inside and outside the classroom. Services for faculty members include:

- Small-group evaluations
- Videotaping classes
- Classroom observation
- Teaching at Stanford handbook
- Departmental or small group workshops, lectures and reading groups

- Library of books and videotapes
- Teaching orientations
- Speaking of Teaching newsletters
- Assistance with teaching portfolios
- Handouts on teaching
- Information on teaching and technology
- Oral communication courses

Visit the web site at <http://ctl.stanford.edu>.

DIVERSITY AND ACCESS OFFICE

The Diversity and Access Office advances the university's affirmative action goals and commitment to diversity and creates an environment in which differences are both welcomed and appreciated. The office ensures university compliance with federal, state and local regulations concerning diversity and disability.

Specifically, the office coordinates and monitors campus compliance with the requirements of the Americans with Disabilities Act (ADA) and Section 504 of the Rehabilitation Act. This includes providing guidance and evaluating efforts to improve access to campus facilities and programs, as well as advising staff, faculty and visitors regarding disability accommodations.

Contact the office at (650) 723-0755, (650) 723-1216 TTY or visit the web site at <http://www.stanford.edu/dept/oct/diversityaccess/index.html>.

FACULTY HOUSING

The Office of Faculty Staff Housing administers Stanford's extensive housing assistance programs for eligible faculty and senior staff. The university offers the Housing Allowance Program, the Mortgage Assistance Program, the Deferred Interest Program and the Residential Ground Lease Program. Call (650) 725-6893, e-mail FSHousing@stanford.edu or visit the web site at <http://fsh.stanford.edu>.

NORTHERN CALIFORNIA HIGHER EDUCATION RECRUITMENT CONSORTIUM

The Northern California Higher Education Recruitment Consortium (NorCal HERC) is a collaborative of Northern California campuses that jointly list job openings on the Internet. HERC is an effective tool in assisting the spouses and partners of faculty and staff to secure employment in Northern California, where dual careers are often financial necessities. HERC includes more than 25 state universities, community colleges and private colleges and universities. Visit the web site at <http://www.norcalherc.org>.

OMBUDS OFFICES

Both Stanford University and the Stanford Medical Center have ombuds offices, whose mission is to help protect the interests and rights of members of the Stanford community, assisting with redress of wrongs and resolution of disputes with impartiality and confidentiality. An ombuds works to resolve conflicts and concerns through a non-adversarial approach as an alternative to formal grievance procedures. Contact the university ombuds at (650) 723-3682 or via e-mail at ombuds@stanford.edu or the Medical Center ombuds at (650) 498-5744.



Andy Goldsworthy's *Stone River* is among the works in the university's extensive collection of outdoor art.

SEXUAL HARASSMENT POLICY OFFICE

The Sexual Harassment Policy Office, under the direction of Laraine Zappert, implements the university's Sexual Harassment Policy, investigates allegations of violations of the policy and assists schools and departments in understanding issues surrounding sexual harassment in the workplace.

Call the Sexual Harassment Policy Office at (650) 723-1583 or visit the web site at <http://harass.stanford.edu>.

HELP CENTER

The Stanford Help Center provides professional, confidential, brief counseling to faculty and staff at Stanford, including the hospitals and clinics and the Stanford Linear Accelerator Center. People seek help for such issues as job stress, relationship issues, parent-child concerns, care of elderly parents, substance abuse and grief and loss. Spouses, domestic partners and children younger than 21 are also eligible. All contacts with the Help Center are confidential. The center is staffed by licensed clinical social workers, marriage and family therapists and psychologists. Call (650) 723-4577 or visit the web at <http://www.stanford.edu/dept/ocr/helpcenter/>.

WORKLIFE OFFICE

The WorkLife Office assists faculty, staff and students in reaching a balance among their work, study, personal and family lives. Services include child-care resources and referrals, parent education and consultation, elder care and care-giving support and strategies for navigating work and life. Call (650) 723-2660 or visit <http://worklife.stanford.edu>.

Legal considerations in recruitment and retention

In our efforts to diversify the faculty, attention must be given to the federal and state laws governing employment discrimination. Taken together, these laws in essence prohibit discrimination in employment on the basis of any of the following characteristics: race, ethnicity, national origin, color, ancestry, gender, age, religion, disability, medical condition, pregnancy, marital status, sexual orientation and veteran status.

The law in the areas of equal opportunity, non-discrimination and affirmative action is evolving and can be complex. Below is a very brief summary of some of the laws that are operative in these areas. **For more information, please contact the Office of the General Counsel on the third floor of Building 170 in the Main Quad or call (650) 723-9611.**

Equal Pay Act of 1963 protects men and women who perform substantially equal work in the same establishment from sex-based wage discrimination.

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color or national origin under any program or activity from institutions receiving federal financial assistance.

Title VII of the Civil Rights Act of 1964 prohibits discrimination in employment on the basis of race, color, religion, sex or national origin.

Title IX of the Education Amendments of 1972 prohibits sex discrimination under any program or activity from institutions receiving federal financial assistance.

Age Discrimination in Employment Act of 1967 (ADEA) prohibits age discrimination in employment in regards to individuals 40 years old or older.

Sections 503 and 504 of the Rehabilitation Act of 1973 are federal civil rights statutes that prohibit federally funded programs and activities from discriminating against qualified persons with disabilities.

Americans with Disabilities Act (ADA) of 1990 is a federal law that gives civil rights protections to individuals with disabilities by prohibiting discrimination against individuals with disabilities in the areas of employment, state and local government services, public accommodations, transportation and telecommunications.

Uniformed Services Employment and Reemployment Rights Act (USERRA) of 1994 is intended to minimize the disadvantages to an individual that occur when that person needs to be absent from his or her civilian employment to serve in the country's uniformed services.

California Fair Employment and Housing Act prohibits discrimination in employment on the basis of race, religion, color, national origin, ancestry, physical disability, mental disability, medical condition, marital status, sex or sexual orientation.

Executive Order 11246 requires employers that receive federal contracts to take affirmative action in employment and not to discriminate based on race, color, sex or national origin.



Appendix

Equal Employment Opportunity Statement Reaffirmation of Policy

By John Hennessy, President

Stanford University is an institution dedicated to the pursuit of excellence. Central to that premise is our institutional commitment to the principle of diversity. To encourage such diversity, we prohibit discrimination and harassment and provide equal opportunity for all employees and applicants for employment regardless of race, color, religious creed, national origin, ancestry, sex (including gender, as defined under the California Fair Employment and Housing Act), sexual orientation, veteran status, marital status, age, disability, medical condition or any other trait or status protected by applicable law. Furthermore, it is the university's policy that there shall be no discrimination or retaliation against employees who raise issues of discrimination or potential discrimination, who participate in the investigation of such issues or who request or take family leave pursuant to the California Family Rights Act (CFRA) or the federal Family and Medical Leave Act of 1993 (FMLA).

A simple policy of equal employment opportunity, however, may not suffice to attract a diverse applicant pool to our campus. Some barriers are built into our society and, therefore, require the more active responses characteristic of affirmative action for locating and recruiting applicants. Hiring decisions that appear to have been reached neutrally may in fact be discriminatory if the applicant process is not accessible to women and minority group members.

The university does not sacrifice job-related standards when it engages in affirmative action. The best-qualified person for a given position must always be hired; that is the essence of equal opportunity. Affirmative action simply asks us to cast our net more widely to broaden the competition

and to develop innovative personnel management strategies for groups that have historically been underrepresented in certain roles in our society.

The president and provost have delegated certain key responsibilities for the implementation of equal employment opportunity and affirmative action programs and practices to the Diversity and Access Office, (650) 723-0755.

Effective action, however, requires the personal involvement of all members of the Stanford community. In particular, academic administrators, managers and supervisors must individually invest time and effort to accomplish our institutional objectives.

We have made much progress, but there are still areas that require our attention. The distribution of women and minorities among the ranks of the professoriate, in senior administrative positions and in a number of other areas is far from ideal. Continued dedication and attention by the members of our community is called for, particularly in the face of low representation of women and minorities in certain availability pools.

Stanford University, therefore, reaffirms its commitment to diversity and affirmative action, as well as to equal opportunity. Our educational purposes will be served best if the country's demographic diversity finds a presence on campus, and we thereby reflect the full range and the full capacity of this society.

Stanford will update and reaffirm this statement annually.

—*January 2005*

Equal Employment Opportunity and Affirmative Action Policy and Policy of Equitable Compensation

Administrative Guide Memo 23

GENERAL PERSONNEL POLICIES

Authority

This Guide Memo was approved by the president of the university.

Applicability

This policy applies to all employees of the university.

Summary

The policies in this Guide Memo are the basis of Stanford University's employment policies.

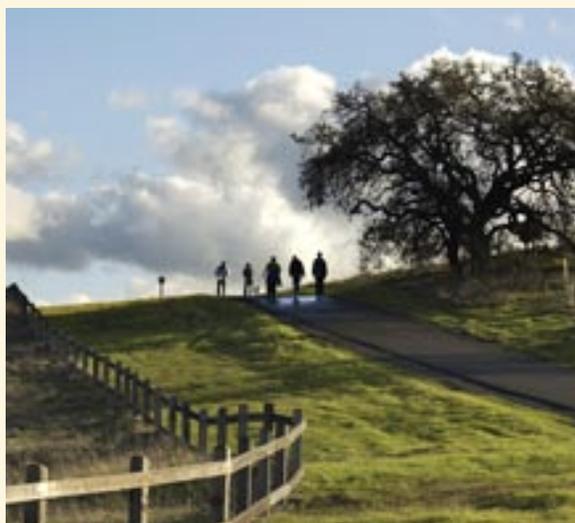
1 EQUAL EMPLOYMENT OPPORTUNITY AND AFFIRMATIVE ACTION POLICY

- A. *Equal Employment Opportunity*—It is the policy of Stanford University to provide equal employment opportunities for all applicants and employees in compliance with all applicable laws. This basic policy applies in all employment relationships. Administration of this policy affects recruiting, selection, placement, supervision, compensation, training, promotion, demotion, transfer, layoff and termination. All university personnel policies, procedures and practices must subscribe to the intent of this basic policy.
- B. *Affirmative Action*—As a matter of both institutional policy and its obligation as a federal government contractor, Stanford University is committed to principles of diversity and affirmative action and will comply with all affirmative action requirements in accordance with law.

- C. *Non-retaliation*—Stanford University policy prohibits retaliation against individuals who raise issues of potential discrimination or who participate in an investigation of any claim of discrimination.

2 POLICY OF EQUITABLE COMPENSATION

- A. *Compensation for Work Performed*—It is the policy of Stanford University to pay salaries and wages that equitably reflect the duties, responsibilities, value, amount and quality of the work performed by an employee in comparison with other university employees, regardless of the sources of funds.
- B. *Compensation Practices*—It is the intention of the university to set salary scales that are competitive with those of other employers for similar work under similar working conditions insofar as it is within the financial ability of the university to do so.



The Stanford foothills

Gender Equity in Academic Science and Engineering

Following a meeting at the Massachusetts Institute of Technology in January 2001, Stanford President John Hennessy and leaders of eight other research universities issued the following joint statement. In it, they agree to work toward gender equity for women faculty in science and engineering.

Institutions of higher education have an obligation, both for themselves and for the nation, to fully develop and utilize all the creative talent available. We recognize that barriers still exist to the full participation of women in science and engineering. To address this issue, we have agreed to work within our institutions toward:

1 A faculty whose diversity reflects that of the students we educate. This goal will be pursued in part by monitoring data and sharing results annually.

2 Equity for, and full participation by, women faculty. This goal will be pursued in part by periodic analysis of data concerning compensation and the distribution of resources to faculty. Senior women faculty should be significantly involved in this analysis.

3 A profession, and institutions, in which individuals with family responsibilities are not disadvantaged.

We recognize that this challenge will require significant review of, and potentially significant change in, the procedures within each university, and the scientific and engineering establishment as a whole.

We will reconvene to share the specific initiatives we have undertaken to achieve these objectives.



Sharon Long, professor of biological sciences and dean of the School of Humanities and Sciences, with postdoctoral fellow Raka Mitra

Look to Future of Women in Science and Engineering

This opinion piece by John Hennessy, Susan Hockfield and Shirley Tilghman appeared in the Boston Globe on Feb. 12, 2005.

Harvard President Lawrence Summers' recent comments about possible causes of the underrepresentation of women in science and engineering have generated extensive debate and discussion—much of which has had the untoward effect of shifting the focus of the debate to history rather than to the future.

The question we must ask as a society is not “Can women excel in math, science and engineering?”—Marie Curie exploded that myth a century ago—but “How can we encourage more women with exceptional abilities to pursue careers in these fields?” Extensive research on the abilities and representation of males and females in science and mathematics has identified the need to address important cultural and societal factors. Speculation that “innate differences” may be a significant cause of underrepresentation by women in science and engineering may rejuvenate old myths and reinforce negative stereotypes and biases.

Why is this so important? Our nation faces increasing competition from abroad in technological innovation, the most powerful driver of our economy, while the academic performance of our school-age students in math and science lags behind many countries. Against this backdrop, it is imperative that we tap the talent and perspectives of both the male and female halves of our population. Until women can feel as much at home in math, science and engineering as men, our nation will be considerably less than the sum of its parts. If we do not draw on the entire talent pool that is capable of making a contribution to science, the enterprise will inevitably be underperforming its potential.

As the representation of women increases in every other profession in this country, if their representation in science and engineering does not change, these fields will look increasingly anachronistic, less attractive and will be less strong. The nation cannot afford to lose ground in these areas, which not only fuel the economy but also play a key role in solving critical societal problems in human health and the environment.

Much has already been learned from research in the classroom and from recent experience on our campuses about how we can encourage top performance from our students. For example, recent research shows that different teaching methods can lead to comparable performance for males and females in high school mathematics. One of the most important and effective actions we can take is to ensure that women have teachers who believe in them and strong, positive mentors, male and female, at every stage of their educational journey—both to affirm and to develop their talents. Low expectations of women can be as destructive as overt discrimination and may help to explain the disproportionate rate of attrition that occurs among female students as they proceed through the academic pipeline.

Colleges and universities must develop a culture, as well as specific policies, that enable women with children to strike a sustainable balance between workplace and home. Of course, achieving such a balance is a challenge in many highly demanding careers. As a society we must develop methods for assessing productivity and potential that take into account the long-term potential of an individual and encourage greater harmony between the cycle of work and the cycle of life—so that both women and men may better excel in the careers of their choice.



Alexandria Boehm, assistant professor of civil and environmental engineering

Although we have a very long way to travel in terms of recruiting, retaining and promoting women faculty in scientific and engineering fields, we can also point to significant progress. According to the National Science Foundation, almost no doctoral degrees in engineering were awarded to women in 1966 (0.3 percent), in contrast to 16.9 percent in 2001. And in the biological and agricultural sciences, the number of doctorates earned by women rose from 12 percent to 43.5 percent between 1966 and 2001. Our three campuses, and many others, are home to growing numbers of women who have demonstrated not only extraordinary innate ability but the kinds of creativity, determination, perceptiveness and hard work that are prerequisites for success in science and engineering, as in many other fields.

These figures demonstrate the expanding presence of women in disciplines that have not, historically, been friendly to them. It is a matter of vital concern, not only to the academy but also to society at large, that the future holds even greater opportunities for them.

John Hennessy is a computer scientist and president of Stanford University; Susan Hockfield is a neuroscientist and president of the Massachusetts Institute of Technology; and Shirley Tilghman is a molecular geneticist and president of Princeton University.

Report of the Provost's Advisory Committee on the Status of Women Faculty

Executive Summary, May 27, 2004. The full report with appendices can be accessed at <http://www.stanford.edu/dept/provost/womenfacultyreport/>.

BACKGROUND OF THE REPORT

Over the past quarter century, Stanford University has made substantial progress in increasing the representation of women in faculty and leadership positions and in improving the climate for women on campus. However, ensuring gender equity in the academic workplace remains a challenge for higher education in general and Stanford in particular. To assess the university's progress on these issues, in 2001 Stanford's Provost, John Etchemendy, appointed a Provost's Advisory Committee on the Status of Women Faculty (PACSWF). His charge to the committee was to consider how Stanford University can enhance its ongoing efforts to increase the representation of women in the professoriate and to address the professional well-being and success of women faculty.

The creation of this committee was part of a series of initiatives under the leadership of President John Hennessy and Provost John Etchemendy to promote diversity and to address the factors that have historically disadvantaged female faculty. Appointment of this committee followed a conference, in January 2001, of the presidents of nine leading research universities, including Stanford, to address gender equity for female faculty in science and engineering. The university presidents who attended the joint conference pledged to evaluate their own university's progress on this issue and to share their findings.

Over the past three years, Stanford's committee has conducted an extensive review of university policies and practices concerning women faculty. That review has revealed a wide range of gender-related initiatives and significant recent progress in increasing women's representation in faculty and leadership positions. The committee has also collected the first comprehensive university data in three areas. A Subcommittee on Recruitment and Retention obtained information from each school concerning formal and informal practices related to search committees and retention efforts. A Subcommittee on Compensation, Resources and Recognition compiled detailed quantitative data on non-salary forms of compensation and support such as research accounts and laboratory space. A Subcommittee on Quality of Life designed a questionnaire for all faculty concerning issues such as professional satisfaction, workload, academic climate, discrimination, harassment and work/family concerns.

In order to facilitate sharing of information regarding gender equity initiatives at other colleges and universities, a web site database was created by the Robert Crown Law Library. That site, <http://universitywomen.stanford.edu>, now includes links to policies, reports and resources relating to women faculty throughout the nation, as well as links to other materials and web sites. This review of other universities' practices and initiatives helped to inform PACSWF's own recommendation, set forth below.

MAJOR FINDINGS

Recruitment and Retention

University policy requires all faculty searches to engage in affirmative action to increase the diversity of applicant pools. However, practices concerning the composition and procedures of search committees vary widely across the schools. Some, but not all, schools reported efforts to ensure diversity in committee membership and to reopen searches that had not produced a sufficiently diverse candidate pool. Practices regarding retention also varied, particularly concerning how the school responded to outside offers.

Compensation, Resources and Recognition

Since the late 1990s, the university has systematically reviewed base salary information to identify any apparent gender inequities and to take appropriate corrective action. The committee therefore found it unnecessary to address this issue, and focused its attention on other forms of compensation and support. To that end, it obtained detailed information from each school concerning: offer salaries, start-up offers, research accounts, laboratory space and moving-rental allowances. The committee also analyzed the more limited data available concerning summer salaries, retention packages and special arrangements regarding teaching loads and housing subsidies.

Taken as a whole, the findings reflect a mixed and complicated picture. In a number of categories, the data reveal no significant disparities by gender. For example, initial offer salaries, start-up funds, laboratory space and moving and rental allowances exhibit no gender disparities in most of the schools. On the other hand, disparities of varying magnitude appear in a number of categories in several schools, although there is no distinctive pattern by category or by school. Some, but not all, of the gender differences appear to be statistically significant. For example, in a small number of schools or divisions, men on average receive higher initial

offer salaries than women and larger start-up funds, although this may reflect the different seniority levels at which male and female faculty are hired. In a number of instances where no statistical significance appeared, the apparent disparity seems attributable to the presence of a few male high-outliers, or to the simple fact of small numbers of women—especially as new senior hires in certain schools or fields.

But even where no statistical significance emerges, several major concerns remain. The first is that the overall pattern of difference is unidirectional. Where disparities occur, virtually all involve men receiving higher compensation or support than women. This pattern suggests that additional individualized analysis is necessary to determine whether there is a reason unrelated to gender, such as seniority, subfield or research needs. A related concern is that irrespective of the merits of particular cases, in circumstances where all of the most highly compensated faculty are male, that general pattern may unintentionally reflect and perpetuate gender stereotypes.

Quality of Life

After reviewing studies by several other universities, the subcommittee developed a survey for all faculty focusing on the following major areas: academic workload, perceptions of workplace climate and opportunities, work/family conflicts, spouse/partner opportunities and overall satisfaction. The response rate for this survey was 49% (839 completions out of 1,717 faculty) and respondents were sufficiently representative of the faculty population across categories such as gender, race, ethnicity, rank and school.

Three broad conclusions stand out from this analysis of gender and the quality of faculty life at Stanford. One involves the similarities between women's and men's experience. For the faculty as a whole, there are no significant gender differences in measures of their overall satisfaction. For both women and men, work climate and sense of

inclusion are two of the major factors affecting faculty assessment of their professional life. Male and female faculty also agree on what they consider the most positive aspects of the Stanford environment: the quality of students and colleagues, and the Bay Area location. Women and men similarly pointed to the same negative aspects of the Stanford experience, primarily the financial stresses associated with living in the Bay Area.

A second key finding is that female faculty generally had more concerns about quality of life than their male colleagues. Women generally rated their work climate less favorably than men, were less likely to feel included and valued, and were more likely to report perceptions of gender discrimination. Women also experienced greater workload pressure, especially related to advising and mentoring, and this experience was particularly pronounced among women of color. So too, female faculty were more likely than their male colleagues to report work/family stress, and were particularly concerned about the availability and affordability of quality child care.

The third key finding involves the significant differences in general satisfaction and workplace experiences among women faculty depending on their rank, ethnicity and school or division within the university. Female faculty in the Social Sciences and Clinical Sciences expressed a lower level of general satisfaction than male faculty in these divisions. By contrast, women in Natural Sciences and Engineering are as satisfied as their male colleagues, reflecting similar perceptions of their work climate, sense of inclusion, pay equity and workload reasonableness.

In general, the picture for women at Stanford is a positive one, and faculty satisfaction rates are similar to most of those available from other peer institutions. However, the survey also identified areas requiring attention from the university's central administration and from its schools and departments that serve as the basis of detailed committee recommendations.

IMPLICATIONS OF THE FINDINGS

In recent years, Stanford has made impressive progress in increasing the representation and advancement of women faculty and in addressing issues of gender equity. Yet despite such progress, significant concerns remain. None are unique to Stanford, but they all suggest a need for ongoing attention and further initiatives. Taken together, the committee's findings underscore several key issues: the low representation of women, particularly women of color, in certain fields and among the most highly rewarded full professors; the frequency of perceived disadvantages due to gender; the lack of inclusiveness and undervaluation of women's contributions in certain disciplines and schools; and the difficulties of reconciling personal and professional needs, compounded by financial pressures and inadequate child care options.

RECOMMENDATIONS

The findings of the committee lead to recommendations in key areas concerning recruitment and retention practices; compensation, resources and recognition; and faculty quality of life.

Recruitment Practices

Search committee chairs, department chairs, deans and the Provost's Office should all assume responsibility for ensuring a diverse search committee and candidate pool. Special outreach efforts and targeted funds should be used to increase appointments of women in departments and divisions where they are underrepresented. More systematic information should be collected concerning the composition of candidate pools, the gender ratios of offers and acceptances, and the reasons for unsuccessful recruitment and retention efforts. Attention should be given to the adequacy of hiring packages in areas that pose special concerns for women, such as child care, spouse/partner employment, family leave and reduced schedules.

Retention Strategies

Although policies on retention are difficult to formalize, schools should devise explicit strategies for providing adequate individual support and recognition, and for ensuring some measure of horizontal equity among faculty. The university also should take steps to dispel perceptions that outside offers are the only way to gain appropriate rewards. Faculty should be appropriately rewarded for their productivity and contributions regardless of their mobility or their interest in pursuing outside offers. Yearly meetings between the chair or the dean and individual faculty members are advisable so that faculty members can voice concerns and receive appropriate feedback.

Compensation and Support

The provost and deans should monitor salary and non-salary forms of compensation and support to ensure appropriateness and equity. The schools should, as part of their standard record keeping, establish databases for information on non-salary compensation and support. The Provost's Office should assemble this information in centralized tables, graphs and summaries, and should evaluate it on a regular basis.

The areas of potential gender disparity noted by the committee should be further analyzed in conjunction with the schools to determine whether appropriate individualized factors explain the apparent differences. This review should include not only differences that appear statistically significant, but also other disparities that may reflect the presence of high outliers. Base salary and other forms of support and compensation should be examined to ensure that Stanford is not unnecessarily or improperly reacting to external offers, and that overall compensation and support is awarded on the basis of need and merit.

Academic Climate, Work-Family Policies and Related Issues

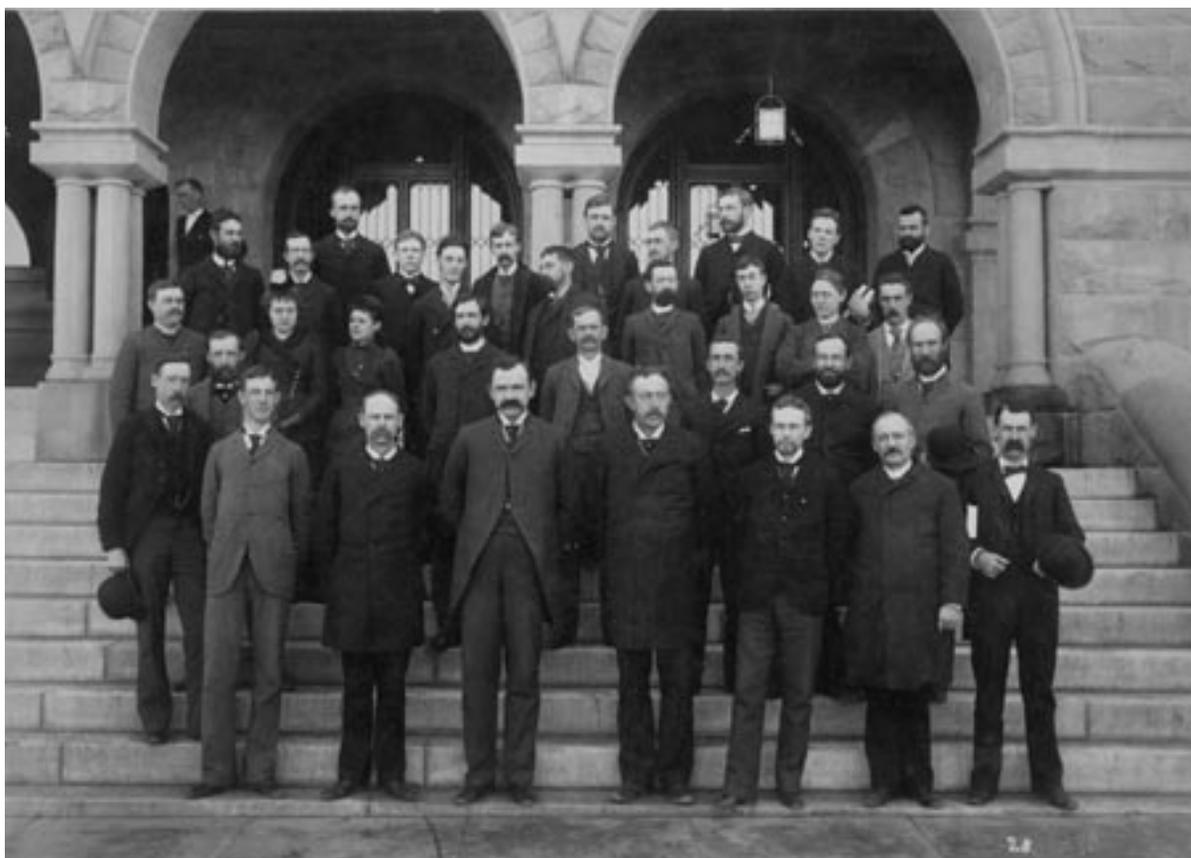
The Provost's Office, the deans and other appropriate administration officials and faculty committees should undertake further inquiry and initiatives regarding concerns raised by the Quality of Life survey results, including experiences of harassment and discrimination that do not result in formal complaints. The Provost's Office should provide administrative and financial support for a Faculty Women's Forum that would offer opportunities for women across the university to discuss shared interests and concerns, including gender-related issues and research.

The university should improve its child-care options. Additional information should be collected to identify strategies for dealing with access, affordability, quality, schedules and coverage for emergencies and school breaks. The Provost's Office should establish and publicize a dependent-care fund to subsidize temporary child-care expenses for travel related to research, conferences and related professional development needs.

The university should also reassess the adequacy of its policies concerning family leave, reduced teaching and clinical load and tenure clock extension. The implementation of these policies should be monitored to ensure that options available in principle are not discouraged in practice.

Accountability, Research and Analysis

The university should continue to have a faculty panel and senior-level administrative position that focus on gender equity concerns. Data should be collected on a regular basis regarding gender equity and quality of life. The university should also encourage and participate in collaborative research with other institutions to gain better understanding of gender equity challenges and responses. Efforts should be made to assess the relative effectiveness of particular gender equity strategies (e.g., reduced workloads and extended family leaves, formal mentoring programs, and diversity and harassment training).



The Stanford pioneer faculty in spring 1892 on the steps of Encina Hall

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