

# 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 are sometimes 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 overcome these and other challenges and to succeed in our efforts.

First, we believe that an institution of Stanford's caliber should 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 exceptional 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 suggests 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: a reaffirmation

*President John Hennessy and Provost John Etchemendy originally presented the following statement on faculty diversity at a meeting of the Stanford Faculty Senate on May 31, 2001. On April 19, 2007 this statement was reaffirmed and updated.*

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.

In 2001, we developed a set of principles 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. Six years later, we feel it is important to reiterate and broaden our commitment to those principles. This recognition acknowledges the ongoing evolution of our aspirations and objectives in an area that is critical to the continued excellence of the University. In that spirit, we assert once again 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 mi-

nority 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 University has established a Panel on Gender Equity and Quality of Life to follow up on the work of the Provost's Advisory Committee on the Status of Women Faculty and a Diversity Cabinet of senior administrators and faculty to explore ways in which we can foster and enhance gender, racial and ethnic diversity and equal opportunity for our faculty as well as other segments of the campus community. The Office of the Vice Provost for Faculty Development and Diversity is explicitly charged with overseeing the University's continuing efforts to further diversify the 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. Furthermore, we will be alert to systematic barriers that may appear to limit advancement and retention of women and minorities. Serious efforts will be made to mitigate any such limitations that might exist.

**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 graduate students are the primary pool for the next generation of faculty, the University will redouble its efforts to attract and support women and minority graduate students. Small pool sizes and pipeline issues hamper the best intentions of all institutions of higher education to diversify faculty, and Stanford must be a leader in efforts to address these challenges. The University will enhance its efforts through outreach and new funding mechanisms to increase the diversity of our graduate student pool and support these students once they enroll at Stanford. 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

## OVERVIEW

A faculty of outstanding scholars/teachers who are diverse in their gender, culture, race/ethnicity, background, work and life experiences, and interests, best fulfills Stanford's missions of teaching, learning and scholarship. Stanford University's commitment to enhancing the diversity of its faculty recognizes that research and teaching are enriched by a variety of perspectives, and that students must be prepared to achieve success in a world that is increasingly global and diverse. Stanford particularly encourages the vigorous recruitment and retention of women and minorities, as well as others whose backgrounds and experiences would provide additional dimensions to enhance the university's programs. The following faculty recruitment practices are offered as guidelines to assist schools and departments in achieving an excellent and diverse faculty.

## 1 BEFORE THE SEARCH BEGINS

For a search to be successful in attracting highly qualified and diverse applicants, attention to diversity – broadly defined – must start at the beginning of the search process with the development of the position description and the selection of the search committee.

### A. The position announcement

1. Prior to initiating the search, the position description should be carefully written by the department chair, faculty group, or search committee and be reviewed by the dean's office. Consideration should be given to defining the position broadly to expand the number of candidates from diverse backgrounds who may apply.
2. Include in the position announcement and in all advertisements for the position the following statement: "Stanford University is an equal opportunity employer and is committed to increasing the diversity of its

faculty. It welcomes nominations of and applications from women and members of minority groups, as well as from others who would bring additional dimensions to the university's research, teaching and clinical missions."

### B. The diversity outreach plan

Before the search commences, the department or search committee should develop a search plan that includes specific outreach efforts for obtaining a diverse applicant pool. Deans may request this diversity outreach plan as part of the search authorization request or before allowing the search to proceed. Suggestions for diversity outreach approaches are described below under Search Processes.

### C. The search committee

1. Efforts should be made to appoint a search committee that includes individuals from diverse backgrounds and members who have demonstrated a commitment to diversity. Include experienced department citizens and young stars, as well as faculty related to the search area.
2. If the small number of women and minority faculty in the department or school precludes their membership on the search committee, consideration should be given to including faculty from other departments on the search committee. Add outside experts if the field is new for your department, if your department is small, or if the search is in an interdisciplinary field.
3. One member of the committee should be asked to serve as the diversity officer. Faculty serving in this position will assist the search committee with diversity aspects of the search, including outreach efforts and monitoring the diversity of the candidate pool.
4. Avoid appointing the faculty member with the most at stake as chair of the committee.
5. The department chair may want to be an ex officio member of the search committee.



**Faculty members at Commencement: from far left to right, William Mobley, professor of neurology; David Spiegel, professor of psychiatry and behavioral sciences; Charlotte Jacobs, professor of oncology; John Rickford, professor of linguistics; Elisabeth Pate-Cornell, professor and chair of management science and engineering**

## 2 THE SEARCH PROCESS

Identifying appropriate candidates who would add diversity often requires more than standard announcement and recruitment practices. Search committees should engage in outreach efforts that will attract applications from women, minorities, and others who would add diversity. The search committee should give careful attention to these candidates in the evaluation and selection processes.

### A. Outreach efforts – looking in the right places.

1. The diversity officer or the chair of the search committee is encouraged to contact the Faculty Development and Diversity Office (725-2376) or the Office of the Senior Associate Dean for Diversity and Leadership at the School of Medicine (723-2329) for information and resources to assist with developing a diverse and strong applicant pool.
2. Advertise in specialty journals, organizations and websites such as those targeted to women and minorities.
3. Consult relevant publication lists and databases (such as minority graduate and postdoctoral fellowship holders) to identify potential candidates.

4. Consult with Stanford faculty colleagues (particularly women and minorities) for advice on effective outreach strategies and on potential candidates.
5. Contact colleagues elsewhere for suggestions of promising minority, women and other candidates.
6. Contact the department's former women and minority students and post docs as potential candidates or for suggestions of other potential candidates.
7. Approach women or minority candidates even if you think they are unavailable, perhaps due to family constraints or a partner's employment. Assumptions should be verified through direct inquiry, and these potential candidates should be informed that Stanford offers programs designed to aid in recruiting such faculty members.

### B. Analyzing the applicant pool

National availability pool data in the appropriate field should be reviewed and compared against the applicant pool for the faculty position to determine if additional outreach and advertising efforts may be needed. This information may be provided by the Faculty Development and

Diversity Office (725-2376) or the Office of Diversity and Leadership in the School of Medicine (723-2329). While the diversity of the applicant pool may be difficult to assess during a search, all search committees should review their availability and applicant pools and consider additional efforts to encourage applications from diverse candidates.

### **C. Reading applications and selecting the short list**

1. The search committee should discuss selection criteria before reviewing applications. It may be appropriate for the department chair to participate in this discussion.
2. All applications should be read by more than one person to help ensure that the same criteria are applied consistently to all applicants and to minimize the possibility that qualified candidates might be overlooked.
3. Candidates' applications must be objectively reviewed and evaluated based on the candidate's record. Search committee members and others who evaluate a candidate's file should be sensitive to unconscious bias and other influences that are not related to the applicants' qualifications, but that may, as recent research has shown, affect how applications and curricula vitae are read.
4. If there are women, minorities or others who would add diversity in the applicant pool who have not been invited to interview, the search committee should review their applications again to ensure they were given full and thoughtful consideration based on the criteria for the position and the applicants' academic qualifications.
5. To increase the diversity of the interview ("short") list, consider inviting one or two additional candidates to interview who would add diversity. Consult with the dean's office about obtaining resources to cover the expenses of inviting these additional interviewees.
6. The search committee diversity officer and the department chair should monitor diversity-related efforts throughout the process, including reviewing the short list before it is finalized. The dean or associate dean

should also review the short list before approving the selection of those who will interview to ensure that qualified candidates who would bring diversity have been appropriately considered.

### **D. Interviewing candidates**

1. The department chair (or dean) should arrange for an experienced staff person to be responsible for scheduling the visit and all arrangements so that interviewees have a positive experience.
2. All search committee members and as many as practicable of the other faculty who will vote on the appointment should read the candidates' applications, attend their job talks, and meet with the candidates.
3. All interviewers should be familiar with legal guidelines regarding what questions should be avoided during an interview. See the section on basic interview guidelines under federal law in this brochure. Consult with the Office of the General Counsel (723-8122) if there are questions.
4. Make sure the candidate spends time with undergraduate and graduate students.

### **E. Selection of the candidate by the search committee and the department faculty**

1. Each applicant should be evaluated based on the criteria established when the faculty position was created.
2. If the department has a candidate evaluation form, be sure it is completed by everyone who interviewed the candidate.
3. If a candidate who would bring diversity to the department, (such as a woman or minority candidate) is identified, who is qualified for the position and would be a good addition to the department, but who may not have been the top candidate, the department chair should explore with the dean the possibility of recruiting this individual, as well as the top candidate, perhaps with the assistance of the Faculty Incentive Fund.



## 3 RECRUITING THE CANDIDATE

### A. Provide a welcoming, supportive and collegial atmosphere for the faculty recruit.

1. Once the top candidate has been offered the position by the department chair, congratulatory phone calls or messages from other faculty can communicate the enthusiasm of the department and help the candidate feel welcome.
2. If the recruit is from a demographic group or scholarly field that is not well represented in the department or related to other disciplines, meetings should be scheduled during the recruiting visit with faculty outside the department to introduce the prospective faculty member to a broader community of scholars who share background or interests.
3. The department or school should 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 and school options, spouse/partner employment, a sense of isolation, possible excessive work burdens, whether the local communities have desired social/cultural activities.
4. Treat the spouse, partner or significant other well. He or she should be invited on the recruiting visit and given information about resources and offices that may be of interest (such as the WorkLife Office or the dual career services of the Faculty Development and Diversity Office).

### B. Information and resources

1. Inform the recruit of University resources: Office of Faculty Development and Diversity (723-2376, <http://facultydevelopment.stanford.edu>); WorkLife Office (723-2660, <http://worklife.stanford.edu>); Faculty Housing Office (725-6893, <http://fsh.stanford.edu>); Center on Teaching and Learning (723-1326, <http://ctl.stanford.edu/>).
2. Recruits should be informed that the Faculty Development and Diversity Office is a source of information and referral concerning employment opportunities for spouse/partner, work/life balance issues, child care, and information regarding the local community.

3. Questions or concerns raised by a recruit should be responded to as quickly as possible. The Faculty Development and Diversity Office is a resource for assistance in responding to recruits' questions.

### C. Negotiations with the recruit

1. Ask the candidate early to fully spell out his or her needs – salary, lab and technical support, start-up funds, housing, spouse/partner career assistance, etc.
2. Negotiations should be carried out in a timely and respectful manner. The department chair or dean should be in frequent communication with the recruit.
3. Request assistance with the recruitment effort from faculty and academic leaders outside the department as necessary.

## 4 AFTER THE SEARCH

### A. Communication with candidates

1. Finalists not selected should be informed soon after the recruit has accepted the offer.
2. If possible, the department should solicit feedback from finalists about the search process, through either a phone call from the department chair or search committee chair or an evaluation form.
3. Candidates who reject offers to come to Stanford should be contacted by the department chair to identify the reasons for their decision, including feedback about the search and recruitment process.

### B. Documentation of the search process

1. The search committee chair should provide a detailed description of the search process, including diversity outreach efforts, for the Search and Evaluation Process section of the appointment form.
2. The search committee chair or the search staff person should complete the Faculty Applicant Pool Information section of the appointment form.
3. Names of minority and women candidates who were identified by the search committee as promising scholars but who may have needed additional time to develop their research should be noted, kept on file, and notified of future faculty searches.

**5** BASIC INTERVIEW GUIDELINES  
UNDER FEDERAL LAW

TOPIC	QUESTIONS TO AVOID	PERMISSIBLE QUESTIONS
<b>Age</b>	Age, birth date, date of graduation	None
<b>Citizenship</b>	Whether candidate is a U. S. citizen Place of birth	Whether person is eligible to work in U. S.
<b>Disabilities</b>	Any question about a candidate's health, medical condition or illness, or one 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
<b>Marital and family status</b>	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 (Office of Faculty Development & Diversity, WorkLife Office, Faculty Affairs Office)
<b>Race</b>	Any question about individual's race, national origin, ethnicity, or (unless relevant) languages spoken	None
<b>Religion</b>	Questions about religious affiliation	None

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



**Jorge Ruiz de Velasco and Susanna Loeb, who direct the Institute for Research on Education Policy and are professors of education**

## Advancing and 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. Stanford University recognizes that the commitment to increasing faculty diversity does not end upon the appointment of a new faculty member. Advancing and retaining our current faculty, including those who add diversity to our campus, is just as important to enhancing the quality and diversity of our faculty as is recruiting them. It should also be recognized that success – or the lack of it – in retaining and promoting outstanding and diverse faculty affects the university’s attractiveness to faculty it wishes to recruit.

Among the factors that contribute to the advancement and retention of faculty is a climate within the department, school, and university as a whole that is collegial, values and supports the professional development of faculty, and

respects the contributions of each faculty member. Achieving the goals of recruitment, retention, and advancement requires the involvement and leadership of university officers, school deans, department chairs, and faculty. While policies on retention are difficult to formalize, the following practices are offered as guidelines to assist schools and departments in advancing and retaining a diverse and excellent faculty:

### **A. RETENTION STRATEGIES**

1. The university should continue its current practice of examining data on faculty transactions (i.e., appointments, promotions, and resignations) by gender and race/ethnicity, and, together with the relevant school and department, should continue to make good faith efforts to evaluate and address any apparent race/ethnicity- or gender-associated disparities.
2. The university should continue to periodically assess faculty quality of life through surveys and/or focus groups,

examining results by gender and race/ethnicity and by school, division, and department.

3. Department chairs and deans should be vigilant in identifying potential retention risks, i.e., circumstances and issues that may lead to the departure of valued faculty, including those who contribute to faculty diversity.
4. It should be recognized that faculty from underrepresented groups, including minorities and women, may face special hurdles. They may be overburdened by well-intentioned invitations to serve on committees and to participate in events and by students' requests that they serve as advisors or mentors. At the same time, they may feel that they are treated differently, perhaps including being left out of informal department activities. Department chairs and faculty should be welcoming, supportive, and sensitive to the different experiences of faculty from underrepresented groups.
5. Departments, schools, and the university should provide appropriate support and recognition of individual faculty members. Outstanding performance should be recognized through salary and other forms of compensation, and also, as appropriate, through opportunities for leadership or for initiatives of special interest to the faculty member and the institution.
6. Schools should reward faculty appropriately for their productivity and contributions regardless of their mobility or their interest in pursuing outside offers. Schools should strive for professors to feel appropriately valued, and to dispel perceptions that outside offers are the only way to gain rewards.
7. Schools should conduct periodic salary reviews so that that faculty compensation levels are merit-based and not associated with attributes such as gender or race/ethnicity. If disparities or potential inequities are identified, individual cases should be investigated to ensure that salary levels are based on appropriate factors and legitimate, documented academic considerations. If a problem area is identified, appropriate resolution/action should be taken.
8. Similarly, non-salary forms of compensation and support should be monitored periodically for appropriateness and equity.
9. Senior as well as junior faculty should have opportunities to voice concerns and receive feedback through an-

nual or bi-annual meetings with their department chair or the dean or his/her designate.

10. The university and schools should periodically provide to faculty information and guidance about benefits and policies (e.g., policies for new faculty parents, housing assistance programs, research support, and teaching buy-out-opportunities), especially those that either may not always be clear in their application in particular circumstances or that may be subject to deans' or chairs' discretion.
11. Deans and department chairs should be knowledgeable about the university's policies concerning leaves, accommodations for faculty with parenting responsibilities, childcare, and maternity or disability-related needs – and the administrative offices and resources with special expertise in those areas to whom faculty can be referred.

## **B. JUNIOR FACULTY COUNSELING AND MENTORING**

(For a more detailed discussion of this topic, please read the following section, “Guidelines for junior faculty counseling and mentoring.”)

1. Department chairs or deans or their delegates should confer annually with each junior faculty member to provide counseling, i.e., feedback on his/her performance relative to the standards for reappointment or promotion.
2. During the counseling session with junior faculty, the comparative and predictive aspects of the tenure or promotion decision should be stressed.
3. Schools and departments are expected to have policies and practices for providing mentoring to all junior faculty.
4. It is recommended that junior faculty be assigned mentors who are senior faculty members other than their department chairs. In situations in which the initial mentor assignment is not successful, department chairs or deans should work with the junior faculty member to identify a suitable mentor.
5. Mentors should provide guidance on an ongoing basis and should meet at least annually with their junior faculty mentees.
6. Junior faculty should also be encouraged to seek informal mentors from inside or outside their departments who may share interests and provide additional perspectives.

# Junior faculty counseling and mentoring

Providing support, guidance, advice and feedback to junior faculty is a high priority for Stanford University. 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. These guidelines outline the general expectations for the kinds of support, advice and feedback junior faculty should receive. Faculty members with questions in this area should consult their department chair or dean.

## COUNSELING

Counseling, which is the first aspect of guiding junior faculty, entails providing feedback on performance relative to the standards for reappointment and promotion. Department chairs, deans or their delegates for schools without departments, should confer annually with each junior faculty member in their department or school to review his or her performance in light of the criteria for reappointment or promotion.

Appropriate areas to discuss may include: scholarship quality and productivity to date; general expectations of the discipline with respect to quantity; form or scholarly venue of publications; expectations, if applicable, about other indicators of recognition such as grant funding; suggestions for the scholarship that may be helpful; teaching quality, quantity, and type to date (including acknowledgment of special efforts in teaching); quality of performance in other academic activities (such as creative works or clinical practice), if applicable; general expectations as to levels of service appropriate for junior faculty (and acknowledgment of special service efforts); and any professional, behavioral or institutional citizenship issues.

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 Appendix B to the 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/promotion decision should be stressed, as should be the fact that tenure/promotion judgments generally cannot 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 or promotion is inappropriate.

Schools vary 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 letter – at the time of reappointment, and at the time of promotion to some (but not all) ranks.

The counseling letter provides an opportunity to give candid feedback to a junior faculty member on his or her academic performance and progress to date based on the results of this reappointment or promotion review. The counseling letter provides a vehicle for this feedback, which should be constructive, realistic, and specifically tailored to the candidate and to the standards and criteria he or she will face in a future review or promotion.

The counseling letter is submitted with the recommendation papers. It is expected that the counseling letter submitted with the file will be in draft form. Only after completion of the review process should the counseling letter be finalized and then given to the faculty member. After receiving the counseling letter, the faculty member is encouraged to meet with his or her department chair to discuss in more detail the feedback contained in the letter. Department chairs are in turn encouraged to offer such a meeting, if one is not requested.



Finally, although the purpose of the counseling letter is to offer practical guidance to the junior faculty member in regard to his or her future efforts (such as by pointing out areas for potential attention or improvement), the candidate should understand that the strategic advice offered is not a prescription for achieving tenure or promotion, but rather the letter writer's best judgment based on the results of this review. As noted more generally below, the ultimate responsibility for career trajectory and success rests with each faculty member himself or herself.

### MENTORING

The second aspect of the guidance to be offered to junior faculty is mentoring, that is, the ongoing advice and support regarding the junior faculty member's scholarship, teaching and (where applicable) clinical performance. 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 is not successful, department chairs or deans should work with the junior faculty member to identify a suitable mentor.

Junior faculty should also be encouraged to seek informal mentors from inside or outside their department who may share interests and provide additional perspectives.

### INFORMATION SESSIONS

Central university offices such as the Vice Provost for Faculty Development and Diversity and the Center on Teaching and Learning provide some general orientation and information sessions for new and junior faculty. However, 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 management of research budgets and personnel.

### THE JUNIOR FACULTY MEMBER'S RESPONSIBILITY

The core purpose of counseling and mentoring is to provide candid and helpful feedback and guidance to the individual. The goal is to provide a supportive atmosphere to assist the junior faculty in succeeding in his or her academic career. However, it should also be recognized and communicated to the junior faculty member (and it is here reiterated) 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 counseling and mentoring sessions if such sessions are not otherwise scheduled for them; to attend information sessions offered to them; and to be familiar with the policies and procedures concerning reappointment, tenure and promotion, in particular those in the Faculty Handbook (including the criteria in the forms found in Appendix B) and in school faculty handbooks. Similarly the junior faculty member should understand that a faculty mentor's strategic advice (like the advice contained in the counseling letter written at the time of reappointment) is not a prescription for achieving tenure or promotion, but rather a senior colleague's best judgment, to be accepted or rejected as the junior faculty member chooses. Accordingly, inadequate counseling and mentoring is generally not considered sufficient grounds for appealing a negative tenure or promotion decision.

Stanford University hires the best and brightest junior faculty and is committed to providing opportunities, resources, and support, including counseling and mentoring, to help them develop into outstanding scholars, teachers, and clinicians. The policies and practices described in these guidelines are intended to assist each faculty member in launching a successful academic career.



Faculty members at Commencement: from left, Harry Elam, professor of drama; Rosemary Knight, professor of geophysics; Harvey Cohen, professor of pediatrics

## University resources for faculty recruitment and retention

*Stanford University provides the following mechanisms to encourage efforts to recruit and retain 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](mailto:facultyaffairs@stanford.edu) or (650) 723-3622.

#### CENTER FOR COMPARATIVE STUDIES IN RACE AND ETHNICITY'S FACULTY DEVELOPMENT INITIATIVE

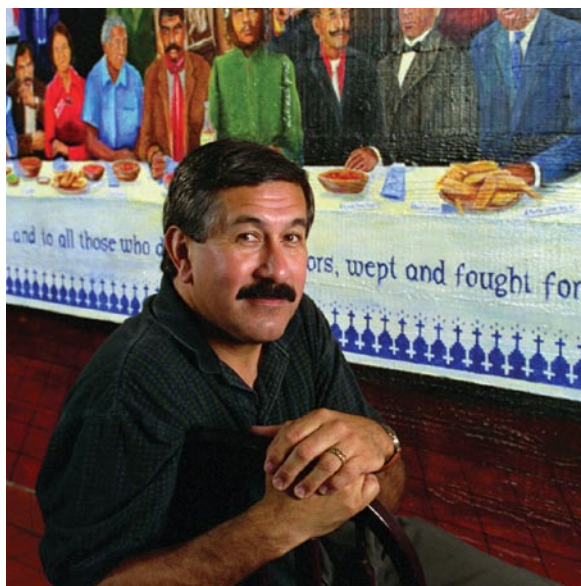
To contribute to Stanford's ongoing commitment to promoting the comparative study of race and ethnicity and to promoting faculty diversity, the Center for Comparative Studies in Race and Ethnicity (CCSRE), in collaboration with the Provost, recently launched the Faculty Development Initiative (FDI). Announced by the Provost in spring 2007, the FDI's primary goal is to facilitate the appointment of a least ten outstanding new faculty across the University that will help expand the research and teaching mission of the CCSRE as it enters its second decade. Over the next five years the CCSRE's Faculty Development Initiative will create a collaborative environment where schools and departments will participate in a multifaceted recruitment and appointment project to hire junior and senior faculty in subject areas focusing on issues of race and ethnicity. The initiative is a collaborative arrangement between the CCSRE, the Office of the Provost (through the Special Assistant to the Provost for Faculty Diversity, Professor Al Camarillo), the Office of the Dean of H&S, and the Office of the Vice Provost for Faculty Development and Diversity. The FDI will employ multiple strategies for recruitment and appointment of faculty. An Advisory Group consisting of senior faculty will provide advice and consultation for the initiative. For more information contact Professor Albert Camarillo at (650) 72301966.

#### 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 and Diversity, Patricia Jones at (650) 725-8471.

#### FACULTY WOMEN'S FORUM

Following the recommendation of the Provost's Advisory Committee on the Status of Women Faculty, the Faculty Women's Forum (FWF) was founded in fall 2004 with support from the Provost's Office. The FWF provides information and organizes events to promote the success of women faculty. The FWF also offers opportunities for women faculty across the university to discuss shared interests and concerns, including gender-related issues and research. See <http://facultywomensforum.stanford.edu>.



**Albert Camarillo, professor of history**

# 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](mailto:facultyaffairs@stanford.edu).

## FACULTY DEVELOPMENT AND DIVERSITY OFFICE

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

The office assists in faculty recruitment and retention to ensure that Stanford has a well-qualified and diverse faculty. The office assists deans, chairs and faculty search committees with outreach efforts in developing talented and diverse applicant pools, and the office serves 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 Development & Diversity 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 Development & Diversity 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 system, dining and entertainment





**Ramon Saldivar, professor and chair of English and of comparative literature, and Paula Moya, associate professor of English**

#### **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](mailto:benefitsu@stanford.edu).

#### **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](mailto:FSHousing@stanford.edu) or visit the web site at <http://fsh.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/ocr/diversityaccess/index.html>.

#### 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 caregiving support and strategies for navigating work and life. Call (650) 723-2660 or visit <http://worklife.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,



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

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/>.

#### DUAL CAREER ASSISTANCE

The Faculty Development and Diversity Office assists current and prospective faculty with dual career issues. Contact the office at (650) 736-0384. In addition, Stanford is a founding member of the Northern California Higher Education Recruitment Consortium (NorCal HERC), a collaborative of more than 40 Northern California colleges and universities that jointly list job openings on the Internet. HERC is an effective tool in assisting the spouses and partners of faculty and staff in securing employment in local institutions of higher education. Visit the searchable web site at <http://www.norcalherc.org>.

#### 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>.

#### 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](mailto:ombuds@stanford.edu) or the Medical Center ombuds at (650) 498-5744.

# 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, sex, age, religion, disability, medical condition, pregnancy, marital status, sexual orientation, gender identity 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, age, 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, religion, sex or national origin.



# Appendix

# Diversity & Equal Opportunity at Stanford

## PRESIDENT'S MESSAGE ON EQUAL OPPORTUNITY

To be considered world class, an institution like Stanford must (among other things) be broadly diverse in its makeup. In particular and as noted in Stanford's recent publication *Building on Excellence*, it must reflect the multi-racial, multi-ethnic society and pluralistic democracy that serve as a foundation for the university. 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. We also recognize that our prominence brings with it added responsibility, namely, that we assume a leadership position here as we do in our other pursuits.

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).

As I have stated in the past, however, a simple policy of equal employment opportunity may not suffice to attract a diverse applicant pool to our campus. Some barriers are built into our society, and 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 Rosa E. González, Director, Diversity & 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.

While it is true that we have made much progress, 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 and scholarly 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.

*John Hennessy, President  
March 2007*



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

## *Administrative Guide Memo 23*

### **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 policy applies in all aspects of the employment relationship including (but not limited to) recruiting, selection, placement, supervision, working conditions, compensation, training, promotion, demotion, transfer, layoff, and termination. All University personnel policies, procedures, and practices must be administered consistent with the intent of this basic policy.

B. **Non-discrimination** —

- i. Stanford University does not discriminate on the basis of gender, race, age, color, disability, religion, sexual orientation, national or ethnic origin, veteran status, or any other characteristic protected by law, in connection with any aspect of employment at Stanford.
- ii. Harassment on the basis of any legally protected characteristic is a form of discrimination and is likewise prohibited by this University policy. Prohibited harassment occurs if a hostile environment has been created that is sufficiently severe, pervasive, or persistent so as to unreasonably interfere with a person's work performance or participation in University activities. Prohibited harassment may take the form of (but is not limited to) offensive slurs, jokes, and other offensive oral, written, computer-generated, visual or physical conduct which is aimed at an individual or group because of their protected status.

C. **Affirmative Action** — As a matter of institutional policy and consistent with 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.

D. **Non-retaliation** — Stanford University policy prohibits retaliation against individuals who raise concerns of perceived discrimination or harassment or who participate in the investigation of any claim of discrimination or harassment. Retaliation is an adverse action taken against an individual because that individual has made a good faith complaint of discrimination or harassment or has participated in the investigation of a claim of discrimination or harassment. An adverse action is any action that materially affects that individual's terms and conditions of employment.



**The Stanford foothills**





E. **Complaint procedure** — Employees or applicants who believe they have been discriminated against, harassed, or retaliated against in violation of this policy may direct their complaint to their supervisor, to the Director of Employee & Labor Relations (at 650/723-1743), to the Director of the Office of Diversity and Access (at 650/725-0326), to the Associate Provost for Faculty Affairs (at 650/725-2545), to the School of Medicine Office of Employee Relations (at 650/725-8607), or to the SLAC Manager of Employee Relations and Training (at 650/926-2358). In regard to sexual harassment, employees are referred to Administrative Guide Memo 23.2 and the resources listed there. Reports of discrimination, harassment, or retaliation should be made in writing and as soon as possible: the earlier the report, the easier it is to investigate and take appropriate remedial action.

Making a false report or providing false information may be grounds for discipline in the absence of a good faith belief that the report/information is true.

The University is committed to investigating and mediating claims of discrimination, harassment and retaliation. All individuals covered by this policy are expected to fully participate and cooperate in the investigation of any claim of discrimination, harassment, or retaliation.

Failure to participate and/or cooperate in an investigation when requested is grounds for discipline.

Depending upon an individual's category of employment (e.g., faculty, academic staff, regular staff, post-doctoral scholar, etc.) and the nature of the complaint, applicable grievance or other procedures may be used: [http://hrweb.stanford.edu/elr/policies/list\\_grievance\\_procedures.html](http://hrweb.stanford.edu/elr/policies/list_grievance_procedures.html). The University Ombuds (at 650/723-3682) and School of Medicine Ombuds (at 650/498-5744) are also available as confidential resources to discuss concerns. Anonymous concerns can be made to the Compliance Hotline.

F. **External Reporting** — Discrimination, harassment, and retaliation is prohibited by state and federal law. In addition to the internal resources described above, individuals may pursue complaints directly with the government agencies that deal with unlawful harassment, discrimination, and retaliation claims, e.g., the U.S. Equal Employment Opportunity Commission (EEOC), the State of California Department of Fair Employment and Housing (DFEH), and/or the U.S. Department of Education's Office for Civil Rights (OCR). These agencies are listed in the Government section of the telephone book. A violation of this policy may exist even where the conduct in question does not violate the law.

## 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.

# 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:

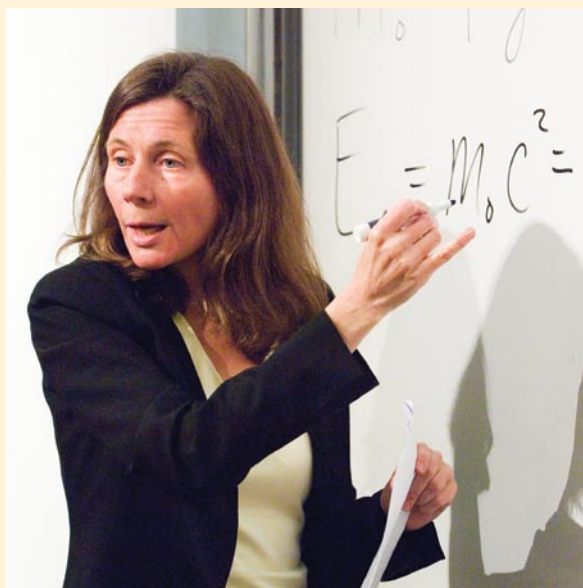
**1** A faculty whose diversity reflects that of the students we educate. This goal will be pursued in part by monitoring data and sharing results annually.

**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.



**Patricia Burchat, professor and chair of physics**

# Joint Statement by the Nine Presidents on Gender Equity in Higher Education

December 6, 2005

In 2001, we came together as a group to state publicly that “[i]nstitutions of higher education have an obligation, both for themselves and for the nation, to develop and utilize fully all the creative talent available.” That statement, which we reaffirm today, recognizes that barriers still exist to the full participation of women, not only in science and engineering, but also in academic fields throughout higher education.

In the summer of 2005, representatives from our nine universities convened to share best practices and specific initiatives addressing faculty with family responsibilities. While considerable progress has been made since 2001, we

acknowledge that there are still significant steps to be taken toward making academic careers compatible with family caregiving responsibilities.

Our goal as research universities is to create conditions in which all faculty are capable of the highest level of academic achievement. Continuing to develop academic personnel policies, institutional resources, and a culture that supports family commitments is therefore essential for maximizing the productivity of our faculty.

The future excellence of our institutions depends on our ability to provide equitable and productive career paths for all faculty.



**Patricia Jones, professor of biology and vice provost for Faculty Development and Diversity, and student, Michael Hughes**

*David Baltimore, California Institute of Technology*  
*Lawrence H. Summers, Harvard University*  
*Susan Hockfield, Massachusetts Institute of Technology*  
*Shirley M. Tilghman, Princeton University*  
*John Hennessy, Stanford University*  
*Robert Birgeneau, University of California, Berkeley*  
*Mary Sue Coleman, University of Michigan*  
*Amy Gutmann, University of Pennsylvania*  
*Richard C. Levin, Yale University*

# 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.



**Caroline M. Hoxby, professor of economics**

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.

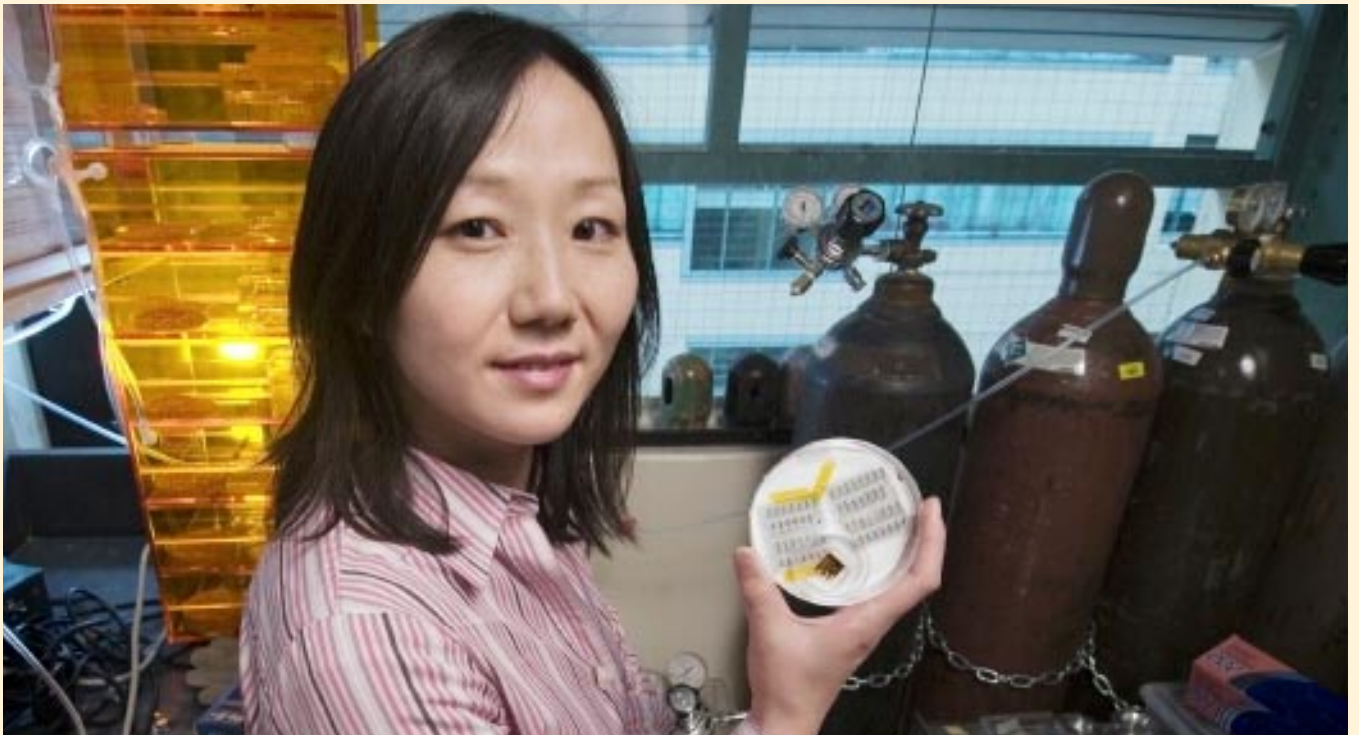
But even where no statistical significance emerges, several major concerns remain. The first is that the overall pattern of difference is unidirectional. Where disparities occur, virtually all involve men receiving higher compensation or support than women. This pattern suggests that additional individualized analysis is necessary to determine whether there is a reason unrelated to gender, such as seniority, sub-field 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





**Zhenan Bao, associate professor of chemical engineering**

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.



**Patricia Gumport, professor of education and vice provost for Graduate Education**

## 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



**From left, Ian Morris, professor of classics; Jennifer Trimble, associate professor of classics; and Stephen Haber, professor of political science**

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).





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