



**BROWN**

**Affirmative Action Plan for Minorities and Women  
2014-2015**

**Office of Institutional Diversity and Inclusion**

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## Table of Contents

<u>Title</u>	<u>Page</u>
An Introduction to Brown University	3
Responsibility for Program Implementation (Section II)	9
Identification of Problem Areas (Section III)	15
Establishment of Goals (Section IV)	24
Development and Execution of Action Oriented Programs (Section V)	26
Internal Audit and Reports (Section VI)	30
Compliance with Sex Discrimination Guidelines and Compliance with Sex, Religious, National Origin Policy Guidelines (Section VII)	33
Office of Federal Contract Compliance Programs (OFCCP)- 2012-2013 Compliance Evaluation (Section VIII)	37

*The 2014-2015 Affirmative Action Plan for Minorities and Women is available for review at the Office of Institutional Diversity and Inclusion (OID) and University Human Resources. The Plan is also available upon request in hard copy at the following locations: University Human Resources, Office of the Provost, all University Libraries, Office of the General Counsel, and Office of Institutional Diversity and Inclusion. To view the Plan online, please visit: <http://brown.edu/about/administration/institutional-diversity/reports-and-policies>*

**AN INTRODUCTION TO BROWN UNIVERSITY**

## INTRODUCTION

Founded in 1764, Brown University is the seventh oldest college in the United States. It consists of an undergraduate college, a graduate school, an engineering school, a school of public health, and a medical school.

### *Brown University's Undergraduate College*

As an undergraduate institution, Brown University ranks in the top five for student selectivity, consistently attracting more applicants per seat than most other schools in the nation. Much of Brown's popularity for undergraduate education can be traced to the "Brown Curriculum," an academic approach adopted three decades ago which abandons distribution requirements, plus and minus grades, and sharply defined lines between academic disciplines. Instead, Brown offers its approximately 6,548 undergraduates a completely self-determined education featuring lots of experimentation and as much grade pressure as the students place upon themselves.

### *Brown University's Graduate and Medical Schools*

Although relatively small, with only 2,094 students, Brown's graduate school ranks in the top 25 in the country.

Founded in 1972, the Alpert Medical School is the only medical school in the state. Also relatively small with 490 students, Brown's Medical School offers a high-quality medical education, ranking first in primary care education. Affiliated with local hospitals, Brown's Medical School provides much needed health care services to the Rhode Island community.

The graduate and medical programs are linked to the undergraduate program through a shared faculty. Faculty members generally teach both graduate and undergraduate courses, incorporate graduate teaching assistants into their curricular programs, and often allow undergraduates to take graduate courses (and vice versa). Since Brown emphasizes both teaching and research in tandem, faculty are recruited for their skill in the classroom as well as for their scholarly credentials.

### *What's New at Brown University?*

In 2013, the Public Health Program became Brown University's School of Public Health. The School is the natural evolution of ten years of growth in education and in research, with more than 200 faculty and 275 undergraduate and graduate students, and in 2013, the School achieved over \$50 million in annual external research funding. The Brown University School of Public health takes a "lifelong health" approach to improving people's lives.

The School of Professional Studies (newly named in 2014), demonstrates Brown University's commitment to executive education and its mission to develop reflective leaders, to effect change in the world, and to improve human welfare.

### *Supporting the Academic Mission*

Supporting the academic mission of the University are administrative departments that manage some 3,954 staff, 715 faculty, 231 Buildings, 6.8 million square feet, 12 Jewelry District Buildings, 154 acres in Providence, 339 acres at the Mount Hope Grant in Bristol, 6 buildings on the National Historic Register, 30 buildings in the City of Providence Historical Register, and 30 buildings in the City of Providence Historical Register. All of these administrative departments and buildings provide a multitude of services from telecommunications to catering, and the operation of the physical plant.

### *Introduction Summary*

In summary, Brown University maintains a strong sense of community among a diverse student-body, faculty, and administrative staff through shared goals and a common mission. Throughout the University, the opportunity to make choices is a long-standing trademark that supports the Brown culture.

## CORPORATION STATEMENT ON NON-DISCRIMINATION

Brown University has distinguished itself as an institution committed to a policy of equal employment opportunity and the principles of affirmative action. The University endorses the goals of equal employment opportunity and affirmative action as stated by the University's published Corporation Statement on Nondiscrimination:

“Brown University does not discriminate against any person because of race, color, religion, age, national or ethnic origin, disability, status as a veteran, sexual orientation, gender identity, gender expression, or sex, except where sex is a bona fide occupational qualification. The University will develop and from time to time update an affirmative action program and will insist on a good-faith effort on the part of its employees to comply with the program. The University will request and expect its agents and those with whom it conducts its affairs to meet the commitments of this important program. “

For more information about the Policy, please visit:

<http://www.brown.edu/about/administration/policies/node/285>

In support of the Affirmative Action Plan, the University will:

- Request and expect its agents and those with whom it conducts its affairs to demonstrate and commit to the importance of this program, and
- Be familiar with the Corporation Statement on Non-discrimination and other supporting University Policies

Brown University will continue to make strong and positive efforts to ensure that *qualified* minorities, women, disabled persons and veterans are provided full and appropriate consideration for employment. The University will continue to support and identify strategies to help ensure employee retention efforts by: encouraging, developing, promoting, counseling, training, and providing opportunities for participation in all University sponsored programs and social activities. By doing so, the University will continue to meet and strive to exceed affirmative action program requirements established for contractors by the federal government and monitored by the Department of Labor. The University will also continue to monitor the communication of University Human Resources Policies and University Procedures to ensure fairness in equal employment while providing a means for locating and eliminating any deficiencies in relevant areas of employment.

The progress toward creating a culture that recognizes and values pluralism and differences is built upon the everyday actions of all of our employees. The University will continue to make the Corporation Statement on Nondiscrimination and the Discrimination/Harassment/Sexual Harassment Policy known internally through various means of communication and training including, but not limited to University websites and meetings with executive management, Faculty, Provost, the Dean of Faculty, Associate Provost for Academic Development and Diversity, Vice Presidents, Senior Deans, Directors, Managers, Supervisors, and other administration. The University will also communicate externally through various means including, but not limited to: communicating policies and informing organizations that represent commonly underrepresented groups, and community agencies.

## **BROWN UNIVERSITY'S COMMITMENT AND STRATEGIC PLAN**

The purpose of Brown University's affirmative action program is to create and implement a set of positive steps to promote equal employment opportunity, and to eliminate unlawful discrimination. It includes expanded outreach, recruitment, mentoring, training, management development, and other programs designed to help Brown hire, retain, and advance qualified workers from diverse backgrounds.

Brown University is committed to affirmative action and fair employment. The University believes in committing to principles of fairness and respect for all and giving everyone an opportunity to succeed. Each year, an Affirmative Action Plan (AAP) is prepared and maintained in accordance with federal regulations. The process of completing this Plan gives us an opportunity to review our institutional policies and review our commitment to diversity and inclusion.

On October 26, 2013, the Brown University Corporation approved *Building on Distinction: A New Plan for Brown*. The strategic plan supports the University's Affirmative Action Plan for Minorities and Women, and asserts that all members of the Brown community must be culturally aware and adept.

In support of the strategic plan and Affirmative Action Plan, Brown University creates a climate that is favorable to the free and open exchange of ideas and reinforces the knowledge that differences are a source of strength. As the University moves forward with the values that sustain Brown's record of excellence and influence in the world, we will continue to welcome and challenge independent, creative, diverse, and courageous thinkers to collaborate, innovate, and explore life and world changing impact in servicing the community, nation, and world.

## **BROWN UNIVERSITY'S DIVERSITY ACTION PLAN**

Brown University's Diversity Action Plan (DAP) is written in support of the Strategic Plan, *Building on Distinction* and Affirmative Action Plans. The purpose of the DAP is to provide the framework by which the vision of building and sustaining a diverse and inclusive academic community [and professional work environment] will be met over the next decade. The DAP considers diversity in relation to the core priorities of *Building on Distinction* in the areas of integrative scholarship, educational leadership, academic excellence and campus development. The DAP re-affirms the University's commitment to address the underrepresentation and barriers to broad participation of U.S. minorities (African American, Hispanic/Latino, Native American and Asian American) and women.

The overall goal of the DAP is to create the conditions by which the University can be a leader in the establishment of innovative and effective policies and practices which facilitate and sustain a more inclusive academic community, where there is both an understanding and valuing of the broad participation of diverse students, faculty and staff in fulfilling the mission of a 21<sup>st</sup> century liberal arts university.

## **FEDERAL CONTRACT COMPLIANCE PROGRAMS**

Executive Order 11246, as amended, prohibits federal contractors and subcontractors from discriminating in employment decisions on the basis of race, color, religion, sex, or national origin. The Executive Order also requires federal contractors to take affirmative action to ensure that equal opportunity is provided in all aspects of their employment practices. The U.S. Department of Labor (DOL) has designated the Office of Federal Contract Compliance Programs (OFCCP) to administer and enforce executive order 11246.

Each federal contractor with 50 or more employees, and \$50,000 or more in government contracts, is required to develop a written Affirmative Action Plan (AAP) which details the affirmative action program for its establishment. An affirmative action program is required of Brown University because Brown receives federal funds; and is therefore, a “federal contractor.” The AAP is updated annually. The Plan is not filed with a specific government agency, but is retained on the premises for examination by the OFCCP, and possibly other agencies, for the purposes of conducting compliance reviews. An AAP must be developed for the following groups:

1. Minorities and women (41 CFR 60-2);
2. Special disabled veterans, Vietnam era veterans, and other covered veterans (41 CFR 60-250); and
3. Individuals, with disabilities (41 CFR 60-741).

The regulations define an AAP as a set of specific and result-oriented procedures to which a contractor commits to apply every good faith effort. The AAP is developed by the contractor to assist in a self-audit of its workforce, and to monitor progress in equal opportunity and affirmative action initiatives. The AAP identifies any areas in the contractor’s workforce that reflect underutilization of minorities and women. The regulations at 41 CFR 60-2. 11 (b) define underutilization as having fewer minorities or women in a particular job group (occupational category), than would reasonably be expected by their availability. When determining availability of minorities and women, contractors consider, among other factors, the presence of minorities and women having requisite skills in a geographic area in which the contractor can reasonably recruit.

Based on the utilization analysis and the availability of qualified individuals, the contractors establish goals to reduce or overcome the underutilization. Good faith efforts may include expanded efforts in outreach, recruitment, training, and others activities, to increase the pool of qualified minorities and women. The actual selection decision is to be made on a non-discriminatory basis.

The placement goals are established based on the availability of qualified applicants in the job market or qualified candidates in the employer’s workforce. The numerical goals component of affirmative action programs is not designed to be, nor may it properly or lawfully be interpreted as, permitting unlawful preferential treatment and quotas with respect to persons of any race, color, religion, sex, or national origin. The regulations at 41 CFR 60-2.12(a), 60-2.15 and 60-2.30, specifically prohibit discrimination and the use of goals as quotas. As such, numerical goals do not create set-asides for specific groups, nor are they designed to achieve proportional representation or equal results.

Rather, the goal-setting process in affirmative action planning is used to target and measure the effectiveness of affirmative action efforts to eradicate and prevent discrimination. The Executive Order and its supporting regulations do not authorize OFCCP to penalize contractors for not meeting goals. The regulations at 41CFR 60-2.12 (e), 60-2.30 and 60-2.15 specifically prohibit quotas and preferential hiring and promotions under the guise of affirmative action.

**SECTION II**

**RESPONSIBILITY FOR PROGRAM IMPLEMENTATION**

## **RESPONSIBILITY FOR PROGRAM IMPLEMENTATION**

In accordance with Section 60-2.22 of Revised Order 4, the V.P. for Academic Development and Office of Institutional Diversity and Inclusion and the Director of Diversity and Inclusion have been appointed by the President.

Responsibility for Program Implementation on behalf of Faculty

**The functions of the Vice President for Academic Development and the Office of Institutional Diversity and Inclusion are in accordance with the provisions outlined as follows:**

1. Work with all faculty searches; including, the Dean of the Faculty Department Chairs and Dean of Medicine and Biological Sciences to develop strategic hiring plans designed to attract a diverse range of candidates especially women and minorities to applicant pools
2. Provide an annual report of the hiring season outlining processes used to enhance the pool of qualified applicants, summary statistics of demographics of pools and shortlists, and demographics of those hired.
3. Work with faculty committees to increase awareness about diversity and inclusion and address diversity.
4. Work with units to prepare and implement strategic plans to increase diversity in the applicant pools for faculty positions.
5. Collaborate with community organizations and University Human Resources to recruit more effectively from local, regional, and national communities.
6. Work with the Vice President for Human Resources to ensure that policies, and practices, promote, and support diversity goals across the University.

Responsibility for Program Implementation on behalf of Staff

**The functions of the Director of Diversity and Inclusion are in accordance with the provisions outlined as follows:**

1. Report to the V.P. for Academic Development and Office of Diversity and Inclusion and collaborate with the V.P. for Human Resources in leading the development and deployment of proactive strategies, policies, and programs which build a diverse, discrimination-free, and retaliation-free workplace; and reinforce Brown University's values for diversity, inclusion, respect, and fairness to all.
2. Serve as a representative and liaison between the University and the equal employment opportunity enforcement agencies in addition to any other groups and communities concerned with employment opportunities
3. Provide support to the Director of Human Resources Services by assisting with identifying

recruitment strategies and opportunities for minorities, women, individuals with disabilities, and Vietnam Era and “other qualified” veterans;

4. Consult with the General Counsel Office regarding: (a) the effect of federal, state and local equal employment opportunity laws guiding the University, (b) interpretation of the law and internal/external data relative to the University's compliance with federal and state equal opportunity laws, and (c) new compliance guidelines and laws; consult with the V.P. for Academic Development and Office of Institutional Diversity and Inclusion regarding the General Counsel’s interpretation of guidelines and laws;
5. Recommend to University administrators and administrators within operating divisions procedures, practices, programs and policies necessary or desirable that will ensure: University compliance with anti-discrimination laws, and the continuance of University equal employment opportunity eligibility for government funding.
6. Provide, as necessary or desirable, advice, counsel and service in handling equal employment opportunity compliance problems and individual complaints, and recommend remedial action; establish procedures for identification of problems and the processing and resolution of complaints concerning discriminatory practices and policies;
7. Update the V.P. for Academic Development and Office of Institutional Diversity and Inclusion, and the V.P. for Human Resources, and other senior managers of the performance and progress on equal employment opportunity matters as requested; provide assistance to department heads and managers relative to the development of affirmative action goals; conduct “as needed” discussions with managers, supervisors, and employees to ensure that the University’s policies are being followed;
8. Periodically monitor employment processes and review the qualifications of employees to ensure that minorities and women are provided accessibility and given appropriate opportunities for waivers, transfers, and promotions; periodically review hiring, promotion and termination patterns, and the staff selection procedures, in order to remove impediments to the attainment of goals and objectives; and review selective hiring pools to ensure a diverse candidate pool.
9. Conduct periodic audits and inspections to ensure that:
  - EEO posters are properly displayed
  - All University facilities maintained for the use and benefit of employees are desegregated both in policy and use
  - Minority and female employees are afforded full opportunity and are encouraged to participate in all University sponsored educational, training, recreational and social activities
  - Ensure that the University’s commitment to Equal Employment Opportunity and Affirmative Action are known and understood at all levels of the University

**OTHER OFFICES CHARGED WITH ENSURING FAIR AND EQUITABLE HIRING AND RETENTION OF STAFF OR FACULTY INCLUDE:**

The functions of the Provost Office are to continue to increase the diversity of the faculty through targeted and aggressive recruitment strategies and innovative retention programs.

**The functions of the Provost Office are to:**

1. Hold deans, department chairs and program directors accountable for increasing diversity, especially the proportions of women and minority faculty.
2. Educate faculty and search committees by providing training and resources to increase diversity awareness and improve recruitment in areas of underutilization.
3. Ensure that the University advertises and conducts aggressive national searches designed to produce richly diverse applicant pools.
4. Initiate opportunities for chairs, directors, and other faculty to learn more about strategies for recruiting and retaining faculty, especially women and minorities.
5. Maintain a database of job openings as a resource for the recruitment of new faculty. Support and maintain an on-line faculty hiring system, in collaboration with the Dean of the Faculty and Dean of Medicine and Biological Sciences. Since the summer of 2012, Brown University has used Interfolio By Committee ([www.interfolio.com](http://www.interfolio.com)) for most faculty searches. This online applicant tracking and recruitment system allows you to collect, view, and discuss application materials securely from anywhere that you can reach the internet. The first time a unit runs a search through Interfolio, a member of the administrative staff meets with a representative of the Dean of the Faculty's office to walk through the application. Administrative staff, in turn, train faculty members in their unit on the basic functionality of Interfolio.

**The Dean of the Faculty, Dean of Medicine and Biological Sciences, and department chairs and program directors will:**

1. Ensure that faculty search committees actively recruit and examine a wide range of candidates, especially women and minorities, for open positions guided by strategic planning, clear goals, and timelines.
2. Develop strategic plans for recruitment and retention to specifically increase women and minority candidates in fields where they continue to be disproportionately underrepresented.
3. Ensure that department climates welcome diversity in its many forms.
4. Create a faculty development program designed to teach new faculty about processes, procedures, and customs of the University.
5. Encourage faculty to attend seminars and workshops designed to share information about maintaining climates conducive to faculty diversity.

**The Vice President for Human Resources is responsible for the following:**

1. Ensure that senior managers, department heads, managers and supervisors welcome and encourage diversity and inclusion among all levels of staff; regularly review staff job openings and areas of opportunity to diversify candidate pools and communicate the Affirmative Action

goals and purpose to senior management and key stake holders. In addition, the University's compensation and benefit policies are reviewed to ensure non-discrimination on the basis of race, color, religion, sex, national origin, age, qualified disability, sexual orientation, gender identity or gender expression;

2. Ensure University Human Resources will maintain an information system which includes the name, title, race, sex, EEO job category, job classification number, salary grade and salary for each employee of Brown University; assure that job qualifications and descriptions, which detail the criteria upon which the hiring manager will make the decision to accept or reject an applicant are accurate, valid, in compliance with University policy and federal and/or state law, and fairly reflect duties, responsibilities and requirements consistent with the function of each position;
3. Ensure that records are maintained which reflect available applicant flow information including name, race, sex, date of application, position desired, category of position, and referral source; ensure that records are maintained reflecting the numbers of hires, promotions, transfers and terminations by name, race, sex, date of action, job title, and EEO category
4. Ensure that the University advertises as an EEO/AA employer and that all advertising which is placed in newspapers or other publications advertisements will contain the statement "Brown University is an Equal Employment Opportunity/Affirmative Action Employer – Minority/Female/Disability/Veteran"; ensure on a semi-annual basis that the University EEO/AA Officer will send a letter to agency directors and community groups encouraging them to utilize <https://careers.brown.edu> to refer women, minorities, Vietnam Era and other qualified veterans, and persons with disabilities for employment opportunities at Brown;
5. Ensure that when women and minority employees are disciplined, demoted, or if it becomes necessary for the University to downsize, including layoffs and terminations, a review in advance will be made to ensure that employees are treated fairly and are not adversely affected on the basis of race or gender, contrary to federal or state laws

**The General Counsel is responsible for informing the Vice President for Academic Development and Office of Institutional Diversity and Inclusion, the Vice President for Human Resources, and the Director of Diversity and Inclusion the following:**

1. New federal, state, and local EEO laws and regulations including the analyzing of those laws. Coordinate the University Policy and training for compliance with federal and state regulations; advise the Office of Institutional Diversity and University Human Resources, senior officers and department heads, in the exercise of their duties and responsibilities;
2. Review laws and recent court decisions related to EEO/AA laws and regulations and advise management of pertinent decisions for guidance and implementation;
3. Advise the University in the investigation and response to complaints and other inquiries from federal, state, and local enforcement agencies; and, represent the University in all legal matters before the Courts or State or Federal agencies.

**The Purchasing Manager and Purchasing Agent are responsible for the following:**

2. Proactively identify new and existing vendors for the University; continue to identify vendors in support of diversity and inclusion supplier initiatives and ensure that each subcontractor, vendor and supplier is informed in writing, or by verbal reference to, their obligations with regard to Equal Employment Opportunity and Affirmative Action in accordance with federal law; maintain a listing and/or Workday database of all “active” vendors reflecting total dollars of purchase orders placed with each vendor.
2. Identify opportunities for diversifying vendor selection; and, provide updates to the V.P. for Academic Development and Office of Institutional Diversity and Inclusion, and the Director of Diversity and Inclusion on the active business of minority and women owned vendors with the University, and conduct regularly scheduled meetings discussing the names of subcontractors, vendors, and suppliers doing business with the University as well as the process used to identify and select the minority and women owned businesses.

**SECTION III**  
**IDENTIFICATION OF PROBLEM AREAS**

## **A. Availability Analysis**

### **1. Equal Employment Opportunity (EEO) Job Group Availability**

According to the U.S. Department of Labor, Office of Federal Contract Compliance Programs (OFCCP), an availability analysis determines the percentage of women and minorities who have the skills required to perform the jobs within each job group.

The purpose of the availability analyses is to estimate the percentage of minorities and women among those qualified for employment for each job group. Availability involves calculation of minorities and women who are "available" to work in the job from both external sources (i.e., hired from outside the University) and internal sources (e.g., transfer or promotion of existing employee in the University).

### **2. Faculty - External Availabilities**

For many of the faculty groups, the Survey of Earned Doctorates published by the National Opinion Research Center at the University of Chicago were used to determine the availability percentages for skilled workers. For the Albert Medical School, the Association of American Medical Colleges Faculty Roster was used to determine the availability of skilled workers. For some of the "arts" Faculty Job Groups, the Data Summaries compiled by the Higher Education and Data Services Project, a joint effort of the National Association of Schools of Music, the National Association of Schools of Art and Design, and the National Association of Schools of Theatre were used to determine the percentages for skilled workers.

### **3. Staff – External Availabilities**

The data source used for the estimated availability of Women and Minorities was the 2006-2010 Census EEO Tabulation, published by the U.S. Census Bureau (e.g., for local, regional, and national recruitment areas by EEO job code and category).

## B. Review of last year's personnel transactions

### 1. STAFF (NON FACULTY)

During the period October 1, 2013 through September 30, 2014, there were 531 hires, 141 promotions, 100 transfers, 300 waivers and 762 terminations (of which 324 are seasonal positions with a job and position termination end date). The term "waiver" refers to the hiring of student workers, current employees, or former employees into full-time or part-time positions. The breakdown of the personnel actions by the Equal Employment Opportunity Commission (EEOC) category, minority-majority category, and men-women category is as follows:

TERMINATIONS VOLUNTARY	Total	MEN	%MEN	WOMEN	% WOMEN	MIN	%Min	MAJORITY	% MAJORITY	UNKNOWN RACE/ETHNICITY	% UNKNOWN
Exec/Sr. Level Officials & Managers	4	1	25.00%	3	75.00%	1	25.00%	3	75.00%	0	0.00%
First/Mid-Level Officials & Managers	59	24	40.68%	35	59.32%	11	18.64%	41	69.49%	7	11.86%
Professional	134	67	50.00%	67	50.00%	23	17.16%	90	67.16%	21	15.67%
Clerical/Secretarial	57	16	28.07%	41	71.93%	12	21.05%	39	68.42%	6	10.53%
Technical/Paraprofessional	47	17	36.17%	30	63.83%	11	23.40%	27	57.45%	9	19.15%
Skilled Crafts	4	4	100.00%	0	0.00%	0	0.00%	3	75.00%	1	25.00%
Service/Maintenance	30	19	63.33%	11	36.67%	7	23.33%	10	33.33%	13	43.33%
Totals	335	148	44.18%	187	55.82%	65	19.40%	213	63.58%	57	17.01%
TERMINATIONS INVOLUNTARY	Total	MEN	%MEN	WOMEN	% WOMEN	MIN	%Min	MAJORITY	% MAJORITY	UNKNOWN RACE/ETHNICITY	% UNKNOWN
Exec/Sr. Level Officials & Managers	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
First/Mid-Level Officials & Managers	8	4	50.00%	4	50.00%	1	12.50%	7	87.50%	0	0.00%
Professional	36	20	55.56%	16	44.44%	6	16.67%	22	61.11%	8	22.22%
Clerical/Secretarial	22	9	40.91%	13	59.09%	6	27.27%	11	50.00%	5	22.73%
Technical/Paraprofessional	28	14	50.00%	14	50.00%	9	32.14%	13	46.43%	6	21.43%
Skilled Crafts	1	1	0.00%	0	0.00%	0	0.00%	1	0.00%	0	0.00%
Service/Maintenance	8	4	50.00%	4	50.00%	2	25.00%	4	50.00%	2	25.00%
Totals	103	52	50.49%	51	49.51%	24	23.30%	58	56.31%	21	20.39%
SEASONAL INVOLUNTARY TERMS	Total	MEN	%MEN	WOMEN	% WOMEN	MIN	%Min	MAJORITY	% MAJORITY	UNKNOWN RACE/ETHNICITY	% UNKNOWN
Exec/Sr. Level Officials & Managers	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
First/Mid-Level Officials & Managers	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Professional	226	97	42.92%	129	57.08%	37	16.37%	89	39.38%	100	44.25%
Clerical/Secretarial	25	16	64.00%	9	36.00%	5	20.00%	5	20.00%	15	60.00%
Technical/Paraprofessional	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Skilled Crafts	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Service/Maintenance	73	19	26.03%	54	73.97%	25	34.25%	19	26.03%	29	39.73%
Totals	324	132	40.74%	192	59.26%	67	20.68%	113	34.88%	144	44.44%

NEW HIRES	Total	MEN	%MEN	WOMEN	% WOMEN	MIN	%MIN	NON MINORITY	%NON MINORITY	UNKNOWN RACE ETHNICITY	% UNKNOWN
Exec/Sr. Level Officials & Managers	2	1	30.00%	1	30.00%	0	0.00%	0	0.00%	2	100.00%
First/Mid-Level Officials & Managers	48	14	29.17%	34	70.83%	6	12.50%	19	39.58%	23	47.92%
Professional	255	107	41.96%	148	58.04%	47	18.43%	90	35.29%	118	46.27%
Clerical/Secretarial	67	20	29.85%	47	70.15%	8	11.94%	31	46.27%	28	41.79%
Technical/ Paraprofessional	39	14	35.90%	25	64.10%	7	17.95%	19	48.72%	13	33.33%
Skilled Crafts	6	5	83.33%	1	16.67%	0	0.00%	4	66.67%	2	33.33%
Service/Maintenance	114	42	36.84%	72	63.16%	13	13.16%	36	49.12%	43	37.72%
Totals	531	203	38.23%	328	61.77%	83	15.63%	219	41.24%	229	43.13%
<b>PROMOTIONS</b>											
PROMOTIONS	Total	MEN	%MEN	WOMEN	% WOMEN	MIN	%MIN	NON MINORITY	%NON MINORITY	UNKNOWN RACE ETHNICITY	% UNKNOWN
Exec/Sr. Level Officials & Managers	4	3	0.00%	1	0.00%	1	0.00%	3	0.00%	0	0.00%
First/Mid-Level Officials & Managers	48	21	43.75%	27	56.25%	6	12.50%	39	81.25%	3	6.25%
Professional	45	17	37.78%	28	62.22%	5	11.11%	38	84.44%	2	4.44%
Clerical/Secretarial	19	3	15.79%	16	84.21%	3	15.79%	16	84.21%	0	0.00%
Technical/ Paraprofessional	13	4	30.77%	9	69.23%	4	30.77%	9	69.23%	0	0.00%
Skilled Crafts	1	1	100.00%	0	0.00%	0	0.00%	1	100.00%	0	0.00%
Service/Maintenance	11	8	72.73%	3	27.27%	1	9.09%	9	81.62%	1	9.09%
Totals	141	57	40.43%	84	59.57%	20	14.18%	115	81.56%	6	4.26%
<b>TRANSFERS</b>											
TRANSFERS	Total	MEN	%MEN	WOMEN	% WOMEN	MIN	%MIN	NON MINORITY	%NON MINORITY	UNKNOWN RACE ETHNICITY	% UNKNOWN
Exec/Sr. Level Officials & Managers	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
First/Mid-Level Officials & Managers	16	5	31.25%	11	68.75%	2	12.50%	14	87.50%	0	0.00%
Professional	28	21	75.00%	7	25.00%	4	14.29%	24	85.71%	0	0.00%
Clerical/Secretarial	20	3	15.00%	17	85.00%	3	15.00%	15	75.00%	2	10.00%
Technical/ Paraprofessional	3	0	0.00%	3	100.00%	0	0.00%	3	100.00%	0	0.00%
Skilled Crafts	7	7	100.00%	0	0.00%	1	14.29%	6	85.71%	0	0.00%
Service/Maintenance	26	18	69.23%	8	30.77%	11	42.31%	10	38.46%	3	19.23%
Totals	100	54	54.00%	46	46.00%	21	21.00%	72	72.00%	7	7.00%
<b>WAIVERS</b>											
WAIVERS	Total	MEN	%MEN	WOMEN	% WOMEN	MIN	%MIN	NON MINORITY	%NON MINORITY	UNKNOWN RACE ETHNICITY	% UNKNOWN
Exec/Sr. Level Officials & Managers	1	1	100.00%	0	0.00%	0	0.00%	1	100.00%	0	0.00%
First/Mid-Level Officials & Managers	29	7	24.14%	22	75.86%	5	17.24%	18	62.07%	6	20.69%
Professional	160	73	45.63%	86	53.75%	30	18.75%	68	42.50%	62	38.75%
Clerical/Secretarial	52	25	48.08%	27	51.92%	3	9.62%	22	42.31%	23	48.08%
Technical/ Paraprofessional	44	23	56.82%	19	43.18%	8	18.18%	22	50.00%	14	31.82%
Skilled Crafts	1	1	100.00%	0	0.00%	1	100.00%	0	0.00%	0	0.00%
Service/Maintenance	13	8	61.54%	5	38.46%	2	15.38%	6	46.15%	3	38.46%
Totals	300	140	46.67%	159	53.00%	51	17.00%	137	45.67%	112	37.33%

## 2. FACULTY

At the beginning of the academic year for 2014, there were a total of 715 regular faculty. Regular faculty is defined as those campus-based individuals who hold the titles of Assistant Professor, Associate Professor or Professor and those individuals whose appointments as Lecturer or Senior Lecturer are half-time or more. The remaining faculty are adjunct or research faculty. The regular faculty are categorized into four major disciplines: Humanities, Life/Medical Sciences, Physical Sciences, and Social Sciences.

		Total All	Total Women	Total Men	Total Minority	Total Non Minority	Women Utilization	Women Availability	Women Goal	Minority Utilization	Minority Availability	Minority Goal
<b>HUMANITIES</b>		206	97	109	42	178	47.1%			20.4%		
	Sr. Tenured Faculty	96	35	61	10	86	36.5%	51.18%	Y	10.4%	11.89%	Y
	Tenured Faculty	38	18	20	13	25	47.4%	49.81%	Y	34.2%	11.88%	N
	Tenure Track Faculty	32	16	16	9	23	50.0%	47.59%	N	28.1%	16.29%	N
	Non-Tenure Track Faculty	40	28	12	9	31	70.0%	54.14%	N	22.5%	13.04%	N
<b>LIFE/MEDICAL SCIENCES</b>		160	50	110	17	0	31.3%			10.6%		
	Sr. Tenured Faculty	81	24	57	5	76	29.6%	48.18%	Y	6.2%	19.62%	Y
	Tenured Faculty	28	6	22	5	23	21.4%	45.14%	Y	17.9%	22.35%	Y
	Tenure Track Faculty	44	16	28	7	37	36.4%	42.96%	Y	15.9%	28.67%	Y
	Non-Tenure Track Faculty	7	4	3	0	7	57.1%	52.20%	N	0.0%	21.75%	Y
<b>PHYSICAL SCIENCES</b>		180	27	153	43	0	15.0%			23.9%		
	Sr. Tenured Faculty	111	8	103	23	88	7.2%	19.43%	Y	20.7%	21.66%	Y
	Tenured Faculty	30	6	24	10	20	20.0%	21.81%	Y	33.3%	23.43%	N
	Tenure Track Faculty	32	8	24	7	25	25.0%	26.30%	Y	21.9%	22.66%	Y
	Non-Tenure Track Faculty	7	5	2	3	4	71.4%	20.80%	N	42.9%	21.82%	N
<b>SOCIAL SCIENCES</b>		169	64	105	38	0	37.9%			22.5%		
	Sr. Tenured Faculty	83	26	57	15	68	31.3%	55.98%	Y	18.1%	17.04%	N
	Tenured Faculty	31	13	18	9	22	41.9%	58.27%	Y	29.0%	19.77%	N
	Tenure Track Faculty	37	15	22	11	26	40.5%	60.95%	Y	29.7%	23.93%	N
	Non-Tenure Track Faculty	18	10	8	3	15	55.6%	56.99%	Y	16.7%	18.42%	Y
	<b>TOTAL ALL FACULTY</b>	<b>715</b>	<b>238</b>	<b>477</b>	<b>140</b>	<b>178</b>	<b>33.3%</b>			<b>19.6%</b>		

## B. Review of employment policies and practices.

As part of the University's ongoing audit process, a thorough analysis has been conducted of the following matters for the 12-month period October 1, 2013 through September 30, 2014:

1. Composition of the total work force by minority group status and sex.
2. Goals:
  - *Workday*: Enhance Brown University's Workday system to provide ongoing robust reports and data
    - Workday is a human capital management system. The system is designed to help organize staff and pay employees by using a single system-of-record.
  - *Self-Identification*: Employees update their self-identification information including race and ethnicity changes twice a year
    - Employees are asked to voluntarily update their data in the Workday system. The fields requiring updating, include but are not limited to EEO data categories
  - *Metrics*: University Human Resources continues to review staff metrics by tracking data quarterly, which includes: headcount, diversity, compensation, staffing, new hires, and terminations.
    - Compensation and Organizational Development within University Human Resources analyze and evaluate human capital data through the Workday system to determine metrics
  - *Workforce Planning*: Workforce Planning meetings are held weekly to review job openings, underutilization, anticipated re-organizations, organizational changes or operational needs.

- The V.P. for Human Resources leads Workforce Planning meetings to assess the staff operational and employment needs of the University
- 
- *Organizational Review Team:* The organizational review team includes the Director of Compensation and Organizational Services, the Director of Labor and Employee Relations, the Director of HR Services (employment), the Director of Diversity and Inclusion (EEO/AA), and the Human Resources Generalist for the respective department affected by the review. The team meets to ensure consistent application of policy and practice are followed and to ensure fairness and equity to all - women and minorities.
- *Diversity or Affirmative Action Representatives with Faculty Search Committees:* Faculty search committees are required to have an Affirmative Action Representative (AAR) representative to initiate, discuss, and help evaluate candidates. The AAR for faculty is a tenured member of the faculty, who is part of every search committee. The AAR is expected to take a leading role in identifying women and minorities who qualify for the position, and in ensuring compliance with all affirmative action guidelines in all phases of the search. The AAR assist the search committee in carrying out its responsibilities to develop a broad and diverse candidate pool and acts as a liaison to the EEO/AA Office during the process.

C. Underutilization Chart - The University is underutilized in the following EEOC categories and job groups. ***The goals are listed in Section IV, which identify the underutilized areas***

1. Equal Employment Opportunity (EEO) Codes and EEO Job Group Titles:

<b>EEO Code</b>	<b>EEO – Job Group Title</b>
A-1	Executive/Senior Level Officials and Managers
A-2	First Mid-Level Officials and Managers
Sr. Tenured	Sr. Tenured
Tenured	Tenured
Tenure Track	Tenure Track
Non-Tenured	Non-Tenured
<b>EEO Code</b>	<b>EEO – Job Group Title</b>
C-0	Student Service Professionals
C-1, C-2, C-3	Computer Professionals, Health Assessment/ Treatment Professionals, Physicians
C-4	Financial Professionals
C-5	Administrative Professionals
C-6	Athletic Coaches
C-7	Library Professionals
C-8	Engineers/Architects
C-9	Educational Professionals
C-F	Fundraisers
C-L	Lawyers
D-1	Senior Secretarial Administrative Support
D-2	Secretarial/Clerical Support
D-3	Library Clerical Support
D-4	Financial Clerical Support
E-1	Engineering Technicians
E-2	Biology/Medicine Researchers
E-3	General Technologies & Technicians
E-4	Computer/ Telecommunications Technicians
F-1	Crafts/Trades
F-2	Mechanics
F-3	Machine Operators
G-1	Service Maintenance
G-2	Food Service Workers
G-3	Protective Service Occupations

2. Summary Chart of Underutilization Analysis by EEO Code and Job Group Title

EEOC Category	EEO Code	EEO – Job Group Title	Underutilized Women	Underutilized Minorities
Executives (Sr. Level) Officials & Managers	A-1	Executive/Senior Level Officials and Managers	Yes	No
Mid-level Managers	A-2	First Mid-Level Officials and Managers	No	Yes
Faculty	Sr. Tenured	Sr. Tenured	Yes: Humanities, Life/Medical Science, Physical Science, Social Science	Yes: Humanities, Life/Medical Science, Physical Science
	Tenured	Tenured	Yes: Humanities, Life/Medical Science, Physical Sciences, Social Science	Yes: Life/Medical Science
	Tenure Track	Tenure Track	Yes: Life/Medical Sciences, Physical Science, Social Science	Yes: Life/Medical Sciences, Physical Sciences
	Non-Tenured	Non-Tenured	Yes: Social Science	Yes: Life/Medical Science, Social Science
EEOC Category	EEO Code	EEO – Job Group Title	Underutilized Women	Underutilized Minorities
Professionals (non-faculty)	C-0	Student Service Professionals	No	No
	C-1, C-2, C-3	Computer Professionals, Health Assessment/ Treatment Professionals, Physicians	No	Yes: Computer Professionals, Health Assessment/ Treatment Professionals, Physicians
	C-4	Financial Professionals	No	Yes
	C-6	Athletic Coaches	No	Yes
	C-7	Library Professionals	Yes	Yes
	C-8	Engineers/Architects	Yes	Yes
	C-9	Educational Professionals	Yes	No
	C-F	Fundraisers	Yes	Yes
	C-L	Lawyers	Yes	No
	D-1	Senior Secretarial Administrative Support	No	Yes
	D-2	Secretarial/Clerical Support	Yes	Yes
	D-3	Library Clerical Support	Yes	Yes
	D-4	Financial Clerical Support	No	Yes
	E-1	Engineering Technicians	Yes	No
	E-2	Biology/Medicine Researchers	No	Yes
	E-3	General Technologists & Technicians	Yes	Yes
	E-4	Computer/Telecommunications Technicians	No	No
	F-1	Crafts/Trades	No	No
	F-2	Mechanics	No	Yes
	F-3	Machine Operators	No	Yes
	G-1	Service Maintenance	No	Yes
	G-2	Food Service Workers	Yes	No
	G-3	Protective Service Occupations	No	No

The new Census Bureau statistics for 2010, which was released in February 2015 has increased goal percentages resulting in an increase in the pool of qualified candidates in various local, regional, and national recruiting areas for staff and faculty. As a result, there are significant changes and increases in the percentage goals used to measure the quality of the applicant flow of women and minority candidates in hiring pools. Specifically, in the charts described in Section 2 – “Summary Chart of Underutilization by EEO Code and Job Group Title,” women and minorities are analyzed in the chart.

The “Yes” in the column of Underutilized Women and Underutilized Minorities means that the University has not hired enough qualified women or minorities as candidates. In sum, if there is a “Yes” in the column, then Brown is hiring a lower number of qualified candidates as compared to the higher number of qualified candidates the government is indicating is available for qualified candidate pools for each EEO Job Group.

The “No” in these columns indicates that Brown has hired enough applicants and met the goals of the

government; in these pools, no underutilization is present by minorities or women in the relevant EEO Job Groups and Titles.

- a. *In the areas where a “Yes” is indicated in the chart, the University needs to improve the efforts for increasing the applicant flow of women and minorities. All groups identified with a “yes” in the job groups need improvement as identified in the charts, Plan, and displayed in Section 3 within the Underutilization Chart and Section IV – Establishment of Identified Goals.*

3. Composition of applicant flow by minority group status and sex.

- Staff (minorities): The applicant flow for minorities is strong in Educational Professionals, Lawyers, Engineering Technicians, Crafts/Trades, and Food Service Workers.

Due to the new Census data, the applicant flow for minorities needs to be strengthened in the Computer Professionals, Health Assessment/Treatment Professionals, Physicians, Financial Professionals, Athletic Coaches, Library Professionals, Engineers/Architects, Fundraisers, Senior Secretarial Administrative Support, Secretarial/Clerical Support, Library Clerical Support, Financial Clerical Support, Biology/Medicine Researchers, General Technologists & Technicians, Mechanics, Machine Operators, and Service Maintenance.

- Staff (women): The applicant flow for women is strong in Student Service Professionals, Computer Professionals, Health Assessment/Treatment Professionals, Physicians, Administrative Professionals, Athletic Coaches, Senior Secretarial Administrative Support, Financial Clerical Support, Biology/Medicine Researchers, Computer/Telecommunications Technicians, Crafts/Trades, Mechanics, Machine Operators, and Service Maintenance.

The applicant flow for women needs to be strengthened in Library Professionals, Engineers/Architects, Educational Professionals, Fundraisers, Lawyers, Secretarial/Clerical Support, Library Clerical Support, Engineering Technicians, General Technologists & Technicians, and Food Service Workers.

- Faculty (minorities): The new Census Bureau statistics for 2010, which were released in February 2015 has increased goal percentages resulting in an increase in the pool of qualified candidates in various national recruiting areas for faculty.
  - Senior Tenured – minority pools are strong in the Social Science area
  - Tenured – minority pools are strong in the Humanities, Physical Science, and Social Science areas
  - Tenure Track – minority pools are strong in the Humanities and Social Science areas
  - Non-Tenured – minority pools are strong in the areas of Humanities, and Physical Science
- Faculty (women):
  - Senior Tenured – women pools need to be strengthened in the Humanities, Life/Medical Science, Physical Science, and Social Science areas
  - Tenured – women pools need to be strengthened in the Humanities, Life/Medical Science, Physical Science, and Social Science areas
  - Tenure Track – women pools are strong in the Humanities area
  - Non-Tenured – women pools are strong in the areas of Humanities, Life/Medical Science, and Physical Science

*The Utilization Chart in Section 3 identifies all categories, which need improvement.*

4. The selection process for staff and faculty is reviewed when “underutilization” has been identified for positions to determine whether or not there is a higher percentage of qualified minorities or women than non-minorities or men. No major deficiencies in the selection of qualified candidates were noted.
5. (Depending on the position, the selection process may include position descriptions, position titles, job descriptions, the online application form, pre-employment forms, and interview procedures; other positions may require test administration, test validity, referral procedures, and a final selection process. The vast majority of positions do not require a test. )
6. Application and related pre-employment forms: The online application form, pre-employment forms and employment brochures have been reviewed for compliance with federal regulations.
7. Job descriptions review: Position descriptions outlining the purpose, summary, essential functions and major responsibilities are developed for all jobs; Minority and female employees are not required to possess higher qualifications for promotion than non-minority or male employees.
8. Tests and Other Selection Techniques: Formal or scored selection procedures are reviewed by the Director of Diversity and Inclusion to ensure the test and techniques are free of bias and misinterpretation. An Analysis of Underutilization or Adverse Impact Analysis is periodically conducted within University Human Resources when sizeable position eliminations or re-organizations are requested.
9. Seniority practices and provisions of union contracts: This area is monitored by The Director of Labor and Employee Relations within University Human Resource to determine whether seniority provisions contribute to overt or inadvertent discrimination, (i.e., a disparity by minority group status or sex exists between length of service and types of jobs held.) No deficiencies were noted.
10. Apprenticeship and training programs (formal and informal): The University has no formal training apprentice programs. Additional resources services including administrators and union stewards are available to employees to resolve problems.
11. The Ombuds Office changed from part-time to full time status as of July 1, 2013 serving as an independent, confidential, neutral and informal resource to all faculty, postdoctoral fellows, and staff (non-bargaining and bargaining). The Office provides a place to be heard and to receive impartial attention without fear or privacy loss.
12. A Hiring Report form must be completed by the hiring manager and approved by the Director of Human Resources Services or a Human Resources Generalist prior to an offer being extended. Justification is required from hiring managers if apparently qualified minority or female employees are passed over for promotion when underutilization exists.

**SECTION IV**  
**ESTABLISHMENT OF GOALS**

President 14/15

EEO Job Group	EEO Job Group Title	Total All	Total Women	Total Men	Total Minority	Total Non Minority	Women Utilization	Women Availability	Women Goal	Minority Utilization	Minority Availability	Minority Goal
A-1	Executive/Senior Level Officials and Managers	9	7	2	1	8	77.78%	41.89%	N	11.11%	18.88%	Y
A-2	First Mid-Level Officials and Managers	2	2	0	1	1	100.00%	37.22%	N	50.00%	19.37%	N
C-5	Administrative Professionals	1	1	0	1	0	100.00%	54.33%	N	100.00%	11.86%	N
D-1	Senior Secretarial Administrative Support	1	1	0	1	0	100.00%	83.75%	N	100.00%	15.72%	N
G-1	Service/Maintenance	2	2	0	1	1	100.00%	28.54%	N	50.00%	36.43%	N
		<b>15</b>	<b>13</b>	<b>2</b>	<b>5</b>	<b>10</b>	<b>86.67%</b>			<b>33.33%</b>		

Provost 14/15

EEO Job Group	EEO Job Group Title	Total All	Total Women	Total Men	Total Minority	Total Non Minority	Women Utilization	Women Availability	Women Goal	Minority Utilization	Minority Availability	Minority Goal
A-1	Executive/Senior Level Officials and Managers	19	13	6	7	12	68.42%	41.89%	N	36.84%	18.88%	N
A-2	First Mid-Level Officials and Managers	380	247	133	44	336	65.00%	37.22%	N	11.58%	19.37%	Y
C-1	Computer Professionals	201	71	130	22	179	35.32%	27.57%	N	10.95%	29.88%	Y
C-2	Health Assessment/Treatment Professionals	5	4	1	0	5	80.00%	66.46%	N	0.00%	17.91%	Y
C-4	Financial Professionals	34	28	6	6	28	82.35%	54.69%	N	17.65%	29.00%	Y
C-5	Administrative Professionals	134	107	27	20	14	79.85%	54.33%	N	14.93%	11.86%	N
C-6	Athletic Coaches	4	0	4	0	4	0.00%	35.81%	Y	0.00%	22.69%	Y
C-7	Library Professionals	41	24	17	2	39	58.54%	74.40%	Y	4.88%	15.60%	Y
C-8	Engineers/Architects	3	0	3	0	3	0.00%	41.55%	Y	0.00%	23.11%	Y
C-9	Educational Professionals	15	10	5	5	10	66.67%	76.28%	Y	33.33%	31.72%	N
D-1	Senior Secretarial Administrative Support	191	169	22	36	155	88.48%	83.75%	N	18.85%	15.72%	N
D-2	Secretarial/Clerical Support	8	4	4	2	6	50.00%	75.88%	Y	25.00%	16.75%	N
D-3	Library Clerical Support	61	37	24	8	53	60.66%	83.56%	Y	13.11%	20.20%	Y
D-4	Financial Clerical Support	22	21	1	2	20	95.45%	82.06%	N	9.09%	17.49%	Y
E-1	Engineering Technicians	1	0	1	1	0	0.00%	36.84%	Y	100.00%	22.27%	N
E-2	Biology/Medicine Researchers	33	26	7	8	25	78.79%	59.01%	N	24.24%	31.41%	Y
E-3	General Technologists & Technicians	85	48	37	15	70	56.47%	59.91%	Y	17.65%	22.20%	Y
E-4	Computer/Telecommunications Technicians	26	7	19	9	17	26.92%	20.77%	N	34.62%	16.30%	N
F-1	Crafts/Trades	3	1	2	1	2	33.33%	1.79%	N	33.33%	17.31%	N
G-1	Service/Maintenance	1	0	1	0	1	0.00%	28.54%	Y	0.00%	36.43%	Y
		<b>1267</b>	<b>817</b>	<b>450</b>	<b>188</b>	<b>979</b>	<b>64.48%</b>			<b>14.84%</b>		

## Executive Vice President for Planning and Policy 14/15

EEO Job Group	EEO Job Group Title	Total All	Total Women	Total Men	Total Minority	Total Non Minority	Women Utilization	Women Availability	Women Goal	Minority Utilization	Minority Availability	Minority Goal
A-1	Executive/Senior Level Officials and Managers	4	1	3	1	3	25.00%	41.89%	Y	25.00%	18.88%	N
A-2	First Mid-Level Officials and Managers	18	4	14	3	15	22.22%	37.22%	Y	16.67%	19.37%	Y
C-5	Administrative Professionals	2	2	0	0	2	100.00%	54.33%	N	0.00%	11.86%	Y
D-1	Senior Secretarial Administrative Support	4	3	1	1	3	75.00%	83.75%	Y	25.00%	15.72%	N
D-2	Secretarial/Clerical Support	1	0	1	1	0	0.00%	75.88%	Y	100.00%	16.75%	N
F-3	Machine Operators	1	0	1	0	1	0.00%	21.29%	Y	0.00%	22.25%	Y
G-3	Protective Service Occupations	66	17	49	12	54	25.76%	19.53%	N	18.18%	13.73%	N
<b>Grand Total</b>		<b>96</b>	<b>27</b>	<b>69</b>	<b>18</b>	<b>78</b>	<b>28.13%</b>			<b>18.75%</b>		

## School of Medicine 14/15

EEO Job Group	EEO Job Group Title	Total All	Total Women	Total Men	Total Minority	Total Non Minority	Women Utilization	Women Availability	Women Goal	Minority Utilization	Minority Availability	Minority Goal
A-1	Executive/Senior Level Officials and Managers	5	0	5	1	4	0.00%	41.89%	Y	20.00%	18.88%	N
A-2	First Mid-Level Officials and Managers	74	60	14	6	68	81.08%	37.22%	N	8.11%	19.37%	Y
C-1	Computer Professionals	14	6	8	2	12	42.86%	27.57%	N	14.29%	29.88%	Y
C-2	Health Assessment/Treatment Professionals	13	11	2	1	12	84.62%	66.46%	N	7.69%	17.91%	Y
C-4	Financial Professionals	18	15	3	0	18	83.33%	54.69%	N	0.00%	29.00%	Y
C-5	Administrative Professionals	29	28	1	4	25	96.55%	54.33%	N	13.79%	11.86%	N
C-6	Athletic Coaches	1	1	0	0	1	100.00%	35.81%	N	0.00%	22.69%	Y
C-7	Library Professionals	1	1	0	0	1	100.00%	74.40%	N	0.00%	15.60%	Y
C-F	Fundraisers	2	1	1	1	1	50.00%	71.02%	Y	50.00%	14.84%	N
D-1	Senior Secretarial Administrative Support	61	50	11	6	55	81.97%	83.75%	Y	9.84%	15.72%	Y
D-2	Secretarial/Clerical Support	71	49	22	5	66	69.01%	75.88%	Y	7.04%	16.75%	Y
D-4	Financial Clerical Support	3	1	2	0	3	33.33%	82.06%	Y	0.00%	17.49%	Y
E-1	Engineering Technicians	2	0	2	0	2	0.00%	36.84%	Y	0.00%	22.27%	Y
E-2	Biology/Medicine Researchers	84	61	23	17	67	72.62%	59.01%	N	20.24%	31.41%	Y
E-3	General Technologists & Technicians	16	8	8	4	12	50.00%	59.91%	Y	25.00%	22.20%	N
G-1	Service/Maintenance	7	5	2	3	4	71.43%	28.54%	N	42.86%	36.43%	N
		<b>401</b>	<b>297</b>	<b>104</b>	<b>50</b>	<b>351</b>	<b>74.06%</b>			<b>12.47%</b>		

## Executive Vice President for Finance and Administration 14/15

EEO Job Group	EEO Job Group Title	Total All	Total Women	Total Men	Total Minority	Total Non Minority	Women Utilization	Women Availability	Women Goal	Minority Utilization	Minority Availability	Minority Goal
A-1	Executive/Senior Level Officials and Managers	14	7	7	1	13	50.00%	41.89%	N	7.14%	18.88%	Y
A-2	First Mid-Level Officials and Managers	114	50	64	15	99	43.86%	37.22%	N	13.16%	19.37%	Y
C-1	Computer Professionals	12	4	8	1	11	33.33%	27.57%	N	8.33%	29.88%	Y
C-4	Financial Professionals	21	16	5	5	16	76.19%	54.69%	N	23.81%	29.00%	Y
C-5	Administrative Professionals	43	31	12	6	37	72.09%	54.33%	N	13.95%	11.86%	N
C-8	Engineers/Architects	18	4	14	0	18	22.22%	41.55%	Y	0.00%	23.11%	Y
D-1	Senior Secretarial Administrative Support	48	43	5	7	41	89.58%	83.75%	N	14.58%	15.72%	Y
D-2	Secretarial/Clerical Support	15	7	8	4	11	46.67%	75.88%	Y	26.67%	16.75%	N
D-4	Financial Clerical Support	31	27	4	8	23	87.10%	82.06%	N	25.81%	17.49%	N
E-3	General Technologists & Technicians	3	0	3	0	3	0.00%	59.91%	Y	0.00%	22.20%	Y
E-4	Computer/Telecommunications Technicians	4	0	4	2	2	0.00%	20.77%	Y	50.00%	16.30%	N
F-1	Crafts/Trades	37	1	36	7	30	2.70%	1.79%	N	18.92%	17.31%	N
F-2	Mechanics	63	2	61	10	53	3.17%	1.73%	N	15.87%	17.00%	Y
F-3	Machine Operators	3	1	2	2	1	33.33%	21.29%	N	66.67%	22.25%	N
G-1	Service/Maintenance	203	70	133	57	146	34.48%	28.54%	N	28.08%	36.43%	Y
G-3	Protective Service Occupations	2	0	2	0	2	0.00%	19.53%	Y	0.00%	13.73%	Y
	<b>Grand Total</b>	<b>631</b>	<b>263</b>	<b>368</b>	<b>125</b>	<b>506</b>	<b>41.68%</b>			<b>19.81%</b>		

## Vice President for Campus Life and Student Services 14/15

EEO Job Group	EEO Job Group Title	Total All	Total Women	Total Men	Total Minority	Total Non Minority	Women Utilization	Women Availability	Women Goal	Minority Utilization	Minority Availability	Minority Goal
A-1	Executive/Senior Level Officials and Managers	3	2	1	0	3	66.67%	41.89%	N	0.00%	18.88%	Y
A-2	First Mid-Level Officials and Managers	78	45	33	11	67	57.69%	37.22%	N	14.10%	19.37%	Y
C-0	Student Service Professionals	4	3	1	2	2	75.00%	67.19%	N	50.00%	30.65%	N
C-1	Computer Professionals	4	3	1	0	4	75.00%	27.57%	N	0.00%	29.88%	Y
C-2	Health Assessment/Treatment Professionals	43	32	11	4	39	74.42%	66.46%	N	9.30%	17.91%	Y
C-3	Physicians	5	3	2	0	5	60.00%	32.44%	N	0.00%	31.04%	Y
C-4	Financial Professionals	3	3	0	1	2	100.00%	54.69%	N	33.33%	29.00%	N
C-5	Administrative Professionals	45	20	25	11	34	44.44%	54.33%	Y	24.44%	11.86%	N
C-6	Athletic Coaches	128	58	70	18	110	45.31%	35.81%	N	14.06%	22.69%	Y
D-1	Senior Secretarial Administrative Support	56	36	20	4	52	64.29%	83.75%	Y	7.14%	15.72%	Y
D-2	Secretarial/Clerical Support	11	5	6	1	10	45.45%	75.88%	Y	9.09%	16.75%	Y
D-4	Financial Clerical Support	4	4	0	0	4	100.00%	82.06%	N	0.00%	17.49%	Y
E-3	General Technologists & Technicians	13	13	0	2	11	100.00%	59.91%	N	15.38%	22.20%	Y
F-1	Crafts/Trades	1	0	1	0	1	0.00%	1.79%	Y	0.00%	17.31%	Y
G-1	Service/Maintenance	8	1	7	2	6	12.50%	28.54%	Y	25.00%	36.43%	Y
G-2	Food Service Workers	222	110	112	116	106	49.55%	56.16%	Y	52.25%	35.73%	N
		<b>628</b>	<b>338</b>	<b>290</b>	<b>172</b>	<b>456</b>	<b>53.82%</b>			<b>27.39%</b>		

## Vice President and General Counsel 14/15

EEO Job Group	EEO Job Group Title	Total All	Total Women	Total Men	Total Minority	Total Non Minority	Women Utilization	Women Availability	Women Goal	Minority Utilization	Minority Availability	Minority Goal
A-2	First Mid-Level Officials and Managers	2	1	1	0	2	50.00%	37.22%	N	0.00%	19.37%	Y
C-5	Administrative Professionals	3	1	2	0	3	33.33%	54.33%	Y	0.00%	11.86%	Y
C-L	Lawyers	3	1	2	1	2	33.33%	33.42%	Y	33.33%	14.27%	N
D-1	Senior Secretarial Administrative Support	1	1	0	0	1	100.00%	83.75%	N	0.00%	15.72%	Y
	<b>Grand Total</b>	<b>9</b>	<b>4</b>	<b>5</b>	<b>1</b>	<b>8</b>	<b>44.44%</b>			<b>11.11%</b>		

## Vice President for Public Affairs and University Relations 14/15

EEO Job Group	EEO Job Group Title	Total All	Total Women	Total Men	Total Minority	Total Non Minority	Women Utilization	Women Availability	Women Goal	Minority Utilization	Minority Availability	Minority Goal
A-2	First Mid-Level Officials and Managers	8	3	5	0	8	37.50%	37.22%	N	0.00%	19.37%	Y
C-1	Computer Professionals	1	1	0	1	0	100.00%	27.57%	N	100.00%	29.88%	N
C-5	Administrative Professionals	11	4	7	1	10	36.36%	54.33%	Y	9.09%	11.86%	Y
D-1	Senior Secretarial Administrative Support	4	4	0	0	4	100.00%	83.75%	N	0.00%	15.72%	Y
	<b>Grand Total</b>	<b>24</b>	<b>12</b>	<b>12</b>	<b>2</b>	<b>22</b>	<b>50.00%</b>			<b>8.33%</b>		

## Sr. Vice President for University Advancement 14/15

EEO Job Group	EEO Job Group Title	Total All	Total Women	Total Men	Total Minority	Total Non Minority	Women Utilization	Women Availability	Women Goal	Minority Utilization	Minority Availability	Minority Goal
A-1	Executive/Senior Level Officials and Managers	11	4	7	0	11	36.36%	41.89%	Y	0.00%	18.88%	Y
A-2	First Mid-Level Officials and Managers	45	37	8	6	39	82.22%	37.22%	N	13.33%	19.37%	Y
C-1	Computer Professionals	11	5	6	0	11	45.45%	27.57%	N	0.00%	29.88%	Y
C-4	Financial Professionals	7	6	1	0	7	85.71%	54.69%	N	0.00%	29.00%	Y
C-5	Administrative Professionals	44	34	10	4	40	77.27%	54.33%	N	9.09%	11.86%	Y
C-F	Fundraisers	25	18	7	1	24	72.00%	71.02%	N	4.00%	14.84%	Y
D-1	Senior Secretarial Administrative Support	21	20	1	5	16	95.24%	83.75%	N	23.81%	15.72%	N
D-2	Secretarial/Clerical Support	1	1	0	0	1	100.00%	75.88%	N	0.00%	16.75%	Y
D-4	Financial Clerical Support	3	3	0	1	2	100.00%	82.06%	N	33.33%	17.49%	N
		<b>168</b>	<b>128</b>	<b>40</b>	<b>17</b>	<b>151</b>	<b>76.19%</b>			<b>10.12%</b>		

## University as a Whole (Non-Faculty) 14/15

EEO Job Group	EEO Job Group Title	Total All	Total Women	Total Male	Total Minority	Total Non Minority	Women Utilization	Women Availability	Women Goal	Minority Utilization	Minority Availability	Minority Goal
A-1	Executive/Senior Level Officials and Managers	65	33	32	11	54	50.77%	41.89%	N	16.92%	18.88%	Y
A-2	First Mid-Level Officials and Managers	721	450	271	86	635	62.41%	37.22%	N	11.93%	19.37%	Y
C-0	Student Service Professionals	4	3	1	2	2	75.00%	67.19%	N	50.00%	30.65%	N
C-1	Computer Professionals	243	90	153	26	217	37.04%	27.57%	N	10.70%	28.88%	Y
C-2	Health Assessment/Treatment Professionals	61	47	14	5	56	77.05%	66.46%	N	8.20%	17.91%	Y
C-3	Physicians	5	3	2	0	5	60.00%	32.44%	N	0.00%	31.04%	Y
C-4	Financial Professionals	83	68	15	12	71	81.93%	54.69%	N	14.46%	29.00%	Y
C-5	Administrative Professionals	312	228	84	47	265	73.08%	54.33%	N	15.06%	11.86%	N
C-6	Athletic Coaches	133	59	74	18	115	44.36%	35.81%	N	13.53%	22.69%	Y
C-7	Library Professionals	42	25	17	2	40	59.52%	74.70%	Y	4.76%	15.60%	Y
C-8	Engineers/Architects	21	4	17	0	21	19.05%	41.55%	Y	0.00%	23.11%	Y
C-9	Educational Professionals	15	10	5	5	10	66.67%	76.28%	Y	33.33%	31.72%	N
C-F	Fundraisers	27	19	8	2	25	70.37%	71.02%	Y	7.41%	14.84%	Y
C-L	Lawyers	3	1	2	1	2	33.33%	33.43%	Y	33.33%	14.27%	N
D-1	Senior Secretarial Administrative Support	387	326	61	60	327	84.24%	83.75%	N	15.50%	15.72%	Y
D-2	Secretarial/Clerical Support	107	66	41	13	94	61.68%	75.88%	Y	12.15%	16.75%	Y
D-3	Library Clerical Support	61	37	24	8	53	60.66%	83.56%	Y	13.11%	20.20%	Y
D-4	Financial Clerical Support	63	56	7	11	52	88.89%	82.06%	N	17.46%	17.49%	Y
E-1	Engineering Technicians	3	0	3	1	2	0.00%	36.84%	Y	33.33%	22.27%	N
E-2	Biology/Medicine Researchers	117	87	30	25	92	74.36%	59.01%	N	21.37%	31.41%	Y
E-3	General Technologists & Technicians	117	69	48	21	96	58.97%	59.91%	Y	17.95%	22.20%	Y
E-4	Computer/Telecommunications Technicians	30	7	23	11	19	23.33%	20.77%	N	36.67%	16.30%	N
F-1	Crafts/Trades	41	2	39	8	33	4.88%	1.79%	N	19.51%	17.31%	N
F-2	Mechanics	63	2	61	10	53	3.17%	1.73%	N	15.87%	17.00%	Y
F-3	Machine Operators	4	1	3	2	2	25.00%	21.29%	N	50.00%	22.25%	N
G-1	Service/Maintenance	221	76	145	62	159	34.39%	28.54%	N	28.05%	36.43%	Y
G-2	Food Service Workers	222	110	112	116	106	49.55%	56.16%	Y	52.25%	35.73%	N
G-3	Protective Service Occupations	68	17	51	12	56	25.00%	19.53%	N	17.65%	13.73%	N
		<b>3239</b>	<b>1896</b>	<b>1343</b>	<b>577</b>	<b>2662</b>	<b>58.54%</b>			<b>17.81%</b>		

## Faculty 14/15

		Total All	Total Women	Total Men	Total Minority	Total Non Minority	Women Utilization	Women Availability	Women Goal	Minority Utilization	Minority Availability	Minority Goal
<b>HUMANITIES</b>		<b>206</b>	<b>97</b>	<b>109</b>	<b>42</b>	<b>178</b>	<b>47.1%</b>			<b>20.4%</b>		
	Sr. Tenured Faculty	96	35	61	10	86	36.5%	51.18%	Y	10.4%	11.89%	Y
	Tenured Faculty	38	18	20	13	25	47.4%	49.81%	Y	34.2%	11.88%	N
	Tenure Track Faculty	32	16	16	9	23	50.0%	47.59%	N	28.1%	16.29%	N
	Non-Tenure Track Faculty	40	28	12	9	31	70.0%	54.14%	N	22.5%	13.04%	N
<b>LIFE/MEDICAL SCIENCES</b>		<b>160</b>	<b>50</b>	<b>110</b>	<b>17</b>	<b>0</b>	<b>31.3%</b>			<b>10.6%</b>		
	Sr. Tenured Faculty	81	24	57	5	76	29.6%	48.18%	Y	6.2%	19.62%	Y
	Tenured Faculty	28	6	22	5	23	21.4%	45.14%	Y	17.9%	22.35%	Y
	Tenure Track Faculty	44	16	28	7	37	36.4%	42.96%	Y	15.9%	28.67%	Y
	Non-Tenure Track Faculty	7	4	3	0	7	57.1%	52.20%	N	0.0%	21.75%	Y
<b>PHYSICAL SCIENCES</b>		<b>180</b>	<b>27</b>	<b>153</b>	<b>43</b>	<b>0</b>	<b>15.0%</b>			<b>23.9%</b>		
	Sr. Tenured Faculty	111	8	103	23	88	7.2%	19.43%	Y	20.7%	21.66%	Y
	Tenured Faculty	30	6	24	10	20	20.0%	21.81%	Y	33.3%	23.43%	N
	Tenure Track Faculty	32	8	24	7	25	25.0%	26.30%	Y	21.9%	22.66%	Y
	Non-Tenure Track Faculty	7	5	2	3	4	71.4%	20.80%	N	42.9%	21.82%	N
<b>SOCIAL SCIENCES</b>		<b>169</b>	<b>64</b>	<b>105</b>	<b>38</b>	<b>0</b>	<b>37.9%</b>			<b>22.5%</b>		
	Sr. Tenured Faculty	83	26	57	15	68	31.3%	55.98%	Y	18.1%	17.04%	N
	Tenured Faculty	31	13	18	9	22	41.9%	58.27%	Y	29.0%	19.77%	N
	Tenure Track Faculty	37	15	22	11	26	40.5%	60.95%	Y	29.7%	23.93%	N
	Non-Tenure Track Faculty	18	10	8	3	15	55.6%	56.99%	Y	16.7%	18.42%	Y
	<b>TOTAL ALL FACULTY</b>	<b>715</b>	<b>238</b>	<b>477</b>	<b>140</b>	<b>178</b>	<b>33.3%</b>			<b>19.6%</b>		

### **ESTABLISHMENT OF GOALS**

As noted in the previous section, the University has identified problem areas in the stated organizational units and major job groups. The University has addressed those problems associated with the noted major job groups by developing percentage goals.

**Goals which have been established for the 2013-2014 Minorities and Women Affirmative Action Plan (MW-AAP) are displayed in the Utilization Analysis and Annual Goals forms which are included in the following pages.**

## **SECTION V**

### **DEVELOPMENT AND EXECUTION OF ACTION ORIENTED PROGRAMS**

## **ACTION - ORIENTED PROGRAMS**

1. Institutional Diversity and Inclusion is served by a variety of offices across campus. The Office of Institutional Diversity is led by the Vice President for Academic Development and Office of Institutional Diversity and Inclusion. This Office manages the programs that foster diversity and report on the university's success in creating and supporting initiatives. They work with a variety of offices including Student and Employee Accessibility Services, the Sarah Doyle Center, the LGBTQ Center, the Office of the Chaplains and Religious Life, the Brown Center for Students of Color, Student Veterans and Commissioning Programs; they also collaborate with University Human Resources, the Office of Student Life, the Science Center, the Graduate School, the Dean of the College, and the Division of Biology and Medicine.
2. Through the University's Compensation and Job Audit procedures, the University conducts detailed analysis of job descriptions to ensure they accurately reflect position functions and are consistent for the same position from one department or division to another.
3. Job descriptions and/or minimum qualifications are evaluated by department/division and by job title using job performance criteria. Special attention is given to education, experience and skill requirements to ensure that they, in and of themselves, do not constitute inadvertent discrimination. Specifications are consistent for the same job title in all departments or divisions and are free from bias with regard to race, color, religion, sex, age or national origin. If requirements screen out a disproportionate number of minorities or women, such requirements are evaluated.
4. Approved position descriptions, job descriptions, and minimum qualifications are developed by hiring managers, in conjunction with either University Human Resources and are used in the recruiting, screening, selection and promotion process.
5. The Director of Human Resources Services and her team (University Human Resources) and the Director of Diversity and Inclusion evaluate the selection process on an ongoing basis to ensure fairness to all in attaining the University's Minority and Women – Affirmative Action Plan (W-AAP) goals and objectives.
6. The University Human Resources staff involved in the recruiting, screening, selecting, promoting, and disciplinary and related processes are carefully selected and trained to ensure elimination of bias and stereotypes in all employment decisions and personnel actions. Regular supervisory, managerial development training, and diversity/inclusion training programs are conducted for newly hired or promoted supervisors and managers, and an in-depth segment of these training programs are conducted by Human Resources staff members. In addition, as requested, customized management and diversity/inclusion training is developed regularly for all employees. In 2015, a Leadership Management training series was developed with a special emphasis given to training supervisors with direct reports.

University Human Resources and the Office of Institutional Diversity will continue to look at more effective affirmative action processes: searches, search committee representatives (e.g., faculty search committees with identified EEO/AA representatives), and discussions regarding dual career status..

7. Hiring managers are encouraged to include a representative proportion of qualified minority and female applicants from the applicant pool in the group of candidates invited for interviews. If qualified minority or female applicants in underutilized job groups are not included in the group of interviewees, Human Resources Generalists require an explanation. If the explanation provided is not deemed to be appropriate, hiring managers are required to interview such candidates.
8. The Director of Diversity and Inclusion in addition to other members of Human Resources Services, where appropriate, communicate with representatives from community-based agencies and organizations to seek referrals and inform them about the hiring process at the University.
9. Minority and female employees are encouraged to refer qualified minority and female applicants for open positions. When appropriate, the Diversity and Inclusion Office (within Institutional Diversity and Inclusion)

and members of the Employment Team in University Human Resources attend job fairs or other events sponsored by community-based organizations and affirmative action referral sources.

10. Strategic employment advertising is placed in various minority and women's advertisements within the local community, the New England Region, and nationally to attract and diverse pool of candidates.
11. Minority and female employees are given equal opportunity for promotion and transfer through <https://careers.brown.edu>.
12. Employees are offered specific types of training topics and several types of training programs through various offices on campus including Brown's Center for Learning and Professional Development within University Human Resources and Brown's Learning Point system. Minorities and women are actively encouraged to develop and participate in these programs, as well as tuition reimbursement programs, the Employee Education Program, and programs offered by Brown's School of Professional Studies, Computing and Information Services, and other departments and centers throughout the University. For more information about specific types of training offered at Brown, visit the University's centralized training registration system for the Brown community at:  
  
<http://www.brown.edu/about/administration/human-resources/learningpoint-professional-development-system>
13. Brown has a diverse child care committee including faculty, staff, graduate students, and post-docs. The purpose of the committee is to continue to identify the needs of the University community and provide support with child care concerns.
14. In 2014, Brown contracted with E4 Life Scope to provide all faculty and staff with a robust and enhanced Faculty/Staff Assistance Program (FSAP) in support of work/life balance. The FSAP services include: counseling, critical incident response, legal consultation, budget and debt counseling, financial consultations, health and wellness coaching, work/life resources and referrals for child or elder care, special needs resources, new parent transition coaching, and life-related articles and information. The 2014 enhanced FSAP along with the University's partnerships with local day care centers and relationship with Bright Horizons for back up care for family members of University employees, all enhance the quality of work/life by providing support to Brown employees.
15. In consultation with the Director of Diversity and Inclusion, the administration and academic leaders discuss staff diversity and inclusion concerns focusing on climate, recruitment, underutilization of minorities and women, and the retention of employees.
16. The University uses multiple recruitment strategies toward the goal of achieving greater diversity among its faculty. The Office of Institutional Diversity and Inclusion partners with most departments undertaking a faculty search; in order to assure that the most active and aggressive measures are taken to identify and attract diverse applicant pools; and that all candidates are treated equitably and fairly in the process. The University is also in the process of expanding the size of its faculty. The availability of new positions and flexible recruitment strategies are used to target opportunities to further enhance diversity recruitment efforts.
17. The V.P. for Academic Development and Office of Institutional Diversity and Inclusion, and the Director of Diversity and Inclusion collaborate with vice presidents, deans, directors and managers to identify opportunities to increase the diversity of applicant pools and maintain a respectful and inclusive work environment for all.
18. The Committee on Faculty Equity and Diversity (CFED) replaced the charges for three committees: 1. the Committee on Diversity in Hiring (CDH), 2. the Faculty Affairs Committee (FAC), and 3. the Committee on the Status of Women (CFW). CFED represents the Faculty in personnel issues such as compensation, benefits, leaves, equity, diversity and advancement.
  - a. CFED assesses the diversity of the Faculty by rank and department, conducts periodic reviews of hiring procedures and the role of the departmental Affirmative Action Representative, and advises on faculty retention, recruitment and advancement policies.

- b. CFED assesses, promotes, and reviews University policies and practices relating to diversity and non-discrimination, as defined in the Corporation Statement on Nondiscrimination, in support of which it provides reports on faculty hiring and advancement annually by the Office of Faculty Personnel.
- c. CFED conducts periodic reviews of and submits annual reports on the status of women and minority faculty at Brown, in accordance with the Corporation Statement on Nondiscrimination. It makes recommendations to improve the status of women and minority faculty where inequities, as defined in the Corporation Statement on Nondiscrimination, are identified and it works with the Associate Provost and Director of Institutional Diversity, the Dean of the Faculty and the Dean of Medicine and Biological Sciences to articulate goals for a more diverse faculty and help these officers to achieve these goals in accordance with the Corporation Statement on Nondiscrimination. These reviews include periodic departmental reports of faculty composition by rank, gender and ethnicity.

**SECTION VI**  
**INTERNAL AUDITS AND REPORTS**

## **INTERNAL AUDITS AND REPORTS**

1. An internal reporting system is maintained through the Workday human capital management system. Analysis of data regarding employment trends, the selection process, upward mobility, promotions, terminations, and reductions in force are periodically evaluated and discussed with the Vice President for University Human Resources and directors within the Human Resources Leadership Team. Workday reports and data are made available to the Vice President for Human Resources, the Director of Human Resources Services, and the Director of Diversity and Inclusion, so that progress toward achieving the Affirmative Action goals may be evaluated, and problematic trends may be identified and corrected.

At a minimum, the following action has been taken by University Human Resources and incorporated in reports and made available to the Director of Diversity and Inclusion:

- (a) Review position records on applicant flow and each step of the selection process.
- (b) Review records on referrals, hires, promotions, transfers and training program participation, at all levels, by race and sex, to ensure that nondiscriminatory policy is carried out, and
- (c) Review workforce analysis, underutilization reporting, and job requisition and underutilization

This section describes the University's program to periodically review and monitor most personnel actions and activities to enable the Director of Diversity and Inclusion to report on equal opportunity and affirmative action to the President and senior officers during the Plan year, and submit recommendations to improve performance.

The Director of Diversity and Inclusion, the Director of Human Resources Services, and the Director of Labor and Employee Relations may conduct audits of goals and the selection process from the recruiting of applicants to the separation of employees.

### **Internal Audit**

#### **University Human Resources:**

- Meet with key hiring administrators and review the University's good faith efforts, review the importance of developing a diversified applicant pool, a review of the underutilization numbers and specific areas, and provide discussion for identifying strategies to improve recruiting and hiring efforts.
- Review re-organization justification requests, documentation, and concerns with the Director of Compensation and Organizational Services, Director of Employee and Labor Relations, Director of Human Resources Services (employment), the Director of Diversity and Inclusion, and the appropriate HR Generalist for the respective department
- Review applicant flow data for reasons for rejection of minorities and women who have been interviewed and not selected
- Review interview and hiring process
- Review effectiveness of recruiting sources in referring minority and women applicants.
- Review employment advertising to evaluate wording, placement, maintenance of records, and use of minority and women's interest media.
- Review current employees employment by race, national origin, sex, job classification, salary or wage level.

- Analyze internal and external workforce availability by race and sex.
- Identify areas where underutilization and/or concentration of minorities and women exist, and which areas require revised goals.
- Reviews effectiveness of programs designed to assist in obtaining goals and objectives.
- Review promotions, transfers, waivers, and terminations of minorities and women as compared to non-minorities and males to determine whether there is disparate treatment.
- Review procurement practices for appropriate clauses in purchase orders and subcontracts.
- Checks technical phases of compliance (posters and statements properly displayed, etc.).

Annually

**University Human Resources:**

- Ensure that position descriptions and minimum qualifications are accurate and current.
- Review employee compensation and benefit programs to determine equal application.
- Review application forms for conformance to applicable state and federal laws, as well as University policy.
- Coordinate internal and external dissemination of EEO policy.
- In consultation with the General Counsel, review changes to federal and state laws, and University policies that require revisions to practices, procedures, forms, etc.

**SECTION VII**

**COMPLIANCE WITH SEX DISCRIMINATION GUIDELINES  
AND  
COMPLIANCE WITH SEX, RELIGIOUS AND NATIONAL ORIGIN POLICY  
GUIDELINES**

## **COMPLIANCE WITH SEX, RELIGIOUS AND NATIONAL ORIGIN GUIDELINES**

Brown University complies with OFCCP Sex Discrimination Guidelines set forth in 41 CFR, Part 60-20, and Religious and National Origin Guidelines 41 CFR 60-50.

### **A. SEX DISCRIMINATION GUIDELINES 41 CFR Part 60-20**

1. The University promotes and assures equal employment opportunity to all persons employed, or seeking employment, without regard to sex.
  - a. Both sexes are recruited for all position vacancies.
  - b. Advertising in newspapers and other media for employment do not express a sex preference. All advertisements contain the statement that "Brown University is an Equal Employment Opportunity/Affirmative Action Employer". Often, a specific solicitation is included in advertisements encouraging women to apply for the position being advertised.
2. Job Policies and Practices
  - a. Written personnel policies indicate that Brown University does not discriminate against employees on the basis of sex;
  - b. Employees and applicants of both sexes have an equal opportunity for any available position vacancy that he or she is qualified to perform;
  - c. There is no distinction based upon sex in employment opportunities, wages, hours, or other conditions of employment;
  - d. No distinction is made between married and unmarried persons of one sex that is not made between married and unmarried persons of the opposite sex;
  - e. Appropriate physical facilities are available for both sexes;
  - f. A woman is not denied any job that she is qualified to perform in reliance upon any state "protective" law;
  - g. Maternity Leave Policy
  - h. Retirement policy is equal for all employees, dependent upon their classification as union, non-union, faculty or non-faculty employees.
3. Seniority System

Seniority lines and lists, where applied, are not based on sex.
4. Discriminatory Wages
  - a. Wage and salary schedules are not related or based on the sex of employees. There is equal pay for equal work.
  - b. The University does not discriminately restrict one sex to certain job classifications.
5. Affirmative Action

- a. The University takes affirmative action to recruit and encourage women to apply for those positions where they may have been previously underutilized;
- b. Distinction based on sex is not made in any of the training programs available to employees.

**B. COMPLIANCE WITH GUIDELINES ON DISCRIMINATION BECAUSE OF RELIGION or NATIONAL ORIGIN 60-50**

Equal Employment Policy 60-50.2 (a)

The University does not discriminate against employees or applicants for employment because of religion or national origin, and takes affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their religion or national origin. This includes, but is not limited to: employment, upgrading, demotion, or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training.

Outreach and Positive Recruitment 60-52.2 (b)

The University reviews employment practices to determine whether members of various religious and/or ethnic groups are receiving fair consideration for job opportunities. Based upon the findings of such reviews, the University shall undertake appropriate outreach and positive recruitment activities in order to remedy existing deficiencies. Such remedies, if deemed necessary, would include some or all of the following, as determined to be appropriate under certain circumstances:

1. The University is committed to communicating internally of the employer's obligation to provide equal employment opportunity without regard to religion or national origin in such a manner as to foster understanding, acceptance, and support among the University's executive officers, managers, supervisors and all other employees, and to encourage such persons to take the necessary action to aid the University in meeting this obligation.
2. The University is committed to the development of reasonable internal procedures to ensure that the University's obligation to provide equal employment opportunity without regard to religion or national origin is being fully implemented.
3. The University is committed to continuing to periodically inform all employees of the University's commitment to equal employment opportunity for all persons, without regard to religion or national origin.
4. The University is committed to enlisting the assistance and support of all recruitment sources (including employment agencies, when appropriate), college placement directors, and other sources, for the University's commitment to provide equal employment opportunity without regard to religion or national origin.
5. The University is committed to establishing meaningful contacts with religious and ethnic organizations and leaders for such purposes as advice, education, technical assistance, and referral of potential employee

**C. ACCOMMODATIONS TO RELIGIOUS OBSERVANCE AND PRACTICE 60-50.3**

Brown University accommodates applicants or employees who indicate they cannot work certain

hours/days because of religious reasons by matching them to jobs with hours/days of work that will meet their requirements, whenever possible.

The requirement to work different shifts, days, or peak periods is explained, and applicants or employees are advised that certain positions require that employees be available to fulfill specific service requirements. No such applicant or employee, however, is refused any position unless it is determined that reasonable accommodation cannot be made to his/her religious practices without undue hardship to the University.

As a general rule, undue hardship will exist when an employee's job cannot be performed by another employee of substantially equal qualifications during the time when the employee is absent for religious reason. Each case is judged individually.

If analysis reveals that a disproportionate number of certain religious or national origin groups are excluded from employment, efforts will be made to determine whether conditions of employment need to be revised to accommodate affected groups.

## SECTION VIII

### Office of Federal Contract Compliance Programs (OFCCP) 2013-2014 Compliance Evaluation

OFFICE OF FEDERAL CONTRACT COMPLIANCE PROGRAMS (OFCCP)  
- 2012 and 2013 Compliance Evaluation

Fiscal Year 2012:

The Office of Federal Contract Compliance Programs notified President Ruth Simmons by letter dated December 21, 2011 acknowledging the completion of the evaluation of the University's compliance with Executive Order 11246, as amended, Section 503 of the Rehabilitation Act of 1973, as amended, and the Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended (38 USC 4212), and the implementing regulations at 41 CFR Chapter 60, an evaluation that had been underway since March 22, 2011. The OFCCP found one deficiency in Brown's compliance efforts, namely, that Brown did not obtain and keep a record of the racial identity of applicants for faculty positions. The maintenance of an effective applicant tracking system is required for full compliance. Brown has entered into an agreement with the OFCCP.<sup>1</sup>

Fiscal Year 2013:

In July 2012, Brown University implemented Workday, a human capital management system. The system is designed to help organize and pay employees by using a single system-of-record. The system also allows employees to update their self-identification information including race and ethnicity changes. University staff and faculty were requested to self-identify and update "unknown gender and race/ethnicity status" in the fall of 2012. The results of these numbers are reported and included in Section II – Identification of Problems: Part A. - Review of Last Year's Personnel Transactions beginning on page 15.

Brown University acknowledges the "unknown gender and race/ethnicity" entries found in Section II. This information is self-reported by employees. Therefore, since employees did not self-report, the information is not reported and documented in the Plan. Brown University will continue to impress upon all employees to voluntarily self-report "gender and race/ethnicity status."

Fiscal Year 2014

In July 2013, a new Workday Financial system was implemented to ensure better controls, consistency, and compliance with financial accounting, reporting, and governance requirements. The system unifies process controls and security to ensure consistency with processes and proper regulatory compliance, such as separation of duties and data privacy.

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<sup>1</sup> Approved by: OFCCP Compliance Evaluation (dated January 13, 2012) to: Mark S. Schlissel, Provost, Lina M. Fruzzetti, Interim Associate Provost and Director of Institutional Diversity, and Kevin McLaughlin, Dean of the Faculty from: Beverly E. Ledbetter, V.P. General Counsel and James M. Green, Deputy Counsel.