

Summary
Meeting of the Duke University Board of Trustees
December 3-5, 2020

Thursday, December 3

The Audit and Compliance Committee and the Governance Committee met in the afternoon.

Friday, December 4

The board meeting began with an executive session, during which the president briefed trustees on recent developments. The board passed a resolution of tribute to Tallman Trask III, who retired on November 30 after 25 years at Duke, and named him executive vice president emeritus.

After the opening executive session, President Price introduced Daniel Ennis, the university's new executive vice president, who most recently served as senior vice president for finance and administration at The Johns Hopkins University. Then trustees participated in their second strategic education session of the year. The topic for this meeting was university finances. In the afternoon, trustees participated in meetings of the strategic task forces and standing committees.

Saturday, December 5

The trustees met in the final plenary session, which began with the introduction of Kara Lawson, the new head women's basketball coach. The rest of the session was devoted to: 1) a strategic discussion with Vice President and Director of Athletics Kevin White and members of his senior team, focused on recent developments and current issues in intercollegiate athletics; 2) an update from Strategy Team 2021, including the latest updates on the institutional response to the COVID-19 pandemic and plans looking forward; and 3) a strategic update on the School of Nursing with Dean Marion Broome. After taking action on recommendations from committees, the board meeting concluded with an executive session in which the board approved the re-election of trustees and elected Laurene Sperling as the next board chair, effective July 1, 2021.

After the meeting, the Committee on Honorary Degrees met.

Meeting Summary of the Audit and Compliance Committee

December 3, 2020

What were the major topics discussed?

- Closed session discussion on upcoming changes to the internal control environment
- Standing updates on research excellence initiatives and pandemic-related compliance priorities
- Discussion on speak-up program effectiveness and how Duke investigates and responds to compliance concerns
- Semi-annual update on internal audit activities and Privacy/IT risk work plans

What were the major insights shared?

- Affirmed the importance of institutional culture with particular emphasis on excellence and integrity in research, accountability structures and faculty engagement
- Discussion and comments on institutional policies presented for annual approval

What actions were taken?

- Approved the FY21 KPMG engagement letter
- Approved changes to the OARC charter as presented
- Accepted the FY20 403B audit results report as presented
- Annual review and endorsement of Duke's Statement on Values and Culture

What are the next steps to be taken?

- Continue standing updates on research excellence initiatives and pandemic-related compliance priorities
- Review of Institutional Code of Conduct (deferred to February 2021)

Meeting Summary of the External Engagement Committee

December 4, 2020

What were the major topics discussed?

- The two topics for the December meeting were the impact of the results of the local and national November elections on higher education and specifically for Duke; and updates on the current situation regarding COVID and how the pandemic provided opportunities to innovate and engage with Duke constituents.
- Information was shared, and discussion followed, on the merging of the alumni affairs and development departments to create a unified and ultimately more effective outreach and engagement program for Duke.

What were the major insights shared?

- The discussion regarding the November election results focused on the political and policy implications of the transitions at the federal and state levels, as well as the continuing planning and implementation of Duke's federal and state advocacy agenda, connections to Duke, priorities for Durham, and opportunities for innovation and engagement in priority areas.
- With the president and trustees identifying alumni engagement as one of Duke's top strategic priorities, it was the ideal time for renewed focus and reflection on ways to align the separate organizations of alumni affairs and development merging the two departments around one strategy: fostering engagement among Duke's constituents to inspire loyalty over a lifetime.

What actions were taken?

- The committee unanimously approved the resolutions for the proposed namings put forth on the agenda.

What are the next steps to be taken?

- A link to an electronic version of the meeting evaluation will be emailed to all committee members for their feedback about the meeting.

Meeting Summary of the Governance Committee

December 3, 2020

What were the major topics discussed?

- COVID-19 pandemic and governance.
- Prospect review and identification, including review of feedback on new potential trustee prospects and selection of top prospects for 2021.
- Selection process for DAA president.
- Trustee re-appointments.
- Review of the following: feedback from new trustee orientation and first board meeting, reminder of process for standing committee assignments in 2021-2022, update on boards of visitors initiative, update on young trustee selection process, plans for meeting of the Governance Committee in January, and updated committee work plan.

What were the major insights shared?

- Post-pandemic, we should consider holding one full board meeting and one or more Executive Committee meeting a year virtually.
- Trustees have found the virtual briefings between meetings and the education sessions extremely valuable.
- There was a general consensus in the feedback from the committee on the new potential trustee prospects.
- It remains the committee's highest priority to identify and cultivate potential trustee prospects for future service on the board.
 - Need to continue to develop a shortlist of trustee prospects for upcoming vacancies.
 - Need to continue to diversify the board's pipeline.
 - Need to do a thorough review of the current trustee prospects list and make sure individuals are in the correct categories.
- The DAA president's service on the Board of Trustees has been beneficial and should continue.
- There should be some form of collaboration with the Governance Committee when selecting DAA presidents since that person serves as a trustee.

What actions were taken?

- Added individuals to the current trustee prospects list.
- Selected top trustee prospects for 2021.
- Recommendation to the full board the approval of trustees for re-election.

What are the next steps to be taken?

- Off-cycle meeting of the committee to be held in January 2021 to review trustee prospects pipeline.
- Bring trustee prospects for 2021 to the board for approval in February.
- Select members of the Governance Committee to meet to continue the discussion of the selection process for DAA president and report back to the full Governance Committee at its meeting in February.

Meeting Summary of the Graduate and Professional Education and Research Committee

December 4, 2020

What were the major topics discussed and insights shared?

- **PhD management & enhancement in Arts & Sciences:** A substantial portion of Duke's graduate student population (PhD and masters students) resides in the Trinity College of Arts & Sciences. The Graduate School attends to many of the logistical and administrative functions while Arts & Sciences focuses on the academic experience. Duke is not alone in trying to understand and respond to the changing needs and expectations of its graduate students. Change is needed to ensure that all graduate students develop broad intellectual skills that can be used in a variety of vocational contexts, without sacrificing the rigor of the academic graduate experience. A&S will focus on three main areas of change: mentorship across programs, increasing diversity among the graduate population, and increasing efforts to create a stronger sense of community. The current graduate education funding model depends on tuition dollars from master's students to subsidize PhD programs in certain departments, which causes under-enrolled programs to suffer consequences. Due to COVID-19, a large percentage of master's students are unable to come to Duke. This, plus Duke's earlier commitment to 12-month funding for all graduate students, makes examining the current financial model a priority for Arts & Sciences.
- **Reimagining Doctoral Education (RiDE) Report:** The Reimagining Doctoral Education Committee was created in response to Duke's 2017 strategic plan. Over a period of roughly 18- months, the RiDE committee gathered and studied data on doctoral training across the country and at Duke. There were many similarities across Duke's 54 doctoral programs, with students having access to superb faculty, excellent facilities, and access to interdisciplinary experiences. The committee also found certain areas lacking: patchiness in access to the University, a lack of progress on developing diverse and inclusive learning communities, and an uneven quality of advising and mentoring. The committee recommended several goals to improve doctoral education at Duke, focusing on ways to make the most of the Duke education, strengthen partnerships across the University, and advance the PhD.
- **Student Feedback and Group Discussion:** The Committee conducted a breakout session in three smaller groups, to discuss questions related to PhD education at Duke. The topics of the questions were: How should Duke cultivate "soft skills" in PhD programs? Should PhD programs be infused with more interdisciplinarity in a way similar to undergraduate and Master's/professional student programming? And how should Duke prioritize deepening the link between alumni and PhD programs? The discussions were in-depth, and the expertise and experiences of the students on the committee were greatly appreciated.

Meeting Summary of the Resources Committee

December 4, 2020

What were the major topics discussed?

- Information technology security team's approach to assessing and addressing cyber security risks, including those threats and protections resulting from COVID-19 remote working and learning environments
- Management's interventions and targets established for deans, units, and departments to address short-term revenue pressure as well as long-term structural pressures on University finances
- The need to reallocate existing central resources to be able to fund strategic initiatives
- Undergraduate tuition and fees and affordability and accessibility
- Preliminary FY 2022 budget planning parameters

What were the major insights shared?

- Cyber security risk mitigations put in place and others underway or under evaluation that should help mitigate cyber threats
- Even with cost reduction measures in place, the current fiscal year revenue shortfalls from COVID may still result in an overall loss that would need to be addressed
- Cost reduction targets have been established and have been communicated to the deans and business leaders to address the longer-term structural issues with the university's financial model
- Redeployment of staff is being used to support many COVID related activities

What actions were taken?

- The committee recommended the following for board approval
Resolution to Withdraw from Certain Quasi Endowment Funds
Ground Lease
- The committee approved
Anlyan 300 Tower Addition project initiation
Anlyan 300 Tower Addition Utilities project initiation
Bryan Research Building Emergency Power Renovation project initiation, design and long lead purchase
Illustrative Master Plan Update plan

What are the next steps to be taken?

- Provide undergraduate tuition and financial aid investment plans at the February committee meeting
- Evaluate opportunities to initiate and/or grow programs that are able to generate financial contributions towards core mission needs
- Future discussion on the total institutional co-investment required to support sponsored research

Meeting Summary of the Undergraduate Education Committee

December 4, 2020

What were the major topics discussed?

- Duke's increasingly selective admissions process and an increasingly diverse applicant pool, a discussion led by Christoph Guttentag, dean of undergraduate admissions at Duke University.
- The competitive landscape of higher education and the factors that consistently influence whether a student chooses to enroll at Duke.
- Future challenges and decisions facing university admissions officers at highly selective institutions. These inflection points include the prevalence of test-optional systems, shifting geographic distribution of applicant pool, and the role postsecondary institutions play in addressing selectivity culture that has its foundations in K-12. Admissions leaders at peer institutions joined Dean Guttentag in offering perspectives.
- Update on progress with Next Generation Living and Learning Experience implementation efforts. <https://nextgen.duke.edu/>

What were the major insights shared?

- Today's Duke students are better prepared academically than at any point in our history.
- Duke students struggle with high levels of anxiety, a phenomenon that is prevalent among this generation of students nationwide. However, they are more open about and accepting of mental health, disability, and SOGIE (sexual orientation, gender identity and expression) status.
- Cost, overall reputation of a school, student academic and intellectual development, and student life remain the top factors for many students making choices about where to ultimately enroll.
- Selective admissions processes can structurally favor the advantaged, and leaders must guide admissions staff to understand applicant context and think more elastically about who may succeed at an institution.
- Strong partnerships across campus, particularly with faculty, are vital to the success of admissions officers around the country – including at Duke.
- Evaluation of how the private sector influences attitudes towards degree pathways at colleges and universities will continue to be an important factor in higher education going forward.

What actions were taken?

- This session was primarily a strategic education session on admissions, so no action was taken.

What are the next steps to be taken?

- Engaging with key campus partners to address issues of access and equity, identifying who will thrive at Duke, and understanding the influence of admissions processes on campus culture.
- Undergraduate Education Committee should consider more regular engagement with admissions as Duke sets its strategic vision amidst a competitive landscape.
- Consider ways to connect admissions strategies and vision with task force goals, especially as it relates to Next Generation Living and Learning Experience.

Meeting Summary of the Climate and Sustainability Strategic Task Force

December 4, 2020

What were the major topics discussed?

- **Duke Climate Initiative (DCI)** – a collaborative initiative among Duke’s 10 schools to identify the University’s “super powers” and where Duke may have the greatest impact on climate change research, education, and engagement. Members from the DCI’s three working groups presented proposals on the following topics: 1) Climate and Data Science, 2) Climate Resilience, and 3) Energy Transformation.
- **Priority Topics Assessment** – Building off of the Task Force’s recommendation in September, an Engagement Working Group was assembled to develop a pilot survey to gather input from internal and external stakeholders. The survey asks respondents to prioritize operational, community, and educational efforts with regards to sustainability and climate. Task Force members tested the survey prior to the December 4th meeting and they reviewed the preliminary results during the meeting. The Task Force plans to send out the survey in December and January and also conduct focus groups/interviews with key internal and external stakeholder groups.
- **2024 Carbon Neutrality and Last Mile Recommendations** – Task Force members briefly learned about Duke’s progress on its 2024 Carbon Neutrality Commitment and reviewed recommendations to further reduce on-campus emissions prior to 2024. Task Force members will continue this conversation at the February meeting of the Task Force.

What were the major insights shared?

- **Duke Climate Initiative (DCI)** – There are many cross-cutting points of alignment between the DCI’s working groups. The Task Force identified the following alignment points: 1) great potential to leverage Duke’s unique interdisciplinary/experiential approach to problem solving, 2) centering justice and equity could be distinctive for Duke, 3) capitalize on Duke’s ongoing investments in data analysis, data proficiency, AI, and existing data base development and maintenance , 4) resiliency of local systems, coasts, farms, forests, to be center point of impact, and 5) invest in Duke’s existing capacity, including the expertise of the faculty and infrastructure we currently possess.
- **Priority Topics Assessment** – A large majority of the Task Force members felt that the wording and format of the survey questions would provide the necessary data to help prioritize focus areas. The Engagement Working Group will reconvene one more time to make final changes before sending out to internal and external audiences. While reviewing responses from the Task Force members, there was a robust discussion about the merits of mandatory versus voluntary education requirements and members look forward to hearing more from Task Force members, students, and faculty on the topic.
- **2024 Carbon Neutrality and Last Mile Recommendations** – Duke’s emissions in fiscal year 2020 were 34% lower than they were in its 2007 baseline year, which is in large part due to reduction of energy-related emissions and COVID-19 impacts on transportation in spring 2020. If Duke maintains some level of the reductions in employee commuting and air travel, continues investments in on-campus energy utility infrastructure, and purchases renewable natural gas, Duke’s remaining emissions in 2024 could be lower than what was projected in the 2019 Climate Action Plan update. The remaining emissions in 2024 would be reduced with investment in offsets.

What actions were taken?

- N/A

What are the next steps to be taken?

- Reconvene the Task Force’s Engagement Working Group to incorporate feedback on the survey tool prior to sending out to the Duke and surrounding communities.

Meeting Summary of the Duke's Centennial Celebration Strategic Task Force

December 4, 2020

What were the major topics discussed?

- [Scott Ellsworth](#), PhD '82, author of the book *The Secret Game* (about the 1944 basketball game between an all-white team from Duke Medical School and a team from North Carolina College for Negroes, later NCCU), joined the meeting for a discussion with the task force. Members discussed the themes in the book related to the history of race relations in the South and the power of uncovering stories that are less well known.
- A preliminary report, from the stakeholder interviews completed so far, was shared with the committee concentrating on the themes that emerged, and information that will assist with the creation of the final report.
- The task force members used smaller breakout sessions to convene the three working groups organized around the strategic questions in three categories: Past, Present, and Future. Each group considered their assigned questions building on President Price's strategic framework in relation to the centennial celebration.

What were the major insights shared?

- The conversation with Scott Ellsworth provided insight into the art of storytelling. He made some suggestions to the committee about how best to relate the many stories in Duke's history to the Centennial celebration to have the greatest impact.
- Since the last meeting, task force members had conducted over 40 stakeholder interviews; these are nearly complete. A complete report of the responses and themes will be shared with the committee once the interviews have concluded. A preliminary report was shared about themes that emerged. Stakeholders shared priorities for the Centennial, including underscoring specific moments in Duke's history and points of pride, highlighting unique stories and perspectives, emphasizing important individuals, recognizing institutional accomplishments, reflecting on areas for improvement, and contemplating the relationship between Duke and Durham. Other important elements included the founding of The Duke Endowment and its connection to Duke's regional commitment and identity. In conclusion, the committee discussed specific ideas for the celebration and the tone of the Centennial.
- The co-leads from each of the strategic question groups – past, present, and future – shared summaries from the breakout discussions with the entire group. The future group contemplated what the university in the next century would look like. The present group communicated the importance of focusing on students and current generations. The past group reflected on the relationship between Duke and the broader society.

What are the next steps to be taken?

- The strategic question sub-groups – past, present, and future – will meet between December and February. Each group will submit a one-page summary of their completed work at the February committee meeting.
- A final report from the stakeholder interviews will be distributed to the committee.
- In February, the last phase of the committee's work, production of the creative content, will commence.

Meeting Summary of the Duke and Durham Today and Tomorrow Strategic Task Force

December 4, 2020

What were the major topics discussed?

- The meeting focused on coordination of engagement including the key strategic question: How can the institution – and in particular the Office of Durham and Community Affairs – better coordinate decentralized engagement efforts across Duke’s schools and programs?
- A panel of Duke faculty leaders shared their perspectives on coordination of engaged scholarship, challenges and opportunities of university-community partnerships, and ways to enhance connections between community affairs and academic enterprises.
- The task force heard from a guest presenter who shared insights on social mobility and aspirations for Durham, followed by a discussion with the task force on key opportunities for Duke to partner with the community.
- Committee reports were shared as well as plans for upcoming activities such as stakeholder interviews, a community panel, and the next committee and task force meetings.

What were the major insights shared?

- Major insights from the discussion with the faculty panel, regarding internal coordination, included opportunities to match community interests with faculty expertise; proposed frameworks to establish faculty-led, student research projects in priority areas; and the value of information-sharing structures to increase awareness and collaboration across the institution on community engagement.
- Major insights, regarding partnership with the community on economic mobility, included the potential to strengthen the talent development infrastructure within Durham; opportunities for high-value collaborations with educational institutions and other workforce entities; and the importance of the university providing opportunities for workforce development.

What actions were taken?

- No action items for this meeting

What are the next steps to be taken?

- Task force members will conduct stakeholder interviews with university and community stakeholders, a community panel is planned for February, and committees will meet prior to the next task force meeting.