Action Plan for Faculty Diversity and Excellence

in the School of Arts and Sciences

May 2019

Introduction

The School of Arts and Sciences values and is deeply committed to diversity in all of its dimensions and holds it as an important element of academic excellence. Diversity can refer to categories such as race, ethnicity, gender, sexual orientation, socioeconomic status, nationality, age, disability, and veteran status. It also extends to our beliefs, including religion and politics. In our work as scholars, we embrace a diversity of intellectual perspectives and practice a multiplicity of different approaches to the creation and dissemination of knowledge, factors of vital importance to our vibrancy and eminence as a research institution. These many forms of diversity also contribute to the distinction of the liberal arts education that SAS faculty provide to a talented and itself highly diverse body of undergraduate and graduate students.

In its 2011 Diversity Action plan, the University sought "[to build] a more diverse faculty, whose composition reflects the pool of exceptional, qualified applicants nationally in all fields" and "[to create] a more inclusive campus community, where all feel welcomed, supported, and have equal access to networks for mentoring and research." The School's 2012 "Plan for Faculty Diversity and Excellence" set forth a series of goals that have guided SAS efforts over the past six years. One aim was to enhance and support the diversity of the present-day SAS faculty, with an emphasis on restructuring the faculty hiring process to ensure broad candidate pools, as well as on creating a nurturing and inclusive environment in which all faculty thrive. The second focus was to build pipelines to attract a more diverse group of scholars to the Penn faculty and the broader professoriate of tomorrow, especially in fields where they are underrepresented.

The assessment of these initiatives that follows points to significant strides made by SAS in increasing faculty diversity over the six-year period: positive enhancements in the process and culture around faculty hiring, new initiatives supporting faculty development, and a wide-ranging expansion of pipeline programs. There are also areas where there remains room for continued improvement for SAS to more fully achieve its aspirations around diversity. Understanding what lies beneath these trends is an essential starting point for shaping a new set of five-year goals.

The new School plan will again feature short- and long-range goals covering broad areas similar to the previous plan, but with shifts in emphasis within them.

1. *Faculty Recruitment:* The School will continue to strengthen and refine its recruitment processes to ensure that it is reaching out to as wide a pool of candidates as possible in building the faculty.

2. *Nurturing and Retaining and Diverse Faculty:* The School will continue to strengthen efforts to create a nurturing and inclusive environment in which all faculty prosper at every stage of their Penn career.

3. *Building the Pipeline:* The School will continue its work to attract a more diverse group of scholars to the Penn faculty and the broader professoriate of tomorrow, especially in fields where they are underrepresented, by proactively and strategically reaching out to students at all levels, from high school through the post-doctoral period.

An important theme throughout the plan will be the SAS faculty's collective responsibility and accountability for promoting diversity, at both the School and local department levels. The School's leadership and faculty bodies such as the SAS Diversity Council, a recent addition to the SAS advisory governance structure, help set the tone, long-range plans, policies, and processes that enhance diversity; in addition, the deans allocate crucial resources to support these efforts. But it is just as important for departments to establish faculty diversity as a priority, in a way consistent with their unique needs, given the wide variation in departments' present faculty composition, the academic cultures of their associated disciplines, the role that the study of diversity plays within those disciplines, and their long-term diversity goals.

The planning process for this new five-year plan has itself been inclusive, involving the School's senior administrative team, the SAS Dean's Council on Diversity, the Planning and Priorities Committee, and department chairs. Ongoing assessment of progress, through analysis and discussion by all of these bodies and faculty throughout the School, will provide the feedback needed to track the achievement of our goals.

Assessment of Progress, 2012-2018

Taking stock of the current landscape of faculty diversity and the level of progress made in the six years since the 2012 plan requires an examination of a number of measures.

A fundamental question is how much more diverse the SAS faculty is at the conclusion of the plan period than it was at the beginning. The period AY2013 to AY2018 was one of significant growth in the SAS standing faculty, from 484 to 517, and the heavy pace of hiring coincided with the introduction of new procedures to promote more diverse candidate pools.

Women

Tables 1 and 2 show that women made up a significant proportion of the growth of the faculty during this period, accounting for 73% of the overall growth and 86% of the growth in STEM fields. The increase in the representation of women on the overall faculty was modest, moving from 32.8% to 34.8%. Within these figures, however, there are several notable categories in which there were significant increases. One of these is in the natural sciences, where the proportion of women rose from 21.0% to 25.3% and of STEM women from 15.0% to 19.6%. Among assistant professors in STEM fields, the percentage of women leapt from 27.8% to 50.0% during this period. The representation of women in the humanities stayed roughly constant at its already-high level, while the social sciences saw an increase from 29.2% to 33.8% (Table 1).

Table 1: Standing Faculty Gender by Division, AY 13-18

Academic Year	All Standing Faculty	Female Faculty Count	Female Faculty Percentage	STEM* Faculty Count	Female STEM Count	Female % of STEM Faculty
Humanities						
2012-13	188	84	44.7%	n/a	n/a	n/a
2017-18	195	87	44.6%	n/a	n/a	n/a
Natural Sciences						
2012-13	176	37	21.0%	100	15	15.0%
2017-18	186	47	25.3%	107	21	19.6%
Social Sciences						
2012-13	120	35	29.2%	n/a	n/a	n/a
2017-18	136	46	33.8%	n/a	n/a	n/a
All Divisions						
2012-13	484	156	32.2%	n/a	n/a	n/a
2017-18	517	180	34.8%	n/a	n/a	n/a
Change (+/-)	**33**	**24**	**2.6%**	**7**	**6**	**4.6%**
% of 6-Year Growth			**73%**			**86%**

*STEM departments are Chemistry, Earth & Environmental Science, Mathematics, and Physics & Astronomy

When examined by rank (Table 2), the numbers reflect the increase in women seeking Ph.D.s nationally and internationally in recent years, with women now representing over half – 54.4% – of assistant professors, up from 41.6% in AY2013. The proportion of women among associate and full professors has remained fairly constant during this period, but the junior-level increase bodes well for improvement in the senior ranks as assistant professors get promoted in the years to come.

Table 2: Standing Faculty Gender by Rank, AY 13-18

Academic Year	All Standing Faculty	Female Faculty Count	Female Faculty Percentage	STEM* Faculty Count	Female STEM Count	Female % of STEM Faculty
Assistant Professor						
2012-13	89	37	41.6%	18	5	27.8%
2017-18	103	56	54.4%	16	8	50.0%
Associate Professor						
2012-13	125	48	38.4%	14	4	28.6%
2017-18	109	41	37.6%	17	4	23.5%
Professor						
2012-13	270	71	26.3%	68	6	8.8%
2017-18	305	83	27.2%	74	9	12.2%
All Ranks						
2012-13	484	156	32.2%	100	15	15.0%
2017-18	517	180	34.8%	107	21	19.6%
Change (+/-)	**33**	**24**	**2.6%**	**7**	**6**	**4.6%**
% of 6-Year Growth			**73%**			**86%**

*STEM departments are Chemistry, Earth & Environmental Science, Mathematics, and Physics & Astronomy

A closer inspection of hiring and departures during the six-year period (Table 3) reveals other components within net increases or decreases. Importantly, it demonstrates a general pattern of improvement in the hiring of women, even with occasional year-to-year fluctuations. The proportion of women in the entering cohorts ranged from 38% in AY2014 to 62% in AY18. But for all of these welcome gains, the School loses women faculty each year as well. In extreme cases, such as in AY14, new appointments of women are canceled out numerically by departures. The largest source of these departures is recruitment by other universities, which will be discussed below.

Table 3: Female Standing Faculty Additions and Departures, AY13-18

Academic Year	All Standing Faculty		Female Standing Faculty	
	Added*	Departed**	Added*	Departed**
2012-13	25	15	11	4
2013-14	21	17	8	8
2014-15	22	13	11	5
2015-16	23	24	9	7
2016-17	28	18	15	8
2017-18	29	16	18	8
TOTAL	**157**	**123**	**72**	**40**

*Data for each year is based on the effective start date of the hired candidate, not the year in which the search was conducted.

**Includes departures in all categories (failed retention, termination, retirement, death) occurring before July 1 of the previous academic year.

Underrepresented Minorities

Tables 4 and 5 show that underrepresented minorities accounted for 18% of the net growth in the SAS faculty from AY13-18; however, the proportion of minorities and underrepresented minorities on the faculty has improved only slightly over this period, increasing 0.7% and 0.6% respectively. This slow rate of growth is consistent with that of the ten-year period prior to the 2012 plan. When broken out by division (Table 4), the humanities saw the largest increase of Black, Non-Hispanic faculty, from 6.4% to 8.7%, but the percentages stayed approximately the same in the two other divisions. Of particular concern are the slight drop in Hispanic faculty School-wide (-0.3%) and the decrease of minorities across the social sciences, from 28.3% to 25.7%. The largest increases in the proportion of minority and underrepresented minority faculty were in the humanities (20.7% to 23.6% and 12.2% to 13.8%, respectively).

Table 4: Standing Faculty Ethnicity by Division, AY 2013-18

Academic Year	All	Hispanic/ Latino/a		Black, Non-Hispanic		Asian		Two Or More		Total Minority		Under-Rep Minority*	
Humanities													
2012-13	188	11	5.9%	12	6.4%	15	8.0%	1	0.5%	39	20.7%	23	12.2%
2017-18	195	10	5.1%	17	8.7%	18	9.2%	1	0.5%	46	23.6%	27	13.8%
Natural Sciences													
2012-13	176	2	1.1%	2	1.1%	17	9.7%	0	0.0%	21	11.9%	4	2.3%
2017-18	186	3	1.6%	2	1.1%	18	9.7%	0	0.0%	23	12.4%	5	2.7%
Social Sciences													
2012-13	120	10	8.3%	8	6.7%	15	12.5%	1	0.8%	34	28.3%	19	15.8%
2017-18	136	10	7.4%	9	6.6%	15	11.0%	1	0.7%	35	25.7%	20	14.7%
All Divisions													
2012-13	484	23	4.8%	22	4.5%	47	9.7%	2	0.4%	94	19.4%	46	9.5%
2017-18	517	23	4.4%	28	5.4%	51	9.9%	2	0.4%	104	20.1%	52	10.1%
Change (+/-)	**33**	**0**	**-0.3%**	**6**	**0.9%**	**4**	**0.2%**	**0**	**0.0%**	**10**	**0.7%**	**6**	**0.6%**
% of 6-Year Growth			**0%**		**18%**		**12%**		**0%**		**30%**		**18%**

*URM = Underrepresented Minority. This group includes those that identify with one or more of the following race/ethnicities: Hispanic/Latino/a; African American/Black; Native American/Alaskan Native; Pacific Islander. Individuals who identify with two or more ethnicities are included in this count if one of the identified ethnicities is a URM.

Table 5: Standing Faculty Ethnicity by Rank, AY 2013-18

Academic Year	All	Hispanic/ Latino/a		Black, Non-Hispanic		Asian		Two Or More		Total Minority		Under-Rep Minority*	
Assistant Professor													
2012-13	89	10	11.2%	6	6.7%	13	14.6%	1	1.1%	30	33.7%	17	19.1%
2017-18	103	9	8.7%	6	5.8%	11	10.7%	1	1.0%	27	26.2%	16	15.5%
Associate Professor													
2012-13	125	9	7.2%	4	3.2%	16	12.8%	1	0.8%	30	24.0%	13	10.4%
2017-18	109	7	6.4%	5	4.6%	12	11.0%	0	0.0%	24	22.0%	12	11.0%
Professor													
2012-13	270	4	1.5%	12	4.4%	18	6.7%	0	0.0%	34	12.6%	16	5.9%
2017-18	305	7	2.3%	17	5.6%	28	9.2%	1	0.3%	53	17.4%	24	7.9%
All Ranks													
2012-13	484	23	4.8%	22	4.5%	47	9.7%	2	0.4%	94	19.4%	46	9.5%
2017-18	517	23	4.4%	28	5.4%	51	9.9%	2	0.4%	104	20.1%	52	10.1%
Change (+/-)	**33**	**0**	**-0.3%**	**6**	**0.9%**	**4**	**0.2%**	**0**	**0.0%**	**10**	**0.7%**	**6**	**0.6%**
% of 6-Year Growth			**0%**		**18%**		**12%**		**0%**		**30%**		**18%**

*URM = Underrepresented Minority. This group includes those that identify with one or more of the following race/ethnicities: Hispanic/Latino/a; African American/Black; Native American/Alaskan Native; Pacific Islander. Individuals who identify with two or more ethnicities are included in this count if one of the identified ethnicities is a URM.

Representation of minority faculty by rank (Table 5) shows an inverse pattern over the same period from that of women. The number of full professors increased, from 12.6% to 17.4% and 5.9% to 7.9% for minorities and underrepresented minorities, respectively. But a particularly troubling trend is the drop among assistant professors of 33.7% to 26.2% for minorities and 19.1% to 15.5% for underrepresented minorities. The next several tables provide some insights into this decrease.

Table 6 shows that, like for women, there is an overall trend of increased hiring of minority and underrepresented faculty. While there have been years when the percentage of underrepresented minorities is low (4.8% in AY2014), they were nearly a quarter of the hires (24.1%) made in AY18. But departures play a role in the net growth here as well; note that in AY15 and AY16 the number of underrepresented minorities who left Penn, either through failed retentions or failure to achieve tenure, equaled or exceeded the additions. (Table 6 does not break down the reason for departure because the numbers would become so small as to risk making individual faculty identifiable.)

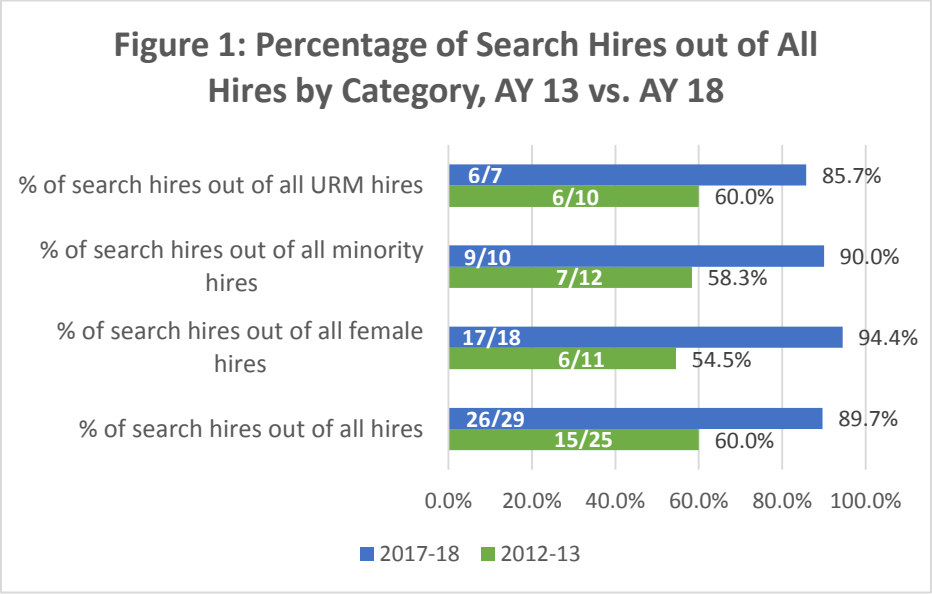
Table 6: Standing Faculty Additions and Departures by Ethnicity, AY13-18

Academic Year	All Standing Faculty		Minority Standing Faculty		URM Standing Faculty	
	Added*	Departed**	Added*	Departed**	Added*	Departed**
2012-13	25	15	12	3	10	1
2013-14	21	17	6	1	1	0
2014-15	22	13	5	4	3	4
2015-16	23	24	4	6	3	3
2016-17	28	18	6	4	4	3
2017-18	29	16	10	5	7	2
TOTAL	**157**	**123**	**43**	**23**	**28**	**13**

*Data for each year is based on the effective start date of the hired candidate, not the year in which the search was conducted. search waiver candidates are included.
**Includes departures in all categories (through failed retention, termination, retirement, death) occurring before July 1 of the previous academic year.

Searches vs. Targets of Opportunity

A major goal of the previous plan was to increase the proportion of diversity hiring achieved through regular searches. Although the recruitment of targets of opportunity continues to improve the rate at which female, minority, and underrepresented minority candidates are hired, candidates from these populations are also faring better in regular searches than in previous years. (See Figure 1.)



Retention

In a school with faculty who are recognized globally for their accomplishments, it is common for SAS professors to be targets of recruitment by other universities. The retention of faculty is both a short-term endeavor (the School countering a specific outside offer) and a long-term one of building loyalty to the institution over many years, something this plan as a whole seeks to address. Figure 2 demonstrates that the retention rates among women, minority, and underrepresented minority faculty from AY13 to AY18 are roughly comparable to those of the School as a whole. SAS is having good success in retaining women and minority faculty.

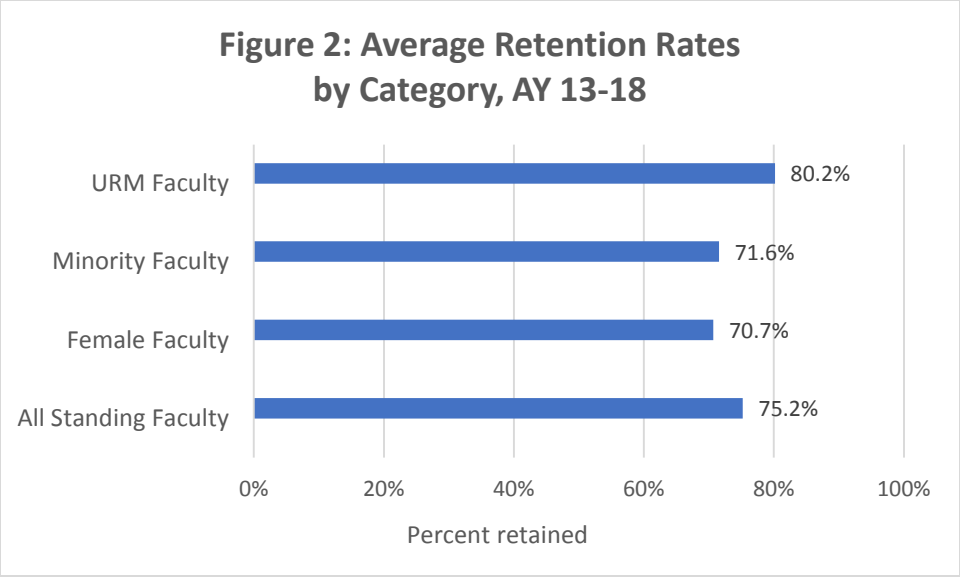


Table 7, however, illustrates a different challenge: that women and minority faculty receive outside offers at a rate that far exceeds that of either all standing faculty or all male faculty. For example, underrepresented minorities receive outside offers at nearly twice the rate of all male faculty.

Table 7: Percentage of Faculty Receiving Outside Offers, AY 13 - 18

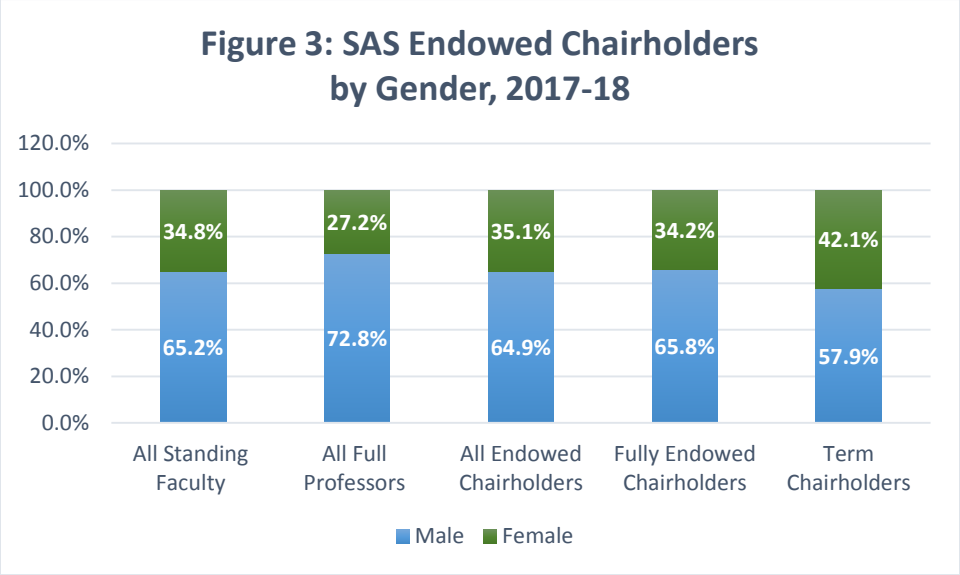
Category	Average Faculty Size	Number Outside Offers	% Receiving Outside Offers
All Standing Faculty	497	164	33.0%
Male	333	102	30.6%
Female	164	62	37.8%
Minority	99	52	52.5%
Underrepresented Minority	48	28	58.3%

Toward Equity in Compensation and Recognition

Patterns in how the School rewards its faculty offer further insights into the state of faculty diversity. An important measure of gender equity is compensation. The Dean's office works closely with department chairs in the annual salary increase process to look at larger patterns of salaries and sets aside funds to address major inequities. Gender balance is an important consideration in this process. The Provost's office also monitors salary equity, including gender equity, in SAS. Last year the Dean's office began to make available even more detailed gender-focused salary data to inform chairs in making their salary increase recommendations.

Another way that the School recognizes faculty achievement is through appointment to an endowed chair, with its associated title and research fund. The more common type of chair is one in which the appointment is made for the duration of the holder's Penn career; these are awarded almost exclusively to full professors. There is also a smaller group of chairs for which the holder is appointed for a fixed term, usually five years. While still conferred mostly on full professors, they are also awarded to associate professors; the School also has a small number of endowed assistant professorships.

The data below (Figure 3) demonstrate that the percentage of endowed chairs held by women equals or exceeds the representation of women on the faculty. For all chair categories, 35.1% of appointees are women, compared to 34.8% of the faculty overall. For fully endowed chairs, 34.2% of holders are women; the comparison here is with all full professors, of whom 27.2% are women. For term chairs, 42.1% are women, compared again to the representation the overall faculty of 34.8%.

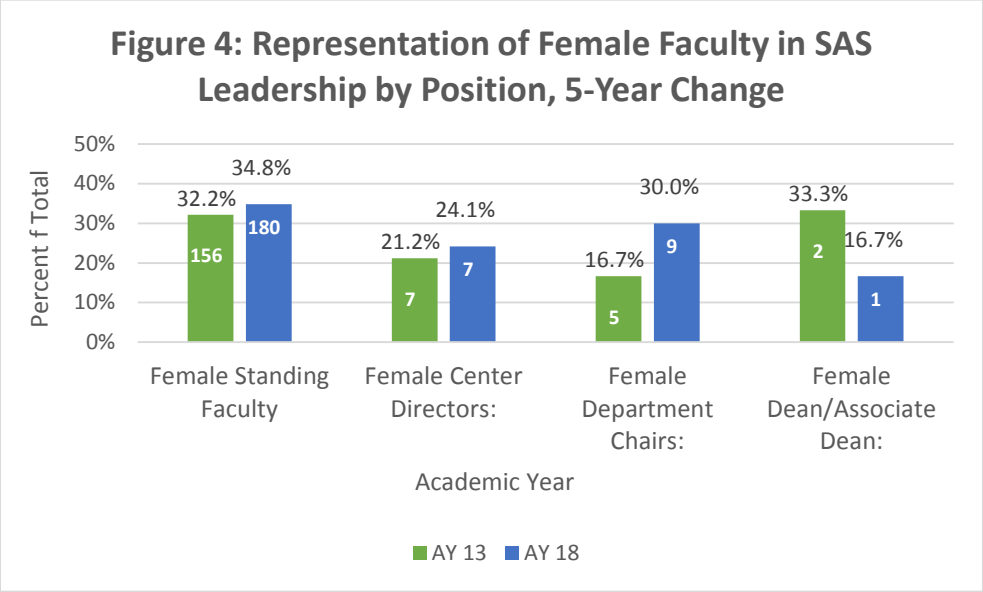


Leadership

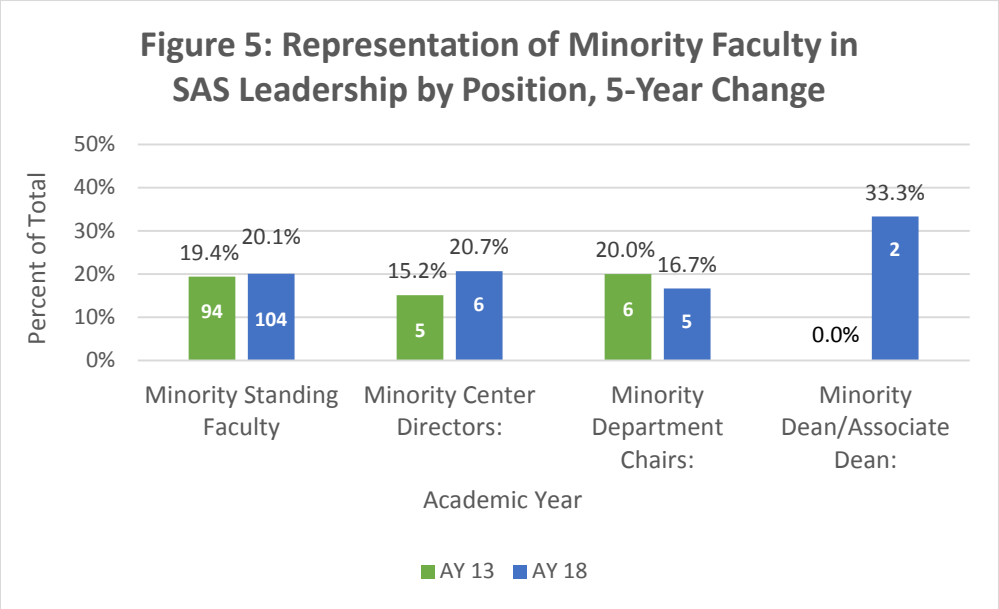
The composition of the academic leadership of the School – consisting of department chairs, center directors, and associate deans – has become more diverse in several dimensions over the past five years. But there remains room for further improvement to ensure that women and minorities are represented among senior officers at the rate they are on the faculty as a whole.

Figure 4 shows that the percentage of women serving as department chairs and center directors has increased over the past six years. The increase for department chairs is especially notable (from 16.7% to 30%); it approaches the 34.8% of women on the standing faculty and exceeds the 27.2% of women who are full professors. In the most senior ranks of SAS leadership, however,

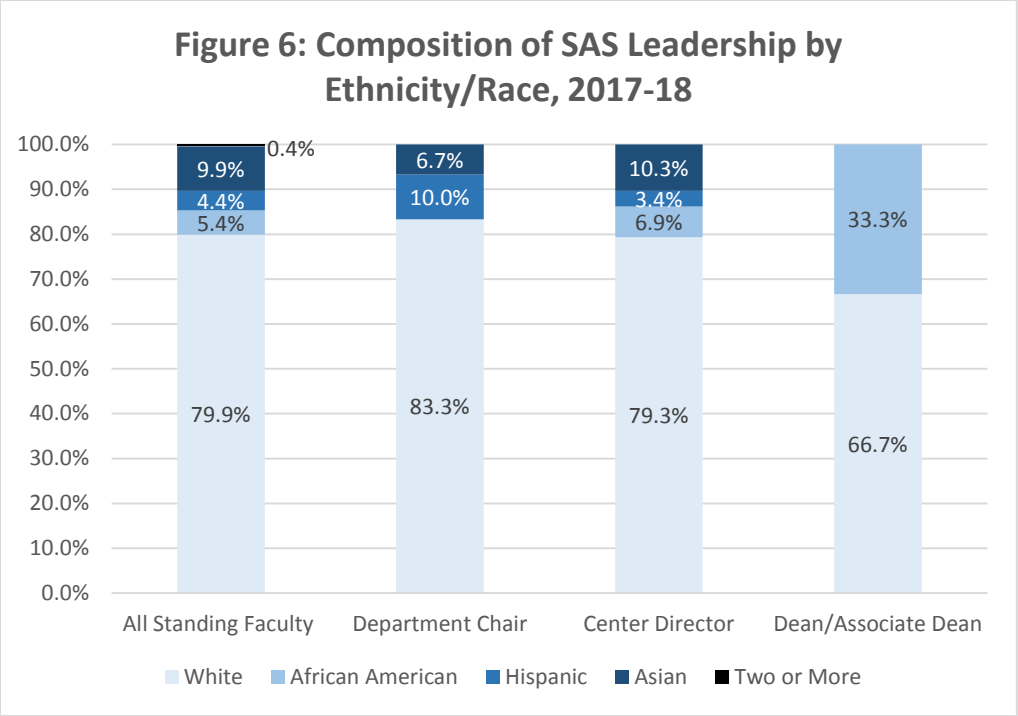
representation of women has declined; among the six faculty serving as Dean or Associate Dean, the proportion of women was 16.7% in FY18.



Data on the representation of minorities in SAS leadership (Figure 5) shows a slight drop among department chairs and an increase among center directors that now equals the representation on the faculty. During this six-year period, there were two minority associate deans who each served four to five years, although in the current academic year there are now none.



Looking more closely at the racial composition of SAS leadership (Figure 6), the diversity of center directors is comparable to the 20.1% of minority of the faculty as a whole: 16.7% of department chairs and 20.6% of center directors. But in 2017-18 there were no African American department chairs, and the two African American faculty serving as deans in 2017-18 are no longer in those roles.



Renewing Our Commitment to Faculty Diversity

Faculty Recruitment

As the data in the previous section suggest, the processes implemented over the past six years have helped the School to diversify its candidate pools in faculty searches. SAS will continue to refine these processes to ensure that pools reflect the diversity of talent nationally as the result of broadly-defined position descriptions, proactive recruitment, and efforts to reduce implicit bias in hiring. To aid in diversity recruitment, the School makes full use of University-based support such as Presidential Term Professorships and the Faculty Opportunity Fund, the latter of which may be used to support underrepresented minorities, women in STEM fields, and LGBTQ faculty.

- *Defining Search Parameters:* A critical factor in attracting a diverse applicant pool is a position description that sets forth the area of scholarship but is not so narrowly defined that it deters highly qualified applicants. In approving departments' annual search requests, the Dean's office will continue to look favorably on proposals that are conceptualized broadly; take into account emerging subfields, approaches, or research questions in their discipline that may draw a new mix of scholars; or are otherwise defined in a way that actively invites a wide pool of talent. Deans and DSAs will also continue to work with departments in crafting advertisement text that achieves these goals. The School remains open to alternative recruitment approaches that enhance diversity hiring. For example, in recent years, cluster searches in the natural sciences have proven to be a very effective strategy in SAS for recruiting junior women faculty in STEM areas because they center around an interdisciplinary theme that attracts applicants from a wide range of fields. This approach holds potential for other fields such as sexuality studies.

- *Role of Departments:* The School will continue to ensure that departments are supported in their diversity recruitment with guidance and support from the Diversity Search Advisors, deans, and others. It will also continue to expect departments to devise their own strategies for enhancing diversity recruitment. One way that departments will continue to be held accountable for their commitment to diversity is through search authorizations. When the deans solicit search requests annually from departments, they inform chairs that among the considerations in making authorizations will be the department's demonstrated engagement in strategies to enhance diversity in their previous searches.

- *Diversity Search Advisors:* DSAs advise search committees on strategies for building diverse candidate pools and on selecting their long and short lists for interviews. They work closely with associate deans on individual searches and also with each other and the Dean's office in monitoring School-wide search processes and the DSA role more generally. SAS has made several enhancements to the DSA position since it was first introduced by the University in 2012. What began as two SAS positions has been expanded to three, one each for the humanities, natural sciences, and social sciences, to

ensure DSA understanding of the relevant academic cultures. Training for new DSAs has been formalized and a written SAS DSA manual compiled. The School will conduct ongoing assessments of this important role and modify it as needed.

- *Search Committees and SAS Personnel Committee:* Beyond providing the guidance of a DSA, the School continues to develop tools to assist search committees in diversifying their candidate pools. Although originally optional, SAS now requires every faculty search committee to designate a diversity liaison responsible for paying attention to diversity at every stage of the search process. Last fall SAS published its first written guide for search committees, including extensive reference material on diversity issues. In compliance with the Provost's office requirement, the School will develop a formal program to educate search committees about current research on implicit bias and discrimination in hiring. To prepare for its work in reviewing School-wide appointments and promotions, the SAS Personnel Committee recently began to participate in an implicit bias session each fall.

- *Targets of Opportunity:* While the majority of SAS faculty hiring takes place through regular searches, target of opportunity appointments remain a valuable tool for recruitment when a department identifies a scholar who would enhance excellence and diversity. The deans will continue to support such recruitments where an appropriate case is made; they will remain less inclined to authorize such appointments in departments that do not routinely make diversity hires through their regular searches.

- *Dual Career Support:* The School recognizes the importance of opportunities for dual career recruitment; it works where possible to facilitate such appointments and makes full use of funding from the Provost's Dual Career Program to support partner placements within the University. The Provost's office is piloting the use of a recruiting professional to assist in partner employment outside of Penn.

Faculty Development and Mentoring

The School has an obligation to invest in the success of its faculty at all stages of their careers and to provide a supportive academic community that enables their best work. The School is giving new attention to the creation of professional development and mentoring programs. These efforts are designed to benefit all junior faculty, but they also provide critical opportunities for building strong support networks that can help junior faculty address professional development within the context of diversity.

- *Orientation for New Faculty:* The School is in the process of broadening its definition of "orientation" for new faculty to ensure its depth, timeliness, and promotion of a welcoming environment that proactively and over an extended period helps new members transition into the SAS community. Traditionally orientation has consisted solely of a summer email linking to key resources and a one-day introductory session for new faculty on the eve of the new academic year (a program that will continue). Orientation will now begin as soon as faculty accept an offer from SAS, with expanded information provided about

- SAS and University resources around diversity, including race, gender, sexual orientation, religion, and disability
- Family-friendly resources
- Formal information about the tenure process, including extension of the tenure clock when a new child enters the home
- The mentoring opportunities described in the next section, including the assignment of individual mentors, the SAS yearlong group orientation program, and other special programs.

- *Assistant Professor Mentoring:* The orientation described above will be the first step in a more structured and multi-faceted program of mentoring for assistant professors in SAS.
    - Individual mentoring: While the School currently has guidelines for junior faculty mentoring, they are very inconsistently carried out. SAS will launch a more formal mentoring program in which upon appointment, each new assistant professor will be assigned a team of mentors that among them can address the mentee's
        - Scholarship
        - Teaching
        - Specific circumstances of a personal nature (e.g., gender, race, family issues, level of experience in American higher education system)

      Department chairs will be asked to provide overall monitoring and ensure that the team remains functioning, while the Dean's office will monitor progress annually and provide orientation and written guides for mentors and mentees.

    - The First Two Years program: This year the School inaugurated a voluntary group mentoring program open to all assistant professors in their first two years on the SAS faculty. Led by faculty from across the School, it covers topics of interest to early-career faculty (e.g., time management, grant writing, the promotion process), offers a venue for informal questions and discussion, and provides an opportunity to get to know their peers outside their department.

    - Post-reappointment mentoring: The School will host divisionally-based sessions for newly-reappointed assistant professors in the humanities, social sciences, and natural sciences to discuss planning for the tenure review process.

    - Provost-sponsored programs: The Office of the Provost has been adding to the suite of campus mentoring opportunities by offering admission-only group mentoring programs for junior faculty, most ideally suited to slightly more advanced assistant professors than The First Two Years program. The Penn Faculty Pathways program serves STEM faculty; a pilot program for the humanities is taking place this year; and a program for the social sciences is a target for future development.

    - Specialized group mentoring: The School will provide support for group mentoring for more narrowly-defined cohorts of assistant professors where there

is a demonstrated need and interest. In response to suggestions from several faculty for a group for junior women in the natural sciences, that will be the first specialized group to be initiated.

- *Associate Professor Mentoring:* Upon being awarded tenure, associate professors encounter a new mix of opportunities and challenges in the next stage of their careers. Timely promotion to full professor requires the continued advancement of one's research and teaching agendas as well as meeting new expectations regarding service to the department, School, and University. It is also an important period for academic leadership development and for associate professors to gain valuable experience in "pipeline" roles that prepare them for more senior positions; departments and the School must be held accountable in ensuring the diversity of these pipelines (see the section further below on leadership). SAS will launch a program of mentoring for associate professors to provide ongoing career development advice, offer guidance about maintaining balance in their duties, discuss major issues in academic leadership, and introduce them to key topics in School- and University-wide affairs.

Climate

Paramount to the recruitment and retention of a diverse faculty is an environment that is nurturing and inclusive, both within departments and across the School more broadly. Such a climate helps faculty to thrive in their careers, especially in the early to middle stages, and also fosters a strong sense of community in which all faculty feel valued, respected, and supported. SAS will take a number of steps to promote a positive climate of inclusion, create an environment in which all faculty are comfortable speaking out when they have concerns, offer tools for informal resolution of conflict, and ensure prompt adjudication of formal allegations of discrimination and harassment.

- *Assessing Climate:* Taking stock of the environment of diversity is a challenging and highly subjective task in a school as large and academically wide-ranging as Arts and Sciences. The School must identify more tools for collecting information about climate beyond the mere anecdotal. SAS already tracks data about the reasons behind a faculty member's decision to accept or decline an outside offer, and will also explore conducting exit surveys with faculty who leave Penn. The School will also continue to draw helpful information from the University's faculty climate surveys.

- *Promoting Inclusion and Civility:* Creating a climate of inclusion and civility is the collective responsibility of the faculty. Faculty leaders at the local level play an important role in setting the tone for overall practices of a unit and also individual faculty conduct. The School will develop a formal training program and written materials for chairs to assist them in managing these issues – including in the respectful mediation of conflict – and will discuss these topics regularly at group chair meetings. Faculty search committee members will now, as noted earlier, receive special diversity training. Transparency of decision-making processes is another important factor in ensuring equity. Departments

should have clear and accessible bylaws or other written procedures for the selection of officers and the appointment and promotion of faculty. The School recently published a guide for faculty search committees to ensure greater uniformity in process.

- *Networks and Support Systems:* SAS thrives as an interactive scholarly community, and must ensure that no faculty member, including women and underrepresented minorities, feels isolated or unsupported professionally within that community. The School's new individual and group mentoring programs for junior faculty are designed not only to provide career guidance, but to help assistant professors build networks of colleagues within and beyond their department. It is also important that every faculty member have a senior colleague with whom they may discuss important questions or express concerns, and that they know that if they are not comfortable speaking with their chair, that the School's divisional deans are available either to address issues directly or identify others who are appropriate to do so.

- *Support for Families:* Enabling faculty to maintain work-life balance through the support of families is a high-priority climate issue. The School has recently implemented more formal communications for ensuring that all tenure-track faculty understand the parental policies that impact the tenure clock and allow time away from teaching when a new child enters the home. As discussed earlier, SAS remains vigilant where possible about facilitating dual career faculty appointments. The School acknowledges the pressing need for more daycare capacity on the Penn campus and its implications for recruitment and retention; SAS will continue to raise this important issue with the University, which runs these programs.

- *Celebrating Excellence and Achievement:* The School, working with the University, is always eager to communicate and celebrate the contributions that all of our talented faculty make through their research and teaching. Included in these ongoing activities will be an effort to convey to audiences on and off campus the tangible impact of diversity – of people and perspectives – on the generation and dissemination of new knowledge and ideas.

- *Raising Awareness of Resources:* Every SAS faculty member should be able to easily locate campus resources that support a specific population. Every faculty member should be able to easily find guidance on what to do if they experience harassment, discrimination, or are the victim of sexual misconduct. The School will enhance its communications and information resources to achieve these objectives.

- *Sexual Misconduct:* Sexual harassment, sexual violence, and other forms of sexual misconduct are not tolerated in our community. Preventing such behavior requires education: not only about University policies but about what constitutes misconduct in its subtle and overt forms. The School will develop tools for education of faculty, students, and staff, and promote discussion in departments and other units about standards of behavior. The School will also enhance communications about resources for information, counseling, and support, as well as the informal and formal procedures for resolving

complaints of sexual harassment. SAS will work closely with the University's new Associate Vice President for Equity and Title IX officer in adjudicating specific cases.

Diversity in Academic Leadership

Service in academic leadership roles is not simply an obligation of our system of faculty governance, but also a vital opportunity to shape research and teaching programs. Consistent with the School's commitment to diversity and the benefits it brings to our scholarly community, the academic leadership of SAS – of departments, centers, and programs, and of the School as a whole – must reflect the diversity of the faculty body. SAS must articulate strategies such as the two below for diversifying its leadership, and there must be accountability for outcomes in creating a pipeline and in actual appointments to senior roles. Departments, centers, and programs will be asked to report on these issues annually, and success will be taken into consideration in the allocation of searches and other resources. Likewise, the Dean must be held accountable by the President and Provost for the diversity of the School's senior leadership.

- *Building Leadership Pipelines:* The preparation of academic leaders must be a deliberate, long-term endeavor, with departments identifying service opportunities that are valuable for leadership development at the junior and mid-career levels (for example, participation in or leadership of specific committees, projects, or activities). While junior faculty should focus primarily on developing their research and teaching, they will benefit from early exposure to faculty governance through assignments that are not too labor-intensive. At the same time, care must also be taken not to overburden female and underrepresented minority faculty with service roles in the pursuit of leadership diversity; it is important for these faculty to get good advice from chairs and mentors about being strategic in deciding which roles to take on.

- *Leadership Development Programs:* Faculty programs that promote discussion among peers and with experienced academic leaders can help faculty learn about leadership opportunities and challenges, academic governance, and the operations and structure of the School and University. Leadership development will be an important component of the new SAS group mentoring program for associate professors that is discussed above. The University's Penn Fellows Program for mid-career faculty has long had many SAS participants, and the recent increase in the program's size will allow even more to take part each year.

Academic Programs

As a leading school of arts and sciences, research and teaching on diversity in its many forms take place throughout SAS departments, programs, and centers across the humanities, social sciences, and natural sciences. The School is deeply committed to (1) advancing knowledge about diversity; (2) training the next generation of scholars on these topics; and (3) educating all Penn undergraduates about diversity as part of the SAS mission of preparing students to be informed and responsible citizens. In addition, the presence of these academic programs is often an important factor in the recruitment and retention of underrepresented minority faculty.

The College of Arts and Sciences BA general requirement includes one-course requirements in "Cultural Diversity in the US" and "Cross-Cultural Analysis," the latter aimed at increasing students' knowledge and understanding of socio-cultural systems outside the United States. The College of Arts and Sciences has been consulting with the Center for Teaching and Learning as the latter develops programming to help faculty teach about diversity.

The School's current long-range strategic plan, "Our Foundations and Frontiers," has as one of its four Advancing Integrated Knowledge themes "Diversity, Inequality, and Human Well-Being." Under this effort SAS continues to make faculty hires to build the School's collective expertise in this area. Also part of the initiative is the Making a Difference in Diverse Communities program that provides generous grants to support teams of faculty and students in multidisciplinary projects that combine coursework, research, and service to address issues of diversity and inequality locally, nationally, and internationally.

The study of diversity is interwoven throughout many disciplines across the School. The following list summarizes major subfields and SAS units that are wholly dedicated to them, but these subfields are also well-represented within departments such as Anthropology, English, History, Political Science, and Sociology, to name just a few.

- *Underrepresented populations in the United States*
  - Department of Africana Studies
  - Center for Africana Studies
  - Latin American and Latino Studies Program
  - Asian American Studies Program
  - Native American and Indigenous Studies Program

- *Race*
  - All of the programs in the category above
  - Program on Race, Science, and Society
  - Center for the Study of Ethnicity, Race, and Immigration
  - Population Studies Center

- *Gender and Sexuality*
  - Alice Paul Center for Research on Gender, Sexuality, and Women
  - Gender, Sexuality, and Women's Studies Program

- *Disability*
  - American Sign Language/Deaf Studies minor and ASL courses
  - Health and Disability Concentration in Gender, Sexuality, and Women's Studies Major
  - Department of English Working Group in Disability Studies

- *Religion*
  - Department of Religious Studies
  - Katz Center for Advanced Judaic Studies
  - Jewish Studies Program
  - Penn Forum for Global Islamic Studies
  - Program for Research on Religion and Urban Civil Society

- *Global (region-specific)*
  - Center for Africana Studies
  - Center for the Advanced Study of India
  - Center for the Study of Contemporary China
  - Center for East Asian Studies
  - Korean Studies
  - Middle East Center
  - South Asia Center
  - Departments dedicated to a global region: Classical Studies, East Asian Languages and Civilizations, English, Germanic Languages and Literatures, Near Eastern Languages and Civilizations, Romance Languages, Russian and East European Studies, South Asia Studies

Building for the Future: Pipeline Programs

To be truly effective, the School's goal of enhancing faculty diversity must seek to address change on multiple time horizons. The programs described up to this point in the plan are aimed at recruiting and retaining a diverse faculty to SAS in the present day. But efforts to broaden candidate pools for recruitment continue to be constrained in many fields by the limited numbers of underrepresented minorities and women earning Ph.D.s. Whether at the department level or in School-wide efforts, SAS has an obligation to diversify the pipeline of students entering Ph.D. programs, not only for the benefit of our own future recruitment, but for the future of the academy as a whole. This work entails campus programming as well as outreach, and offers academic opportunities, guidance, and financial assistance before, during, and after graduate school.

Undergraduate Programs

The School believes deeply that a diverse undergraduate population is an important element of its commitment to education and also central to the educational experience of all students. SAS will continue to enhance and support both the residential undergraduate program in the College of Arts and Sciences and the programs for non-traditional students in the College of Liberal and Professional Studies.

- College of Arts and Sciences
  - *Admissions:* The College works closely with the University's Office of Undergraduate Admissions to promote diversity recruitment through programming and participation in the selection process itself. College students continue to comprise most of the participants in Penn's Knowledge Is Power Program (KIPP) and Questbridge program. The College works carefully with Admissions and other campus offices to help students make the transition to college life, as discussed below.
  - *Financial Aid:* SAS shares the University's commitment to providing all-grant financial aid packages to all the best students to attend the College, regardless of their economic circumstances. The School dedicated 15.6% of its operating budget – $89.2 million – to undergraduate aid in FY18. Undergraduate aid is a perennial top fundraising priority for Arts and Sciences, including in the current Power of Penn campaign. The School strongly endorses efforts by the Penn First Plus program and others to identify sources of support beyond tuition (e.g., paid research positions or summer internships) to allow low-income students to maximize their Penn academic experience. SAS also seeks to attract more financial aid support for students from outside of North America.

- *Pre-Freshman Programs:* The College plays a major role in the academic component of the University-sponsored four-week PENNCAP pre-freshman summer program, which aims to give participating students "an academic and social edge while familiarizing themselves with Philadelphia and Penn's campus." The Center for Africana Studies Summer Institute for Pre-Freshman, an intensive, week-long course of study aimed at expanding students' intellectual horizons and preparing them for life on campus and in the classroom, recently celebrated its 30th anniversary.

- *Academic Advising:* The College advising staff, including the Excellence and Opportunity and the Advising Programs and Training working groups, works to actively support diverse populations and more broadly promote the spirit of inclusion in all College office activities. They foster best practices for ensuring that advisors' communications with students are culturally and socio-economically sensitive; have recruited a more diverse team of peer advisors; and have implemented a protocol for all College communications to be attentive to gender neutral and inclusive language.

  The College also partners with a wide range of University programs and offices as part of its mission to support diversity. The College is working closely with the new Penn First Plus office as it supports first-generation, low-income students; both of the program's faculty directors are from SAS. While this new initiative takes shape, the advising team continues to actively support the existing diversity initiatives of the cultural centers and other partners under the Vice Provost for University Life and the Vice Provost for Education by collaborating on programming and support for individual students.

- *Teaching:* In consultation with the College, the Center for Teaching and Learning has been offering an expanding suite of programs for faculty and graduate students on both inclusive teaching and the teaching of cultural diversity. The College and associated faculty committees are undertaking a review of the teaching of gateway courses in the sciences and math, an effort meant to help all students but including FGLI students who may be less well prepared for this coursework.

- College of Liberal and Professional Studies

  - *New Undergraduate Degree:* The largely online Bachelor of Applied Arts and Sciences (BAAS), approved in 2018, is designed to broaden access to, and increase the affordability of, an LPS undergraduate degree and to be better tailored to the needs of adult, part-time, working students.

  - *Undergraduate Admissions:* To broaden access to the new BAAS, there are multiple pathways for admissions, including a standard application/admissions process; a "prove your way in" path via success in four general education

"gateway" courses; and, for non-degree students, open enrollment with a certificate option. LPS will continue its targeted recruitment activities aimed at students from West Philadelphia, from community colleges along the Eastern seaboard, and veterans, as well as through virtual information sessions. LPS has an open enrollment policy during Summer Sessions to make undergraduate courses, including more than 40 fully online courses, more accessible to those with a high school degree; a primary goal is to encourage participants to apply for the LPS undergraduate degree program. LPS will continue to offer its Bread Upon the Waters scholarship program for women over 30 who wish to complete an undergraduate degree part-time, as well as scholarships for students who have been elected to the community college honor society Phi Theta Kappa.

Post-baccalaureate Programs

Through the College of Liberal and Professional Studies, SAS has built a highly successful model for post-baccalaureate programs that prepare students with a BA to apply to graduate school in classical studies and in the health professions. We will continue to expand this model to other fields and offer scholarship support for students from lower socio-economic backgrounds and for underrepresented minorities, to help develop pathways to future academic careers.

Doctoral Programs

- *Admissions:* Recruitment efforts by the SAS Graduate Division recruitment activities include staff travel to recruitment fairs, historically black colleges and Hispanic-serving institutions, and specific regions with high minority populations (e.g., California, Atlanta, Nashville, Puerto Rico), as well as presentations to groups of undergraduate McNair Scholars at Penn and elsewhere. The School plans to again co-host a two-day Penn Honors Diversity (PHD) symposium that brings talented undergraduates to the University to learn about doctoral education, with the goal of persuading them to apply to Penn.

- *Financial Aid:* Penn's Fontaine Fellowship program remains the School's most important tool in the recruitment of underrepresented minorities to its PhD programs, and has structured incentives tied to those fellowships to encourage all SAS graduate groups to be aggressive in their recruitment efforts.

- *Pipeline programs:* SAS remains committed to participation in programs that promote undergraduate interest in doctoral education. The School is a longtime participant in the Leadership Alliance, which hosts rising seniors who are underrepresented minorities and aspire to academic careers for summer research internships in the humanities, social sciences, and (in partnership with Penn's Biomedical Graduate Studies) the natural sciences. SAS is also taking part in the five-

year HSI Pathways to the Professoriate, which is preparing students from Hispanic Serving Institutions for PhD programs.

- *Bridge programs:* In 2017, the Mathematics department launched the first SAS college-to-PhD bridge program aimed at enhancing diversity, and the School will support other departments who wish to replicate it.

- *Pre-doctoral Fellowship Program:* SAS will continue to take part in Penn's successful Predoctoral Fellowships for Excellence through Diversity program. These one-year awards provide mentorship and access to Penn's resources for doctoral students in the humanities or social sciences who are enrolled at universities other than Penn, as they complete their dissertations.

Postdoctoral Programs

SAS will continue to be an active participant in the University's diversity postdoctoral fellowship program, which has brought several talented underrepresented minorities as well as women in STEM fields to the School. The cost of these three-year positions is shared between the Provost's office and the School, but in order to expand these opportunities, SAS funds additional positions on its own. The School will also work to raise awareness among departments and centers about ways to promote more diverse hiring in all postdoctoral fellow positions in SAS, and about strategies for providing mentoring and career support. These positions can provide a unique opportunity for a diverse pool of young scholars to build relationships with departments, and in selected cases it may be appropriate for departments to recruit these individuals to tenure-track positions.

High School Programs

SAS remains committed to exposing academically-talented high school students to university-level work as a valuable way to promote a smooth transition to college, including for under-represented minorities, women in STEM fields, and students from socioeconomically disadvantaged backgrounds. As LPS has expanded programming for high school students in recent years, it has continued to offer full scholarships to eligible Philadelphia public school students. In non-credit summer high school programs (the Summer Academies: biomedical research, physics, neuroscience, mathematics, chemistry, and social justice; and Penn Summer Prep Program), ten percent of students receive such scholarships. In the Young Scholars Program, School District of Philadelphia students receive tuition waivers to take Penn courses for credit; 187 did so in AY17-18. LPS will continue to grow its high school program enrollment and programming, with corresponding scholarship support.

Outreach Programs

Outreach by SAS faculty and students to individuals beyond those formally enrolled in our own programs is important not only for the dissemination of knowledge, but also for stimulating further specialized study or the pursuit of education more generally. A wealth of outreach activities takes place across the School's departments and centers. SAS will continue to support and expand those distributed efforts, as well as the ones described below: central School programs and University initiatives in which Arts and Sciences faculty play a leading role.

- SAS-based Activities
  - *Massive Open Online Courses (MOOCs):* LPS has worked with SAS faculty to produce two dozen MOOCs, which have offered free access to Arts and Sciences content to more than a million people worldwide to date, including large representations from Asian and Latin American countries.
  - *SAS Science Outreach Initiative (SOI):* The SOI assists science faculty with developing outreach ideas and proposals and serves as a clearinghouse for the many STEM outreach programs taking place across SAS for students of all ages.
  - *Title VI National Resource Centers:* The School's area studies centers, focusing on East Asia, Middle East, South Asia, have as part of their mandate outreach to local schools and the public about the center's international region.

- University Activities with Significant SAS Faculty Participation
  - *University of Pennsylvania Museum:* The Museum's programs for K-12 students offer a target audience for outreach efforts by SAS faculty in related departments.
  - *Netter Center for Community Partnerships:* Through the Netter Center, SAS faculty and students participate in a range of outreach activities in West Philadelphia and beyond. In particular, SAS is the driving force behind Penn's Academically-Based Community Service (ABCS) program, with the largest percentage of ABCS courses taught by Arts and Sciences faculty.
  - *Teachers Institute of Philadelphia (TIP):* Penn professors, including many SAS faculty, offer seminars in the humanities, natural sciences, and social sciences through TIP to area public school teachers, who in turn bring new content to the classroom.