

Report of the Senate Committee on Faculty Development, Diversity and Equity (SCFDDE)

General Committee Charge

The Committee on Faculty Development, Diversity and Equity (i) identifies and promotes best practices for faculty development, mentoring and work environment to facilitate faculty success at all career levels; (ii) evaluates and advocates processes for faculty recruitment, promotion and retention that promote diversity, equity and work/life balance for the faculty; (iii) monitors the status of faculty development, mentoring, diversity and equity; and (iv) issues periodic reports on the activities and findings of the Committee that make recommendations for implementation.

2015-2016 Specific Charges

1. Finalize proposal for the Faculty Advocate position, in consultation with the Faculty Senate Tri-Chairs, and work towards the implementation of this position.
2. Review the Faculty Climate Survey process.
3. Assess the Action Plan for Faculty Diversity and Excellence and review any final report from the Office of the Provost.
4. Review Penn's efforts to recruit and retain women and underrepresented minorities to the Penn Faculty.
5. Review the Provost's Program for Postdoctoral Fellowships for Academic Diversity.

Report of Activities

The Committee met a total of eight times (10/6/15, 10/20/15, 11/3/15, 12/1/15, 1/19/16, 2/2/16, 3/15/16 and 4/5/16). Invited guests included Vice Provost for Faculty Anita Allen, Ombudsman Lynn Lees, Associate Ombudsman Marcia Martínez-Helfman, members of the University Council Committee on Diversity and Equity (UC-CDE), Chair and Professor Ezekiel Dixon-Roman (SP2), Professor Herman Beavers (English and African studies), Professor Chenoa Flippen (sociology), graduate PhD student Justine Seick (Nursing), junior undergraduate student Juana Granados (urban studies) and freshman undergraduate student Hannah Sweeney (political science).

Report on Charges

Finalize Proposal for a Faculty Advocate Position

Over the course of the year, the Committee refined its proposal for the appointment of a Faculty Advocate as it continued to hold discussions with Ombudsman Lynn Lees and Associate Ombudsman Marcia Martínez-Helfman about the role of the Office of the Ombudsman. The proposal for a Faculty Advocate was primarily a response to the fact that the Office of the Ombudsman had been designated an "agent of notice" and therefore could not have maintained confidentiality in cases in which a faculty member sought supportive resources in connection with violation of policies against sexual violence and sexual harassment. As a result, there was no office staffed by Standing Faculty to which faculty could report such behavior in confidence. In February, the Committee learned of a change in policy; the Office of the Ombudsman will be a confidential resource for the reporting of sexual violence and harassment by faculty, subject to the proviso that the Office may share information with University administrators "as [is] appropriate to keep members of the University community safe."

The Office of the Ombudsman shared with the Committee a handout that is given to prospective recipients of its services that clearly addresses the Office's stance with regard to confidentiality, neutrality and independence in general. It was agreed that the Office of the Ombudsman will post such information on its website so that prospective users of its services will have it available to them before they visit.

The proposal for the appointment of a Faculty Advocate was also a response to Committee's perception that the Office of the Ombudsman "has moved away from the role of serving as a strong advocate of fairness." As originally described by the first person to hold the position of Ombudsman, upon receiving complaints, it was the role of the Ombudsman to attempt "to secure, where called for, either a satisfactory explanation or expeditious and impartial redress." In addition, "the Ombudsman [was to] recommend to the appropriate administrator(s) steps that will prevent a recurrence, and [was to] follow up to see whether the steps have indeed been taken." Indeed, according to the *Faculty Handbook*, the Ombudsman is "[t]o recommend changes in the policies and procedures of the University. . . to assure that, first, members of the University are treated fairly and with respect, and, second, that the principles on which decisions are based are sound." The Committee envisioned that the Faculty Advocate would foster fairness

by functioning like an advisor, mentor or supporter at the University level.

The Office of the Ombudsman maintains that it advocates for fairness, although perhaps not as aggressively and publicly as some might prefer, by promoting mediation and dialogue with regard to individual disputes. Moreover, it negotiates with administrators, not at the behest of any single individual, to affect changes in procedures and policies that generate grievances on a recurring basis, but this can take time. Users of the Office's services are encouraged to return if their complaints are not sufficiently addressed. It appears then that the Office may act on information supplied by complainants but does not follow up with them if their complaints result in changes in procedures and policy. The Committee is concerned that a practice that does not provide feedback to complainants may not be sufficiently fair, respectful and transparent.

Recommendations:

- a. The Committee should hold its proposal for the appointment by the Faculty Senate of a Faculty Advocate in abeyance pending further discussions with the Office of the Ombudsman.
- b. The Committee should review the information that is disclosed to potential users of the services of the Office of the Ombudsman to assure that it clearly and fully explains the role of the Office of the Ombudsman.

Review Climate Survey Process

Early in the year, the Committee met with Vice Provost Allen about the distribution of the results of the 2011 Faculty Climate Survey. We noted that we that did not receive the results for underrepresented minorities until we asked for them and then only received hard copies hand delivered to us. We were told that a new survey would be undertaken before the end of the calendar year and that the results would be distributed more promptly and with greater thoroughness.

At a subsequent meeting with the chairs of several Senate committees, Vice Provost Allen and Stacey Lopez, associate vice president for institutional research and analysis, discussed the data needed by the committees from both the 2011 and 2015 surveys. The data is expected to be disseminated during summer 2016.

Recommendations:

- a. The Committee should evaluate the findings of the 2015 Faculty Climate Survey, particularly as they relate to women, minorities, underrepresented minorities and LGBTQA faculty, and identify areas of concern.
- b. The Administration should develop a comprehensive list of recommendations for changes in policies that address concerns identified by the Survey data and consider the need and viability of following up the survey with one-on-one, in-depth interviews and focus groups.

Review the five-year Action Plan for Faculty Diversity and Excellence 2011-2016

This is the final-year of the five year plan. The results will be finalized in November 2016 and a report issued in February 2017. Vice Provost Allen shared some of the preliminary data compiled as of November 2015. The Committee was interested in details regarding sources of financial support (particularly new sources of funding) and the relationship between expenditures and specific activities and gains in diversity.

The Committee investigated interim reporting of diversity data by conducting an informal survey at the school level. We sought to identify the extent to which schools provided information about their diversity efforts on their websites and/or otherwise shared information about progress in faculty hiring and other diversity initiatives with faculty and students. We found that most schools addressed the issue of diversity online but that the extent of the disclosures varied widely in topics covered and detail.

Recommendations:

- a. The Committee should review and evaluate the Final Report of the five-year Action Plan for Faculty Diversity and Excellence.
- b. The Administration should promote mechanisms that increase transparency and reporting of school-level initiatives, expenditures and gains regarding diversity on an on-going basis.
- c. The Administration should consider sponsoring a University-wide symposium for the entire Penn community to showcase successful and innovative diversity programming at Penn, in order to stimulate a wider range of schools to create similar programs.

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d. The Administration should monitor the development and implementation of the University's plans for increasing diversity at the department and program level.

Review Penn's Efforts to Recruit and Retain Diverse Faculty

SCFDDE met with representatives from the University Council Committee on Diversity and Equity. Included in the session were two students who self-identify as first-generation and/or low-income college students. This year, UC-CDE has focused on the experiences of first-generation and low-income students. SCFDDE saw the joint meeting as an opportunity to consider what the faculty can do to promote diversity, rather than what is being done to increase its diversity. The joint committees engaged in a probing dialogue about class-based bias in the classroom, the impact of lapses in faculty advising for first-generation and low-income students, and the importance of mentoring and role modeling by faculty who were themselves first-generation and low-income students.

Recommendation:

The Committee should maintain communication between the SCFDDE and UC-CDE and collaborate when possible on issues of mutual concern.

Review Impact of Postdoctoral Fellowships on Diversity Hiring

The Committee discussed with Vice Provost Allen 2015 data regarding the status of the diverse postdoc cohorts entering Penn between AY2009 and AY2013. The data show that few of the diverse postdocs who remained at Penn became members of the Standing Faculty. They were statistically more likely to join the Academic Support Staff. The data did not focus specifically on the Postdoctoral Fellowships for Academic Diversity.

Recommendation:

The Administration should determine how postdoctoral fellowships might be structured to most effectively contribute to the diversity of the Standing Faculty.

Recommendations for 2016-2017

1. The Committee should review the information that is disclosed to potential users of the services of the Office of the Ombudsman to assure that it clearly and fully explains the role of the Office of the Ombudsman.
2. The Committee should evaluate the findings of the 2015 Faculty Climate Survey, particularly as they relate to women, minorities, underrepresented minorities and LGBTQA faculty, and identify areas of concern.
3. The Committee should review and evaluate the Final Report of the five year Action Plan for Faculty Diversity and Excellence.
4. The Committee should maintain communication between the SCFDDE and UC-CDE and collaborate when possible on issues of mutual concern.
5. The Committee should examine the relationship between the Faculty Senate and the non-Standing Faculty (including the Emeritus Faculty, Associated Faculty and Academic Support Staff) and how these groups might participate in an inclusive model of shared governance within the University.

SCFDDE Membership 2015-2016

- Regina Austin, Law School, *Chair*
 Rita Barnard, School of Arts & Sciences/English
 Kristen Feemster, PSOM/Pediatrics
 Carmen Guerra, PSOM/General Internal Medicine
 Lisa Lewis, School of Nursing/Family & Community Health
 Mitch Marcus, School of Engineering & Applied Science/Computer & Information Science
Ex officio members:
 Laura Perna, GSE, Faculty Senate Chair-Elect
 Reed Peyeritz, PSOM/Medicine & Genetics, Faculty Senate Chair

Report of the Senate Committee on the Faculty and the Administration (SCOA)

2015-2016 Specific Charges

Our specific charges this year were to:

1. *Review Faculty Handbook conflict of interest (COI) policy in consultation with the Office of the Provost.*

SCOA reviewed the COI policies in the *Faculty Handbook*—there are two, one that generally applies to faculty members, and one that is specific to research conflicts of interest. SCOA met with Vice Provost for Research (VPR) Dawn Bonnell on multiple occasions and recommended changes to the *Handbook* that would cross-reference the COI policies for clarity. SCOA did not recommend any substantive changes to the COI policies, though SCOA did recommend that the Faculty Senate be consulted for faculty membership for the Conflict of Interest Standing Committee (CISC), which is charged with reviewing matters that arise under the *Handbook's* Conflict of Interest Policy Related to Research. As of spring 2016, the VPR offers the Faculty Senate an annual opportunity to recommend members of the Standing Faculty for consideration of membership on the CISC.

SCOA recommends that annual review of the implementation of the *Faculty Handbook* Conflict of Interest Policies be charged to future SCOA teams.

2. *Review the implementation of recent changes to the Patent Policy and the faculty responses thereto.*

SCOA met with VPR Bonnell and Penn Center for Innovation (PCI) Director John Swartley to review the implementation of the Patent Policy, especially in light of the changes recommended by SCOA in 2014-2015. Our review indicated that the policy was working appropriately without major problems to-date and that no additional changes were needed at this time.

SCOA recommends that future annual reviews be charged to SCOA teams, and that PCI provide SCOA with specific data concerning the operation of the patent policy as part of that review.

3. *Review University efforts to assist faculty in obtaining external research funding.*

SCOA met with several administrators on the question of how and whether support for grant application and administration varies across University units. SCOA's preliminary investigation revealed a wide vari-

ance in the quality and level of front-line grant support, though specific data was hard to come by. SCOA met with Marianne Achenbach, executive director of the Perelman School of Medicine Office of Research Support Services, whose grant support services may serve as a model for cross-school standardization. SCOA believes that this issue needs substantial further study and possibly a targeted survey or other data collection effort. An effort to develop and distribute "best practices" or "minimal standards of support" documentation should be undertaken to help guide University administrators in allocating resources for grant support.

SCOA recommends that this charge remain for future consideration during 2016-2017.

4. *Review the scope and effectiveness of the University Research Foundation's funding process.*

SCOA did not examine this issue during 2015-2016. SCOA recommends that this charge remain for future consideration during 2016-2017.

Additional Proposed Charges for 2016-2017

1. Evaluate the University's "mass email" policies and recommend whether the Faculty Senate should have the ability to communicate to the Standing Faculty through "mass email" distributions.

2. Review Penn's standard contracts for Massive Open Online Courses and evaluate faculty satisfaction with these contracts. SCOA should include contracts from individual Penn schools (e.g., Wharton) in its review.

3. Review the way in which development and fundraising offices—both University-wide and in individual schools—work with faculty members to help identify potential funding sources.

SCOA Membership 2015-2016

- R. Polk Wagner, Law School, *Chair*
 Ken Drobatz, School of Veterinary Medicine
 Irina Marinov, School of Arts & Sciences/Earth & Environmental Science
 Pamela Sankar, PSOM/Biomedical Ethics
 Talid Sinno, School of Engineering & Applied Science/CBE & MEAM
 Santosh Venkatesh, School of Engineering & Applied Science/ESE
Ex officio members:
 Laura Perna, GSE, Faculty Senate Chair-Elect
 Reed Peyeritz, PSOM/Medicine & Genetics, Faculty Senate Chair