

NEW STRATEGIES TO STRENGTHEN PENN STATE'S FACULTY DIVERSIFICATION EFFORTS

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BACKGROUND

One of the challenges set forth in Penn State's "Framework to Foster Diversity" (hereafter referred to as "Framework") is **Recruiting and Retaining a Diverse Workforce**. Limited numbers of candidates and aggressive recruitment of high caliber faculty by other institutions are two of the constraints identified as critical barriers to enhanced recruitment and retention of faculty of color. For the foreseeable future these and other pressures are likely to intensify rather than abate. As a consequence, it is imperative that Penn State develop and implement new strategies to accelerate the pace of faculty diversification.

The rationale for a more focused examination of faculty diversification efforts has been cogently stated by Green (1989, p. 81), "faculty are at the core of the institution ... A diverse faculty is essential to a pluralistic campus...faculty create the curriculum [as well as create and legitimize knowledge] and determine the quality of experience in every classroom [and in every department]." Thus, Penn State's overall diversity enhancement objectives are unlikely to be realized without significant success in diversifying its faculty.

The President's Opportunity Fund and the Women's Recruitment Fund, which assist units in making competitive offers to prospective faculty members, have been the major initiatives designed to increase diversity in faculty hires during the last decade. On the retention side, the senior faculty mentor (SFM) position was originally designed to provide a variety of support services to increase the likelihood that untenured junior minority faculty successfully navigate the tenure and promotion process. Until recently these two initiatives were housed in different administrative units and operated independently. However, both are now located in the Office of the Provost under the oversight of the Vice Provost for Faculty Affairs.

The "Framework" advocates continuation and expansion of the existing hiring and retention strategies, completion of a systematic exit interview protocol to assist in identifying any problem areas contributing to excessive faculty attrition, and other minor modifications to existing practices. While the recommendations set forth in the "Framework" are constructive, a more far-reaching approach is needed to meet the growing challenges. The loss of several minority faculty at the end of the 1999-2000

academic year is evidence of the seriousness of the challenges facing Penn State's faculty diversification efforts. Although some new minority faculty were hired, including a new Head of the Department of African and African American Studies, the losses occurred in critical areas and come on top of other significant losses in recent years.

The level of university commitment to implementation of the faculty diversification recommendations in the "Framework" was questioned recently in a document prepared by the Forum on Black Affairs (FOBA). One of the major impetuses for preparation of the report titled, "Black Paper II: African-American Faculty at The Pennsylvania State University" was the reorganization of the SFM position and a subsequent decline in activity. While acknowledging the progress made in increasing the number of faculty of color, the FOBA report calls for "a systematic approach to recruitment and retention of African-American faculty that signals a strong commitment—from the higher university officials down through the ranks which provides support, and builds trust."

This report presents the outlines of a systematic plan to increase the effectiveness of Penn State's faculty diversification activities. It addresses the issues raised by FOBA and identifies new initiatives that can increase the visibility of Penn State's minority faculty and hence enhance the attractiveness of the institution to potential hires. The case for a more comprehensive approach is established by benchmarking Penn State's record against comparable institutions and the entire population of colleges and universities. The principal programs supporting minority faculty diversification efforts, i.e., the President's Opportunity Fund and the Senior Faculty Mentor position, are then examined in more detail. Recent trends in hiring and attrition are scrutinized to identify specific problems that should be addressed through development of new initiatives or modification of existing programs. The outline of a comprehensive program to overcome these barriers is presented including a set of implementation recommendations.

TRENDS IN FACULTY COMPOSITION

Excluding the Hershey College of Medicine, The Dickinson School of Law, and Penn College, the number of tenured and tenure track minority faculty at Penn State increased from 218 in 1988 (17.7 percent of total tenured and tenured track faculty) to 265 (17.7 percent) in 1993 to 326 (20.2 percent) in 1998 (see Table 1). Minority representation among tenured faculty was 93 in 1988 (5.9 percent), 128 in 1993 (8.0 percent) and 196 in 1998 (11.0 percent). Comparable figures for total faculty for the same years are 320 (9.5 percent); 396 (10.9 percent); and 471 (12.0 percent).

Representation data for African Americans, Hispanic Americans, American Indians, and Asian Americans are presented, respectively, in Tables 1-A through 1-D. There are important differences in the distribution of faculty by rank and appointment type across groups that should be reflected in the design of retention and support programs. Between 1993 and 1998 significant gains in the number of African American faculty occurred principally among untenured assistant professors who, presumably, would constitute the principal constituency for support programs offered by the SFM.

Gains in the number of tenured faculty have been small, limiting the number of senior African American faculty who are potential role models and/or mentors for junior faculty. A significantly different pattern exists for Hispanics. Within this group there were significant gains in the number of tenured faculty between 1993 and 1998, with an actual decline in the number of untenured assistant professors. Notably, the increase in the number of Hispanic faculty in non tenure track appointments is as large as the increase in tenured faculty members. Faculty with non tenure track appointments are likely to need different types of assistance than their tenure track counterparts, but such faculty have not been formally eligible to receive support from the SFM. The number of American Indians remains very small and despite small gains, current representation is below that reached a decade ago. Asian Americans account for the sizable gains in the number of tenured minority faculty. The number of tenured Asian American faculty members increased from 85 in 1993 to 134 in 1998. In 1998 Asian American faculty accounted for slightly over 68 percent of all tenured minority faculty.

Penn State's record in diversifying its faculty should not be assessed in isolation from the experiences of other institutions of higher education. National trends in representation rates for minority groups are shown below in Table 2.

TABLE 1

Total Minority Faculty Tenure Status
 Summary Data Fall 1988, 1993 and 1998
 All University Less Hershey and Dickinson

	1988		1993		1998	
	No.	% of Total Faculty	No.	% of Total Faculty	No.	% of Total Faculty
Tenured						
Professor	41	6.4	58	7.9	89	11.2
Assoc. Professor	39	6.2	57	8.8	88	10.8
Ass't Professor	<u>13</u>	4.4	<u>13</u>	6.1	<u>19</u>	11.0
Total Tenured	93	5.9	128	8.0	196	11.0
Non-Tenured/Tenure Track						
Professor	1	16.7	1	7.7	2	50.0
Assoc. Professor	12	12.0	25	17.7	11	18.3
Ass't Professor	<u>112</u>	18.7	<u>111</u>	17.9	<u>117</u>	20.1
Total Non-Tenured/Tenure Track	125	17.7	137	17.7	130	20.2
Other Non-Tenured						
Professor	4	18.2	8	27.6	6	13.0
Assoc. Professor	4	7.7	11	17.7	19	20.4
Ass't Professor	46	21.4	64	21.5	56	16.4
Instructor	44	6.1	40	5.9	45	6.1
Lecturer	4	5.1	5	3.3	15	7.1
Other Faculty	<u>0</u>	0.0	<u>3</u>	8.1	<u>4</u>	7.1
Total Other Non-Tenured	102	9.3	131	10.5	145	9.8
Grand Total	320	9.5	396	10.9	471	12.0

TABLE 1-A
African American Faculty Tenure Status
Summary Data Fall 1988, 1993 and 1998
All University Less Hershey and Dickinson

	1988		1993		1998	
	No.	% of Total Faculty	No.	% of Total Faculty	No.	% of Total Faculty
Tenured						
Professor	3	0.5	9	1.2	10	1.3
Assoc. Professor	8	1.3	13	2.0	16	2.0
Ass't Professor	<u>5</u>	1.7	<u>4</u>	1.9	<u>5</u>	2.9
Total Tenured	16	1.0	26	1.6	31	1.7
Non-Tenured/Tenure Track						
Professor	0	0.0	0	0.0	0	0.0
Assoc. Professor	2	2.0	3	2.1	4	6.7
Ass't Professor	<u>19</u>	3.2	<u>18</u>	2.9	<u>33</u>	5.7
Total Non-Tenured/Tenure Track	21	3.0	21	2.7	37	5.7
Other Non-Tenured						
Professor	0	0.0	1	3.4	1	2.2
Assoc. Professor	1	1.9	2	3.2	1	1.1
Ass't Professor	8	3.7	7	2.3	8	2.3
Instructor	13	1.8	15	2.2	16	2.2
Lecturer	1	1.3	2	1.3	3	1.4
Other Faculty	<u>0</u>	0.0	<u>0</u>	0.0	<u>2</u>	3.6
Total Other Non-Tenured	23	2.1	27	2.2	31	2.1
Grand Total	60	1.8	74	2.0	99	2.5

TABLE 1-B
Hispanic Faculty Tenure Status
Summary Data Fall 1988, 1993 and 1998
All University Less Hershey and Dickinson

	1988		1993		1998	
	No.	% of Total Faculty	No.	% of Total Faculty	No.	% of Total Faculty
Tenured						
Professor	5	0.8	4	0.5	10	1.3
Assoc. Professor	3	0.5	12	1.8	18	2.2
Ass't Professor	<u>0</u>	0.0	<u>1</u>	0.5	<u>1</u>	0.6
Total Tenured	8	0.5	17	1.1	29	1.6
Non-Tenured/Tenure Track						
Professor	0	0.0	0	0.0	1	25.0
Assoc. Professor	3	3.0	6	4.3	1	1.7
Ass't Professor	<u>16</u>	2.7	<u>19</u>	3.1	<u>16</u>	2.8
Total Non-Tenured/Tenure Track	19	2.7	25	3.2	18	2.8
Other Non-Tenured						
Professor	1	4.5	0	0.0	0	0.0
Assoc. Professor	1	1.9	2	3.2	3	3.2
Ass't Professor	2	0.9	3	1.0	4	1.2
Instructor	5	0.7	3	0.4	7	0.9
Lecturer	0	0.0	1	0.7	5	2.4
Other Faculty	<u>0</u>	0.0	<u>0</u>	0.0	<u>2</u>	3.6
Total Other Non-Tenured	9	0.8	9	0.7	21	1.4
Grand Total	36	1.1	51	1.4	68	1.7

TABLE 1-C
 American Indian Faculty Tenure Status
 Summary Data Fall 1988, 1993 and 1998
 All University Less Hershey and Dickinson

	1988		1993		1998	
	No.	% of Total Faculty	No.	% of Total Faculty	No.	% of Total Faculty
Tenured						
Professor	3	0.5	0	0.0	0	0.0
Assoc. Professor	3	0.5	0	0.0	0	0.0
Ass't Professor	<u>0</u>	0.0	<u>0</u>	0.0	<u>2</u>	1.2
Total Tenured	6	0.4	0	0.0	2	0.1
Non-Tenured/Tenure Track						
Professor	0	0.0	0	0.0	1	25.0
Assoc. Professor	1	1.0	1	0.7	0	0.0
Ass't Professor	<u>0</u>	0.0	<u>1</u>	0.2	<u>0</u>	0.0
Total Non-Tenured/Tenure Track	1	0.1	2	0.3	1	0.2
Other Non-Tenured						
Professor	1	4.5	0	0.0	0	0.0
Assoc. Professor	0	0.0	0	0.0	0	0.0
Ass't Professor	1	0.5	0	0.0	1	0.3
Instructor	1	0.1	0	0.0	1	0.1
Lecturer	0	0.0	0	0.0	0	0.0
Other Faculty	<u>0</u>	0.0	<u>0</u>	0.0	<u>0</u>	0.0
Total Other Non-Tenured	3	0.3	0	0.0	2	0.1
Grand Total	10	0.3	2	0.1	5	0.1

TABLE 1-D
Asian Faculty Tenure Status
Summary Data Fall 1988, 1993 and 1998
All University Less Hershey and Dickinson

	1988		1993		1998	
	No.	% of Total Faculty	No.	% of Total Faculty	No.	% of Total Faculty
Tenured						
Professor	30	4.7	45	6.1	69	8.6
Assoc. Professor	25	4.0	32	4.9	54	6.6
Ass't Professor	<u>8</u>	2.7	<u>8</u>	3.7	<u>11</u>	6.4
Total Tenured	63	4.0	85	5.3	134	7.5
Non-Tenured/Tenure Track						
Professor	1	16.7	1	7.7	0	0.0
Assoc. Professor	6	6.0	15	10.6	6	10.0
Ass't Professor	<u>77</u>	12.9	<u>73</u>	11.8	<u>68</u>	11.7
Total Non-Tenured/Tenure Track	84	11.9	89	11.5	74	11.5
Other Non-Tenured						
Professor	2	9.1	7	24.1	5	10.9
Assoc. Professor	2	3.8	7	11.3	15	16.1
Ass't Professor	35	16.3	54	18.1	43	12.6
Instructor	25	3.4	22	3.3	21	2.8
Lecturer	3	3.8	2	1.3	7	3.3
OtherFaculty	<u>0</u>	0.0	<u>3</u>	8.1	<u>0</u>	0.0
Total Other Non-Tenured	67	6.1	95	7.6	91	6.1
Grand Total	214	6.4	269	7.4	299	7.6

TABLE 2

**Representation of Minority Faculty in
U.S. Colleges and Universities
1985, 1991, 1995**

Race/Ethnic Group	% Representation 1985	% Representation 1991	% Representation 1995
African American	4.1	4.7	4.9
Hispanic/Latino	1.7	2.2	2.3
American Indian	.3	.3	.4
Asian American	4.0	5.1	5.0

Source: National Center for Education Statistics, *Digest of Education Statistics* (various years).

Even given the differences in the years for which the Penn State and national data are reported, it appears that Penn State has below average representation for all groups except Asian Americans.

While the national figures provide a helpful point of reference, it is more useful to undertake comparisons with institutions comparable to Penn State. Two comparison groups are used: (1) The most prestigious institutions, as defined by U.S. News and World Report and (2) Selected Big Ten (CIC) institutions. Representation data for African American among full-time faculty at the twenty-seven highest-ranked universities for 1999 were compiled by *The Journal of Blacks in Higher Education*. The overall representation rate was 3.4 percent in 1999 compared to 3.1 percent in 1996. Six institutions had an African American faculty representation rate greater than 4.0: Columbia (7.2), Emory (7.1), University of Michigan (4.8), Georgetown (4.5), the University of North Carolina at Chapel Hill (4.1), and Dartmouth (4.1). Penn State's 2.4% (including Hershey and Dickinson) places it in 19th place, at the same level or above the University of Chicago (2.4), Harvard (2.2), the University of Notre Dame (2.2), Vanderbilt (2.2), Princeton (2.0), Rice (2.0), Carnegie Mellon (1.7), and the California Institute of Technology (.6). Focusing solely on tenured faculty, the average representation rate for African American faculty at all institutions was 2.5 percent. Penn State's rate of 1.7 percent placed it in 18th place at the same level or above Columbia (1.7), Northwestern (1.7), MIT (1.6), University of Chicago (1.4), Rice University (1.2), University of Notre Dame (.8), Carnegie Mellon (.8), Johns Hopkins (.8), and California Institute of Technology (.4). Those institutions with representation rates above three percent were: Georgetown (4.8), Emory (3.9), Dartmouth (3.5), University of North Carolina at Chapel Hill (3.4), University of Michigan (3.4), and Brown University (3.3).

More detailed data for selected CIC institutions are available for fall 1999 that allow comparisons for all racial/ethnic minority groups. Table 3 contains representation

data for tenured faculty, tenure track faculty, and all faculty. For all faculty, the average representation rates for African Americans, Hispanics, American Indians and Asian Americans were, respectively, 2.7, 2.1, .2, and 6.6 percent. Penn State's African American and Asian American representation is at the CIC average, while the representation of Hispanics and American Indians is slightly below. Overall, the representation levels for all groups are below national averages.

The data in Table 3 are used to develop rankings for each racial/ethnic-status category in Table 4. Using African American faculty representation to illustrate interpretation of the rankings, Michigan State has the highest percentage of African American faculty among tenured faculty while the University of Michigan has the highest percentage of total African American faculty among total university faculty. Penn State ranks in the upper half in most cases, with the lowest rankings occurring for Hispanic representation.

The benchmarking comparisons indicate that Penn State's minority faculty representation does not compare favorably with higher education institutions overall or the most prestigious national research institutions. Penn State fares better in comparisons with its CIC counterparts, although it is not competitive with the highest-ranking institutions for any race/ethnic-status category. The University of Michigan has the most consistent pattern of high rankings.

PENN STATE'S MINORITY FACULTY RECRUITMENT AND RETENTION INITIATIVES

As noted previously, the President's Opportunity Fund and the Women's Recruitment Fund have been the principal initiatives supporting efforts to diversify faculty hires. Although the top priority for support is new tenure-track faculty appointments, support is also provided for administrative and professional staff appointments. In the case of tenure track faculty appointments, requesting units are expected to provide at least one-half of the salary necessary to enable the appointment (See Appendices A and B). Data limitations do not allow determination of the faculty or staff status of recipients, race/ethnicity, nor current employment status. Despite these limitations the data in Table 5

TABLE 3
REPRESENTATION OF MINORITY FACULTY
SELECTED CIC INSTITUTIONS
Fall 1999

INSTITUTION	BLACK AMERICAN			HISPANIC TOTAL			AMERICAN INDIAN			ASIAN		
	TEN	TT	TOT	TEN	TT	TOT	TEN	TT	TOT	TEN	TT	TOT
	# %	# %	# %	# %	# %	# %	# %	# %	# %	# %	# %	# %
University of Illinois	32 (2.3)	15 (3.5)	57 (2.5)	33 (2.3)	23 (5.4)	63 (2.7)	1 (.1)	4 (.9)	9 (.4)	111 (7.9)	55 (12.9)	186 (8.0)
Indiana University	18 (2.2)	18 (7.3)	43 (3.2)	7 (.9)	10 (4.0)	24 (1.8)	0 ()	0 ()	0 ()	19 (2.3)	11 (4.5)	34 (2.6)
University of Iowa	13 (1.2)	12 (3.5)	35 (1.8)	23 (2.1)	11 (3.2)	40 (2.1)	0 ()	1 (.3)	1 (.1)	84 (7.8)	20 (5.8)	138 (7.2)
University of Michigan	59 (3.7)	51 (8.1)	150 (4.8)	35 (2.2)	29 (4.6)	90 (2.9)	3 (.2)	4 (.6)	10 (.3)	107 (6.8)	71 (11.3)	250 (8.0)
Michigan State	66 (4.6)	15 (4.5)	169 (4.8)	20 (1.4)	13 (3.9)	67 (1.9)	3 (.2)	6 (1.8)	21 (.6)	91 (6.3)	35 (10.4)	203 (5.8)
University of Minnesota	21 (1.2)	12 (3.1)	37 (1.5)	28 (1.6)	11 (2.8)	46 (1.8)	6 (.3)	0 ()	9 (.4)	109 (6.2)	43 (11.1)	179 (7.0)
Northwestern	14 (1.8)	7 (2.9)	34 (2.1)	13 (1.6)	5 (2.1)	38 (2.3)	1 (.1)	0 ()	2 (.1)	61 (7.7)	23 (9.5)	141 (8.6)
Ohio State	61 (3.0)	30 (5.3)	106 (3.2)	26 (1.3)	13 (2.3)	52 (1.6)	1 (<.1)	2 (.4)	5 (.2)	140 (6.9)	50 (8.9)	215 (6.6)
Penn State	28 (2.3)	25 (5.7)	74 (2.7)	22 (1.8)	11 (2.5)	49 (1.8)	1 (.1)	2 (.5)	3 (.1)	93 (7.6)	40 (9.1)	180 (6.6)
Purdue	14 (1.1)	10 (2.8)	26 (1.3)	13 (1.1)	14 (3.9)	35 (1.8)	3 (.2)	1 (.3)	4 (.2)	107 (8.7)	29 (8.2)	149 (7.7)
University of Wisconsin	27 (1.7)	15 (4.7)	54 (1.9)	48 (3.1)	13 (4.1)	67 (2.4)	4 (.3)	2 (.6)	8 (.3)	73 (4.7)	26 (8.1)	130 (4.6)

TEN = Tenured
TT = Tenure Track, not tenured

Source: Data collected by the Office of Budget and Resource Analysis

TABLE 4

**RANKING OF SELECTED CIC INSTITUTIONS
BY REPRESENTATION OF MINORITY FACULTY**

Fall 1999

INSTITUTION	BLACK AMERICAN			HISPANIC TOTAL			AMERICAN INDIAN			ASIAN		
	TEN	TT	TOT	TEN	TT	TOT	TEN	TT	TOT	TEN	TT	TOT
University of Illinois	4	7	4	2	1	2	3	2	2	2	1	2
Indiana University	5	2	2	10	4	7	5	7	6	11	11	9
University of Iowa	8	7	7	4	6	5	5	6	5	3	10	4
University of Michigan	2	1	1	3	2	1	2	3	3	7	2	2
Michigan State	1	6	1	7	5	6	2	1	1	8	4	7
University of Minnesota	8	8	8	6	7	7	1	7	2	9	3	5
Northwestern	6	9	5	6	10	4	3	7	5	4	5	1
Ohio State	3	4	2	8	9	8	4	5	4	6	7	6
Penn State	4	3	3	5	8	7	3	4	5	5	5	6
Purdue	9	10	9	9	5	7	2	6	4	1	8	3
University of Wisconsin	7	5	6	1	3	3	1	3	3	10	9	8

TEN = Tenured

TT = Tenure Track, not tenured

Source: Data collected by the Office of Budget and Resource Analysis

provide some indication of the extent to which these funds have played a crucial role in appointments over the last decade. The shift of faculty salary support toward special funding sources has also been observed at the University of Michigan, where a much more generously-funded program exists. This program accounts, in part, for the University of Michigan's high ranking in terms of African American faculty representation (see Table 4).

TABLE 5
NUMBER OF FACULTY AND STAFF APPOINTMENTS
SUPPORTED THROUGH THE PRESIDENT'S OPPORTUNITY FUND AND
THE WOMEN'S RECRUITMENT FUND
1991-92 THROUGH 1999-2000

COLLEGE	POF SUPPORTED	WRF SUPPORTED
Agricultural Sciences	3	3
Arts and Achitecture	5	13
The Smeal College of Business Administration	1	0
Communications	6	2
Earth and Mineral Sciences	1	5
Education	7	3
Engineering	5	4
Health and Human Development	11	2
Liberal Arts	18	10
Eberly College of Science	9	11
TOTAL	66	53

One of the important features to notice in Table 5 is the high proportion of appointments made in the College of the Liberal Arts (23.5 percent of all appointments). The usage pattern has been very uneven across colleges. It is not possible to determine the overall efficacy of the fund, i.e., how many minority faculty would be at Penn State without this program. It is clear, however, that such a program is necessary for Penn State to remain competitive because other colleges and universities have similar hiring initiatives. Similar to the University of Michigan, the University of Wisconsin operates a Strategic Hiring Initiative through the Office of the Provost that targets racial/ethnic minorities, spousal hires, and other target populations. In contrast to the guidelines for Penn State's President's Opportunity Fund, central support is limited to a maximum of three years. The participating units are required to assume full responsibility for the faculty line following the termination of central funding. The most popular arrangements are one-half salary for two years or one-third salary for three years. A total of twelve new diversity hires were reported for 1996-97 (<http://www.wisc.edu/provost/hiring/minority.html>).

Some institutions combine diversity hiring initiatives with support activities in a manner similar to the reorganized structure at Penn State. The Office of the Assistant Provost for Cultural and Social Diversity at Southern Illinois University at Edwardsville operates a Minority Recruitment and Retention Program with parallels to both the President's Opportunity Fund and the SFM. The program offers financial incentives to attract minority faculty, and the administrator participates in the interview process. The program also provides travel funds to support conference attendance and offers seminars examining topics including tenure and promotion, student evaluations, research and service responsibilities, and mentoring. The office developed a proposal to fund minority faculty mentoring initiatives through the U.S. Office of Education (<http://www.siu.edu/DIVERSITY/MFSRR.htm>).

While there are certainly benefits to housing faculty recruitment and retention initiatives within the Office of the Provost, at Penn State the former location in the Graduate School also offered important benefits. Figure 1 provides a schematic representation of the original organization of the Center for Minority Graduate Opportunities and Faculty Development (left side) and the configuration following re-assignment of the SFM position to the Office of the Provost (right side). Under the original design significant opportunities existed for cross-fertilization between minority faculty development and graduate student development programs. As an example, minority faculty were regularly asked to make presentations to the advanced graduate students attending the ABD (All But Dissertation) workshop to assist participants in job search efforts and adjustment to their faculty role. Some graduate students also participated in workshops offered for minority faculty by the SFM.

Graduate student development programs designed to increase the number of students of color considering careers in the professorate have become one of the most prevalent initiatives implemented by institutions. As an example, one of the goals included in the CIC Senior Diversity Officers Action Plan (November 1996) is to "increase the number of underrepresented minority students who earn bachelor's, master's, and doctoral degrees in all fields and to increase the number who pursue faculty careers." A combination of strengthening existing cooperative programs and new programs are proposed to achieve this objective. The popularity of such programs is, of course, based on the ongoing concern with the limited supply of potential faculty candidates. Many colleges and universities also participate in various federal programs with similar objectives. Most of these programs focus on the relatively early stages of the educational pipeline. The original design of Penn State's office was virtually unique in addressing the latter stages of the faculty development process. This distinctive contribution has been lost through the reorganization.

The Advisory Board structure was also an extremely critical component of the original model. Comprised primarily of senior faculty of color, the Board supported both the graduate student recruitment/development and minority faculty development functions. The Advisory Board provided feedback about workshops from the perspective of presenters, advised the SFM about strategies to employ in consultations with faculty and department heads, and offered other insights as part of a continuous quality

improvement process. The presence of an SFM position, per se, and the Advisory Board also became important selling points in recruiting potential minority faculty. The Advisory Board has been inactive since the reorganization of the SFM function.

The SFM's coordination of workshop delivery was very successful under the previous organizational rubric. A package of five offerings was developed addressing the following topics: Promotion and Tenure; Publishing; Solicitation of External Funding; Vita Development; and Pursuing Promotion from Associate to Full Professor. Table 6 below contains workshop enrollment data for three recent academic years.

TABLE 6

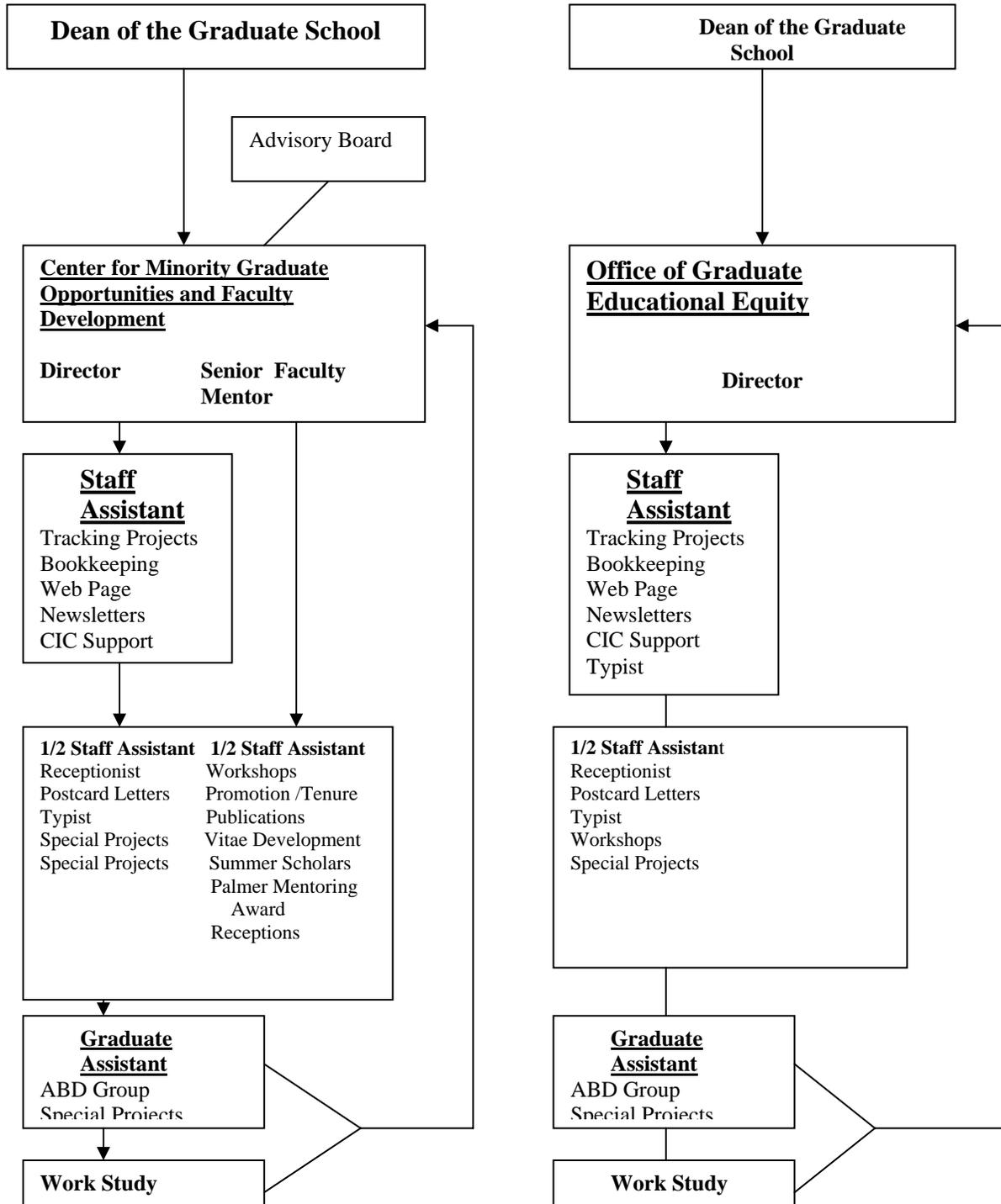
Participation in Workshops Offered by the SFM - Various Years

GROUP	1995-96			1996-97			1997-98		
	M	F	Tot	M	F	Tot	M	F	Tot
African American	7	20	27	14	13	27	15	9	24
Hispanic	2	5	7	3	9	12	3	6	9
American Indian	0	0	0	0	0	0	0	0	0
White	7	21	28	17	11	28	3	6	9
Other	2	2	4	2	0	4	1	1	2
TOTAL	18	48	66	36	33	69	22	22	44
# of Workshops			6			7			5

The most significant feature to note in Table 6 is the large number of nonminority faculty who participated in the workshops. While this phenomenon could be viewed as a successful example of the mainstreaming of a function originally targeted to specific populations, it had the opposite effect of engendering hostility by administrators in some colleges who saw participation by nonminority faculty as a possible signal of the inadequacy of college-based professional development support. In addition, concerns emerged about overlapping coverage with workshops provided through the Office of the Provost, and conflicting guidance regarding strategies to increase the likelihood of success in obtaining tenure and promotion. Some colleges developed their own professional development and mentoring programs. This delivery approach may not adequately address unique concerns of faculty of color and faculty members assigned to assist faculty of color many not have the competency to address these issues adequately.

Some of the activities previously provided by the SFM have continued under the new configuration, although at reduced levels. One tenure and promotion workshop, attended by five persons, was held during the fall semester 1999. Most of the recent activity of the SFM appears to have been focused on the Scholar in Residence Summer Program. Additional information was not available at the time this report was prepared.

FIGURE 1
ORIGINAL AND REVISED CONFIGURATION
CENTER FOR MINORITY GRADUATE OPPORTUNITIES
AND FACULTY DEVELOPMENT



RECENT TRENDS IN MINORITY FACULTY RECRUITMENT AND ATTRITION

The FOBA report pinpointed as critical problems the concentration of minority faculty in a very limited number of departments and the high rate of minority faculty turnover. According to the report, “In September 1998 . . . approximately 28 departments, research, and instructional units still had no Black Faculty. . . .” The report also notes that in 35 departments there was one sole black faculty member. Data for September 1999 reveal little change. All colleges had at least two full-time African American faculty members, either tenured or on tenure track, as indicated in Table 7 below.

The rate of new hires compared to departures varies from year to year. In 1996 there were twenty-six new minority faculty hired while twenty-three departed. The ratio of gains to losses was approximately the same for all racial/ethnic minority groups. Seventeen new hires were assistant professors and three were full professors. In contrast, thirteen of the departing faculty were assistant professors and six were full professors. These data suggest that retention problems vary by rank, necessitating different strategies. Between fall 1998 and fall 1999 the number of African American faculty hired exceeded the number departing by nine, while the number of Hispanic faculty leaving was identical to the number of new hires. There was a net loss of American Indian faculty members. A breakdown by rank was not available at the time this report was prepared.

TABLE 7

NUMBER OF TENURED AND TENURE TRACK AFRICAN AMERICAN FACULTY BY COLLEGE SEPTEMBER 1999

COLLEGE	TENURED	TENURE TRACK	TOTAL
Agricultural Sciences	2	2	4
Arts and Achitecture	1	2	3
The Smeal College of Business Administration	0	2	2
Communications	2	0	2
Earth and Mineral Sciences	3	1	4
Education	3	5	8
Engineering	2	0	2
Health and Human Development	2	5	7
Liberal Arts	11	7	18
Eberly College of Science	1	3	4
TOTAL	26	29	55

Source: Data provided by the Office of Budget and Resource Analysis.

Many faculty and administrators continue to believe the principal reason that faculty of color leave Penn State is receipt of better salary offers and/or recruitment by more prestigious institutions. The plausibility of this explanation is limited to the most highly visible and productive senior and junior faculty, and even in these cases it is more excuse than explanation. Given that Penn State's reputation has increased significantly in recent years the issue of institutional reputation should be less germane. Penn State now ranks 13th among public universities according to the information presented in "America's Best Colleges 2000" (*U.S. News & World Report*).

Overall institutional ranking is only one of many factors that minority faculty consider when deciding to accept and appointment or remain at an institution. The various studies included in *Faculty of Color in Academe, Bittersweet Success* (Turner & Myers, 2000) indicate that one of the biggest barriers to the successful recruitment, retention, and development of faculty of color is "racial and ethnic bias resulting in unwelcoming and unsupportive work environments" (Turner and Myers, 2000; p. 3). Turner and Myers (2000, p. 22) argue that "once hired, faculty of color continue to experience exclusion, isolation, alienation, and racism resulting in uncomfortable work environments." Astin et al. (1997) find that compared to white counterparts, faculty of color are less satisfied with all aspects of their jobs. Job characteristics for which faculty of color were less satisfied included autonomy/independence, professional relations with faculty, overall job satisfaction, and opportunity to develop new ideas (Astin et al., 1997). Similar conclusions have been reached in studies examining specific disciplines. Dovidio and Flores Niemann (1998) maintain that faculty of color in psychology departments experience lower levels of job satisfaction than their white counterparts at all ranks, especially when they are the only minority faculty member in a department. Reasons for this dissatisfaction include pressure to serve on too many committees, disproportionate formal and informal responsibility to advise and counsel students of color, and feelings that research on race or diversity oriented topics is not valued by departmental colleagues and university administrators as highly as the more traditional research. Dovidio and Flores Niemann cogently note that the pressures associated with tokenism and overwork facing faculty of color are typically invisible to majority group members. This was one of the strengths of the SFM position under the previous organizational structure, i.e., to provide a backstop to give junior faculty of color advice about how to manage these pressures.

A variety of recommendations have been developed to enhance the retention of faculty of color. Turner and Myers (2000) insist that the literature clearly points to the importance of institutional leadership. They argue that "understanding the impact of leadership on the success of faculty of color is crucial to creating academic communities that truly welcome cultural diversity (Turner and Myers, 2000; p. 146). Specific initiatives advocated as having the potential to enhance the retention of faculty of color include mentoring, networking, and research support (Turner and Myers, 2000; p. 236). An article in the AALS Newsletter (August 1996) observes that "perhaps the most important way to retain minority professors is to create a genuinely diverse faculty. Without a critical mass of minority colleagues, minority faculty often feel isolated and

alienated, and are more likely to leave.” The article predicts that in circumstances where diversification efforts stop after one minority faculty member is hired are likely to produce repetition of “a cycle of hiring a person, then losing that person, hiring a person, then losing that person.”

At Penn State the only three departments with critical masses of underrepresented faculty of color are in the College of the Liberal Arts: African and African American Studies; English; and Spanish, Italian, and Portuguese. The English Department provides the best model of how critical mass can translate into national visibility, increased recruitment of graduate students of color, and further success in minority faculty recruitment.

The 1996 AALS Newsletter article notes that “the absence of mentoring opportunities for minority professors is particularly detrimental because they often have the greatest need for guidance and support; many minority faculty members confront special obstacles, ranging from racism among their students to feelings of isolation.” The balancing act associated with the mentor-mentee relationship is discussed, focusing on the need for a mentor to be familiar with a junior faculty member’s areas of teaching and research, to understand relevant policies and politics, and to communicate openly and candidly.

In situations where an appropriate mentor is not available within a department, both the AALS Newsletter article and Dovidio and Niemann (1998) emphasize that connections outside the department and even outside the institution can provide valuable support to minority faculty members. Again, this was an important role of the SFM previously, as well as the members of the Advisory Board.

The AALS Newsletter article also emphasizes that while there should not be different standards for faculty of color in the evaluation process, evaluations should not exclude nontraditional forms of scholarship. Specifically, “one of the most important reasons for creating a diverse faculty is to provide a variety of perspectives that will enhance knowledge and understanding. Therefore, a faculty should take care not to undervalue the work of a minority professor simply because it explores nontraditional areas or uses nontraditional methods.” Jonathan Alger, Senior Counsel of the AAUP, observes, “The traditional criteria applied in evaluations for promotion and tenure often appear to be neutral, but in practice they can have a disparate effect on minority scholars. In analyzing research, for example, reliance on narrow definitions of “merit” that emphasize publication in traditional journals may slight new or emerging areas of scholarship or practical applications of theory to real-life problems” (Alger, 1998).

One of the strategies used by many institutions to enhance the visibility of nontraditional research conducted by faculty of color and others examining the experiences of people of color is the creation of a research institute or similar venue that provides focus and visibility for innovative research. Such initiatives have been very successful in recruiting and retaining faculty of color at top quality institutions including Duke, Harvard, UCLA, and the University of Michigan. Increasing interest in

interdisciplinary approaches to scholarly inquiry have increased both the popularity and potential impact of such units. Informal discussions regarding the possible establishment of a similar structure at Penn State have been held over the last few years, however, no meaningful progress has resulted. Penn State is well positioned to move into a leadership position in several areas of scholarship examining the experiences of people of color. A strong foundation has been established over the last several years through the organization of several successful summer seminars. These include “African American Voices: Language, Literature and Criticism in Vernacular Theory and Pedagogy” (1994), “African American Traditions: W.E.B. Du Bois on Race and Culture” (1997), “African American Traditions: The Legacy of the Harlem Renaissance” (1998), and the International Conference on The Blues Tradition: Memory, Criticism, and Pedagogy” (2000). To maximize the potential impact of a center or research institute, an intercollege organizational format would be optimal to encourage collaboration across academic colleges.

The following specific assessments are offered based on the preceding discussion:

- A. The existing financial incentives to encourage hiring underrepresented minority faculty have had limited impact on the faculty composition of most departments.
- B. There are very few departments where clusters of underrepresented minority faculty exist, most underrepresented minority faculty members have no counterparts in their departments.
- C. Changes in the location and function of the position of the SFM have adversely affected the retention possibilities for some minority junior faculty, particularly the large cohort of African American junior faculty.
- D. The effectiveness of current approaches to faculty development have not been assessed formally, particularly the effect on underrepresented minority faculty.
- E. The dissolution of the Advisory Committee eliminated significant competitive advantages in future faculty development, mentoring, retention and recruiting
- F. The absence of a visible research center or similar unit limits the visibility and research productivity of existing faculty and constitutes a recruitment barrier.
- G. Oversight and reporting procedures are currently inadequate to monitor recruitment and retention activities

The recommendations below are designed to provide the outlines of a plan to strengthen Penn State’s faculty diversification efforts, reflecting the preceding assessments. They are informed by the research literature reviewed previously, as well as issues raised by the Forum on Black Affairs and other efforts by faculty of color to advocate for new initiatives.

ACCELERATING FACULTY DIVERSIFICATION: AN ACTION PLAN

The set of recommendations presented below focus on five areas: Faculty Recruitment/Funding; Minority Faculty Development/Mentoring; Minority Faculty Visibility and Research Support; Inter-institutional Collaboration; and Data Collection and Oversight. Taken together they can provide the foundation for a comprehensive plan

that complements and extends the initiatives proposed in Penn State’s “Framework to Foster Diversity”

I. FACULTY RECRUITMENT/FUNDING

The data presented in the discussion of support provided through the President’s Opportunity Fund suggest that efforts to diversify this fund are central to the willingness of most colleges and departments to pursue faculty diversification efforts aggressively. The research cited regarding minority faculty satisfaction suggests that cluster hiring approaches may have longer term success than voluntary, randomized hiring strategies.

It is recommended that a supplemental cluster hiring fund be established independent of the current President’s Opportunity Fund. A small number of departments would be selected as candidates for faculty diversification based on the assessment of the compatibility of research interests of existing departmental faculty and nationally renowned minority faculty in the field. The identification process would also involve assessments of the extent to which diversity exists in similar departments in the CIC. Full funding for two positions would be offered to target departments, which would have to agree to fund another position out of departmental/college resources. Prospective colleges and departments would also need to submit a formal plan describing initiatives to foster retention. As is the case for the President’s Opportunity Fund, units receiving central support would be required to return the funds if the supported faculty member leaves the university. Some of the funding to support such a program could be generated through the elimination of the existing Visiting Summer Faculty Program. Although two hires have resulted from this Program since its inception, it has not been a particularly effective recruitment vehicle. A more effective program would provide supplemental sabbatical support for faculty from other institutions who have been identified as prospective additions to the Penn State faculty.

II. MINORITY FACULTY DEVELOPMENT AND MENTORING

As discussed previously, significant changes were made in the mechanisms through which junior minority faculty receive professional development support and mentoring. Although there was some limited consultation with senior minority faculty regarding the reorganization (they generally opposed it), there was no systematic exploration of the potential impact on junior minority faculty. The research literature clearly indicates that senior faculty can play a critical role in retaining junior minority faculty and that mentoring relationships with scholars outside the department, college, and institution can enhance the likelihood of retaining junior minority faculty. What is not clear is whether the current college and department based approaches are meeting the needs of constituents.

It is recommended that a three-pronged information collection process be formally undertaken through the Office of the Provost as an initial step in developing a systematic approach to the provision of faculty development support and mentoring for junior minority faculty. The three prongs of this information collection process would be: (1) a survey of junior minority faculty (tenure track and fixed-term) to determine (a) their degree of satisfaction with the institution, professional development support, and mentoring relationships, (b) unmet needs, and (c) suggestions for improvement in services; (2) a survey of past participants in the workshops (minority and majority) offered under the auspices of the SFM to ascertain perceptions of the usefulness of continuing such workshops or variants given that college and department-based support is now available; and (3) a survey of all colleges to develop an inventory of faculty development and mentoring programs for junior faculty. The information collected through these surveys can provide a basis for developing a systematic approach to the provision of professional development and mentoring support for all junior faculty, with appropriate flexibility to address the unique needs of faculty of color. Such a design would involve complementary rather than duplicative roles for the activities of the SFM and those provided under other auspices.

It is recommended that the necessary steps be taken to revitalize the Advisory Committee that formally supported both the SFM and the Center for Minority Graduate Opportunities. Revitalization of the Advisory Committee can serve several important functions for Penn State's faculty diversification efforts. First, it can serve to rebuild trust between the former Advisory Committee members and the administration. Several of the former members remain disgruntled about the reorganization of the SFM and the lack of activity subsequent to the reorganization. This disaffection not only reduces willingness to provide the level of voluntary support supplied previously, it also increases the likelihood of additional senior minority faculty departures. Revitalization of the Advisory Committee will facilitate minority faculty recruitment and provide important mentoring support for minority junior faculty.

III. MINORITY FACULTY VISIBILITY AND RESEARCH SUPPORT

As noted previously, Penn State is at a competitive disadvantage in recruiting and retaining faculty of color, in part, because of the absence of a research unit that provides visibility for the research and other scholarly activity conducted by minority faculty (and others examining the experiences of people of color).

It is recommended that a formal committee be impaneled by the Provost to develop a plan to establish such a unit. The particular strengths at Penn State would allow this type of unit to assume several additional roles. One such role could be to serve as a locus for a formal future faculty development program that emphasizes interaction and collaborative research between faculty and graduate students. Such a role would be modeled after the previously existing synergy among the SFM, minority graduate student recruitment and retention activities, and the former Advisory committee. A second

possible role for such a Center would be to support the development of a graduate program/research center under the auspices of the Department of African and African American Studies. This center could accommodate various research interests advanced by faculty of color in several colleges including the College of the Liberal Arts, the College of Arts and Architecture (Theatre), and The Smeal College of Business Administration (Marketing to Minority Groups). A multi-college structure would allow for a unique pattern of interdisciplinary collaboration. A third possible role could be assumption of responsibility for continuing the series of conferences mentioned previously, and the expansion of this project into a format designed to attract larger numbers of participants from around the country and overseas. Such a series would regularly bring high visibility faculty of color to Penn State, facilitating faculty and graduate student recruitment efforts. Other types of specialized or regional conferences could be offered, for example, a conference involving faculty of color from all CIC institutions with the goal of sharing information about survival and development strategies and developing interinstitutional professional collegial relationships. The Center could also serve as the administrative home of the visiting faculty program suggested previously.

Some elements of such a Center could be virtual, i.e., web-based. As an example, under the auspices of either the Office of the Provost or the Office for Educational Equity. A Web site could be created to highlight the activity of faculty of color, the SFM, and an Advisory Committee. Such a Web site could include biographical information about new faculty of color and links, including pictures. Links to the web pages of existing faculty of color could be provided and would be regularly updated features of the website Highlights of accomplishments, summaries of publications, and other information about the professional activities of minority faculty would be core elements of the Web site. Such a Web site could also serve a professional development role by including information about grant opportunities and conference announcements. Electronic interaction/mentoring could be facilitated through a listserv allowing posting of questions and responses that would be of value to all faculty on the listserv.

IV. INTERINSTITUTIONAL COLLABORATION

The representation of faculty of color should receive special attention from administrators at all CIC institutions. The data presented previously suggest that there is substantial room for improvement in all venues. Some institutions have had special success in recruiting faculty belonging to particular racial/ethnic groups. The same is likely to be true at the college and departmental levels as well. At present there is no mechanism to share ideas or to network across institutions and departments in different institutions to pursue collaborative approaches.

It is recommended that Penn State take a leading role in advocating greater attention to the issue of recruitment and retention of faculty of color in CIC institutions. Such leadership could include volunteering to take responsibility for a session at the proposed CIC-wide “best practice and leadership forum” focusing on minority faculty recruitment and retention. This venue is ideal for this purpose because

it is envisioned as bringing together key campus leaders and CIC groups and committees. This intended audience could be expanded to include those administrators at all levels (university, college, department) who have significant influence on faculty recruitment and retention.

V. DATA COLLECTION AND OVERSIGHT

There is no existing database that is comprehensive enough to provide the type of information to monitor faculty diversification efforts effectively. The data included in this report were pieced together from a variety of sources. The absence of a centralized database contributes to the limited attention that issue has received from central administration.

It is recommended that a centralized database be created to facilitate monitoring of Penn State's faculty diversification efforts. The contents of such a database and its design would be determined by the oversight bodies recommended below. At present there is no regular reporting and/or review process associated with Penn State's faculty diversification initiatives. Periodic reports have been generated largely in response to complaints from constituents rather than as part of the ongoing management of faculty affairs. At the minimum such a data base should include detailed faculty flow information by department. It should also include historical data for CIC institutions to allow comparison of trends over time.

It is recommended that a formal committee be established through the Office of the Provost to provide continuing oversight of faculty diversification efforts. Membership of such a committee could include the SFM, members of a revitalized Advisory Committee, a representative of CORED, the FOBA, department heads, deans, representatives of the Graduate School, the University Faculty Senate, and the Vice Provost for Educational Equity. The committee should be charged with overseeing the faculty diversification initiatives contained in the "Framework" and this report.

CONCLUSION

This document proposed some new strategies to strengthen Penn State's faculty diversification efforts. Unless new strategies are developed to facilitate increased hiring and improved retention, the institution's diversity objectives are not likely to be met. Faculty diversification requires constant attention and widespread commitment. As noted by Turner and Myers (2000, p. 237), "Creating a campus environment that increases the participation and success of faculty of color will challenge all, and we must be creative and introspective as we determine our roles in the organizational change process."

It is critical that faculty of color be treated as partners and participants in the organizational change process, rather than as outsiders or as subjects to be acted upon. As Turner and Myers (200, p. 236) observe, "With minority faculty as coequal partners in restructuring the nature of the daily interactions of academic life, there is a better chance that the next generation will face a less chilly climate than the current generation of faculty experience."

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APPENDIX A

GUIDELINES FOR THE PRESIDENT'S OPPORTUNITY FUND

Goals

1. To increase the overall representation of Black/African American, Hispanic American, Native American, and Asian American faculty, administrators, and professional staff at Penn State, with special emphasis on units where substantial underrepresentation exists.
2. To support efforts to enhance search and recruitment procedures associated with the hiring of faculty, administrators, and professional staff in the target groups consistent with staffing plans identified in the strategic planning process.

Strategies

Provide support from the President's Opportunity Fund to:

1. Supplement salary lines for faculty, administrators, and professional staff in cases where available funds are insufficient to (a) attract a candidate who is a member of one of the target groups identified through normal search procedures, or (b) retain an existing faculty or staff member.
2. Help facilitate the recruitment of administrators and professional staff by supporting fixed-term appointments from one to three years on a declining percentage basis in cases where such support can be seen as a bridge to a standing appointment.

Guidelines, Priorities, and Procedures

1. All searches must follow affirmative action procedures and documentation of the process used to identify candidates should be available for review.
2. First priority for the use of the President's Opportunity Fund shall be given to supporting new tenure-track faculty appointments that are incorporated into the staffing projections contained in the unit's strategic plan.

APPENDIX A (cont.)

3. For new standing appointments, the college, campus or unit requesting an allocation from the President's Opportunity Fund will be expected to provide at least one-half of the salary necessary to support the appointment. Priority will be given to requests for support where the major proportion of the salary is provided by the unit.

4. Support will not be considered for new appointments in cases where opportunities to use existing vacant positions to hire candidates have not been fully explored.

5. In the situation where a faculty or staff member whose standing appointment has been partially funded through a permanent allocation from the President's Opportunity Fund leaves the position, deans and budget executives will be expected to return an equivalent portion of the individual's current salary, unless prior written authorization has been granted to retain the funds. The calculation of the amount to be returned should reflect any salary increases that have been received since the individual's initial appointment. In the event that a faculty or staff member whose appointment is being partially funded through a temporary allocation from the President's Opportunity Fund leaves the position, any unexpended funds for the fiscal year should be returned. The amounts that are returned will be used to enhance the pool of funds allocated each year for new appointments under this program.

APPENDIX B

GUIDELINES FOR THE WOMEN'S RECRUITMENT FUND

Goals

1. To increase the overall representation of women administrators and tenure-track faculty at Penn State.
2. To increase the number and percentage of women faculty at the senior ranks (associate and full professor).
3. To enhance recruitment of women faculty in disciplines in which Penn State does not represent the national pool of new Ph.D women.
4. To enhance recruitment of women faculty in disciplines in which women are generally underrepresented.

Strategies

Provide support from the Women's Recruitment Fund to:

1. Supplement faculty salary lines when the additional funds result in the hiring of a woman faculty member who otherwise would not come to Penn State.
2. Assist in providing employment opportunities for dual career couples at Penn State.
3. Support visiting or summer appointments of women faculty as part of the recruitment process.
4. Help establish new positions in departments in which women faculty are underrepresented when such positions can be seen as a bridge to a forthcoming vacancy.
5. Enhance the search and recruitment procedures for women academic administrators, especially department heads.

APPENDIX B (cont.)

Guidelines and Priorities

1. All guidelines should be implemented within the spirit of affirmative action, especially with regard to (a) search procedures, and (b) dual career couples.
2. Priority for use of the fund will be given to the recruitment of women for faculty positions in departments in which women are seriously underrepresented.
3. The recruitment of minority women faculty should be given additional priority.
4. In the situation where a faculty member or administrator whose standing appointment has been partially funded through a permanent allocation from the Women's Recruitment Fund leaves the position, deans and budget executives will be expected to return an equivalent portion of the individual's current salary, unless prior written authorization has been granted to retain the funds. The calculation of the amount to be returned should reflect any salary increases that have been received since the individual's initial appointment. In the event that a faculty member or administrator whose appointment is being partially funded through a temporary allocation from the Women's Recruitment Fund leaves the position, any unexpended funds for the fiscal year should be returned. The amounts that are returned will be used to enhance the pool of funds allocated each year for new appointments under this program.