SENATE

Under the Faculty Senate Rules, formal notification to members may be accomplished by publication in Almanac in lieu of direct mail. The following is published under that rule.

Senate Nominating Committee

1. In accordance with the requirements of the Faculty Senate Bylaws, notice is hereinafter given to the Senate Membership of the Senate Executive Committee’s 9-member slate of nominees for the Nominating Committee for 1988–89. The Nominating Committee nominates candidates for election to the Offices of the Senate (chair elect, and secretary elect), to the at-large and assistant professor positions on the Senate Executive Committee, and to the Senate Committee on the Economic Status of the Faculty, the Senate Committee on Academic Freedom and Responsibility, and the Senate Committee on Conduct. The nine nominees, all of whom have indicated their willingness to serve, are:

   - June Axinn (professor social welfare)
   - Jean A. Cortner (professor pediatrics)
   - William L. Hanaway (professor Oriental studies)
   - Laura L. Hayman (associate professor nursing)
   - Edward K. Morlock (professor transportation)
   - Martin Pring (associate professor physiology/med)
   - Susan Wachter (associate professor finance)
   - Oliver Williams (professor political science)

2. Pursuant to the Bylaws, you are herewith invited to submit additional nominations, which shall be accomplished via petitions containing at least twenty-five valid names and the signed approval of the candidate. All such petitions must be received no later than fourteen days subsequent to the date of this notice. If no additional nominations are received, the slate nominated by the Executive Committee will be declared elected. Should additional nominations be received, a mail ballot will be distributed to the Senate membership.

   The closing date for receipt of nominations by petition is Tuesday, November 22, 1988. Please forward any nominations by petition to the Faculty Senate Office, 15 College Hall/6303.

—David P. Balamuth, Chair

SAS Chairs for Charles Rosenberg, Drew Faust

Two historians identified with distinguished cross-disciplinary programs in the School of Arts and Sciences have been named to endowed chairs.

The Janice and Julian Bers Professorship in the History and Sociology of Science has been awarded to Dr. Charles S. Rosenberg, the former history department chairman whose studies in the history of illness and health care—and often the impacts of illness on history—have produced some 60 books and articles. Dr. Rosenberg’s latest work The Care of Strangers: The Rise of America’s Hospita System, was nominated for the Pulitzer Prize last year. His earlier works include The Cholera Years: The United States in 1832, 1849 and 1866; The Trial of the Assassin Guiteau: Psychiatry and Law in the Gilded Age; The Family in History; and No Other Gods: On Science and American Social Thought. Dr. Rosenberg is also noted as an editor of books, of journals including Penn-based Isis and of series such as the 33-volume Medical Care in the United States: the Debate before 1940.

The Bers chair is one of two established by the longtime Penn trustee and his wife during the Campaign for the Eighties. Initially both were for junior faculty (the other, in the social sciences, is held by Assistant Professor Hilton Root of history), but the H & S Chair was redesignated by the donor this year as a senior one.

Sheerr Chair: Dr. Drew Faust’s chair in American Civilization, the Stanley I. Sheerr Professorship, is a new term-endowed chair established in honor of the late alumnus by his widow and his son, Richard C. Sheerr of the SAS Overseers, and daughter, Constance Sheerr Kittel.

Dr. Faust, who has twice chaired the Department of American Civilization and holds the Lindback Award for Distinguished Teaching, is a scholar of the American south with particular emphasis on the impacts of slavery. Her newest book, published this week, is The Creation of Confederate Nationalism: Ideology and Identity in the Civil War South. Two earlier books are James Henry Hammond and the Old South: A Design for Mastery, which won both Charles S. Sydnor and Jules F. Landry awards, and A Sacred Circle: The Dilemma of the Intellectual in the Old South. She also edited The Ideology of Slavery: The Proslavery Argument in the Old South, 1830–1860.

Active in University affairs, Dr. Faust has been a Benjamin Franklin Scholars advisor, a Hill House Fellow, and a member of Council and SEC. Last week she was named to chair the President’s new committee to study the quality of University life (see charge, page 2).

The two new chairholders, who are husband and wife, have won Guggenheim and numerous other honors, including his William H. Welch medal and her M. Carey Thomas prize.

Memorial: Geraldine Higgs

A memorial service will be held Wednesday, November 16, at 4:30 p.m. in 200 College Hall for Geraldine Higgs, who died October 28 at the age of 47. Ms. Higgs, who had been a admissions officer of the Law School from 1983 until she became seriously ill last year, joined the University in 1962 as secretary in the School of Graduate Education. She is remembered as also the administrative assistant, then assistant to the chairman, of the history department between 1973-83. She is survived by her mother and a daughter, Niari.
Stand ready to assist in a timely fashion to recommend members for such a group once an acceptable charge has been framed.

3. Role of the Faculty Senate in Academic Planning. On the specific question of how the Faculty Senate can best interact with the groups working on aspects of a 5-year plan, the sense of the meeting was that the Provost’s agreement to have SEC review the interim reports this winter is an extremely positive step which will help ensure that the faculty’s elected representatives will have timely input into the planning process.

Some continuing concern was also expressed about the general question of appropriate methods for choosing faculty members to participate in this and related tasks of importance. After some discussion, SEC resolved: to ask the Senate Committee on Administration to consider how faculty members who serve on committees having influence over educational policy and University governance should be chosen, and to report its recommendations to SEC by sometime next semester.

### From the President

**President’s Committee on University Life: The Charge**

Penn is an extraordinary community, bringing together more than 35,000 faculty, staff and students from across our nation as well as from 115 countries throughout the world. While our backgrounds and cultural experiences may differ, we are bound together by our shared commitment to the principled pursuit and application of knowledge in a multicultural and interdependent world.

As an academic institution, it is vital that we create and maintain a campus atmosphere that is conducive to the free and vigorous exchange of ideas not only in the classroom but also throughout the living and working environment that all of us share. To meet this most compelling responsibility, we need constantly to reexamine the principles to which we aspire in the daily interactions of Penn faculty, staff and students.

One of our principles is that Penn must provide an atmosphere of learning and living in which civility prevails. A university must seek to create an environment in which people treat each other with respect and consideration, regardless of their differences. Penn must find ways to foster a climate of caring, cooperation, and industry. The University’s commitment to civility must extend to every member of the community; faculty and employees of all ethnic groups must treat each other and the public with consideration and appreciation.

Another principle is that education must take place both inside and outside the classroom. Issues of universal importance can often be explored best in settings outside the formal classroom, laboratory, or library—issues relating to ethics and personal values, academic integrity, and the relationship of the individual to the community. A warm and supportive environment throughout the University can play an important role in paving mutual trust and the candid exchange of ideas. Penn must create greater opportunities for frequent interaction among faculty, staff, and students outside the formal learning environment.

As a residential campus, we have a particular opportunity to provide such an atmosphere for students throughout the University. While residential programs are not the only means of stimulating community dialogue beyond the classroom, they represent an important area of potential interaction. Fifteen years ago, the Report on University Life by the Joint Subcommittee of the Committee of Student Affairs—the “Mendelson Report”—argued that residential programs provide opportunities for students “to learn well and informally the day to day realities of inquiry, rigorous dialogue and intellectual concern.” Today, the University community continues to foster living-learning programs that, by encouraging the life of the mind, contribute effectively to the intellectual life of the institution. These programs should now be examined to ensure that they are responsive to the challenges of a changing world. We need to ask: What has Penn learned over the last 15 years? Can our living-learning programs better reflect the values we want to affirm?

A third principle is that the University should celebrate the diversity of its members—faculty, students, staff, and alumni. We need to build connections that encourage all members of the Penn community to reach their full potential. Not only must Penn’s faculty, staff, and students acquire knowledge of other cultures, races, and genders, they must also learn how to get along daily with people who are unlike themselves. The University’s campus environment must enable its members to address matters that have importance to all groups. To encourage such an atmosphere, we need to consider some difficult, but essential, questions: What is the current state of relations among different groups at Penn? How do inter-group relations reflect Penn’s values? What should the University’s values be? Does the University have special responsibilities as a shaper of social and cultural values? If so, what are those responsibilities? What is the proper role of the University in fostering social responsibility?

To address these and other issues that are central to creating a strong and vital university life, I am establishing a distinguished committee of Penn faculty, students, staff, and alumni, chaired by Dr. Drew Faust, the Stanley I. Sheerr Professor of American Civilization. Specifically, I am asking the Committee to consider the following questions:

1. What should Penn seek to achieve in university life? What are the values the University should affirm for all its members?
2. How can Penn foster greater civility among all groups and individuals on campus?
3. In what ways can the University foster greater interaction among faculty, staff, and students outside the classroom? What kinds of incentives can Penn provide its faculty to promote such exchanges at the undergraduate and graduate levels? What role should the living-learning programs play in strengthening Penn’s undergraduate experience? How should residential living contribute to the intellectual life of the institution? What role should fraternities and sororities play on campus?
4. How can the University respond to issues of concern to diverse groups, in particular, student groups? How can Penn help build connections among members of these groups? How should members of different races, nationalities, genders, religions, and sexual preference treat each other? What steps can the University take to provide a truly supportive environment for all members of our community?
5. How does Penn’s role as a major urban institution affect the values we embrace and the day to day life of our faculty, staff, and students on campus and in the Philadelphia community?

I look forward to a report from the Committee on these issues in the spring of 1989. The Committee’s statement of values should provide a basis to inform all aspects of our life at Penn and to serve, most immediately, as the basis for the five-year plan to be developed under the leadership of the new Vice Provost for University Life.

—Sheldon Hackney
Planning for the 21st Century:
The University’s New Five Year Planning Process

Planning is one of the ways in which Penn has prepared itself for the challenges of the twenty-first century. As noted in the document, "Building Penn's Future," no University can simply stand still or attempt solely to preserve what it has. We have an obligation to maintain the programs and facilities that are relevant to the future. But we also must explore those frontiers of knowledge in which this institution’s resources can make a difference." Fulfillment of this responsibility, and the securing of Penn’s place among the top universities in the nation, requires a continuous and thoughtful dialogue throughout the University community about our academic agenda.

With the recent publication of the five-year plan for the Law School, the University has completed its current planning process. That process, initiated in 1981, had three basic phases. The first was exploratory, in which each of six work groups, largely comprised of Deans, drafted a working paper to develop potential planning priorities in a number of areas. These resulted in the paper, Choosing Penn’s Future, which established four priorities for the University: a promise to achieve real growth in faculty salaries; a basic strengthening of undergraduate education; direct, central University investment in Penn’s research enterprise; and a commitment to sustaining need-blind admission to our undergraduate schools and enhancing assistance to students in our graduate and professional schools. In 1985, this list was expanded to include faculty development—special efforts to retain and recruit faculty of world rank.

The second phase focused on the development of initiatives that would implement these priorities: central and school salary reserves were established to fund merit and promotional increases to the faculty; the PENN Plan was developed to help undergraduate students finance their education; a computer network was developed; three major University funds were established—the Research Fund, the Research Facilities Development Fund, and the Undergraduate Education Fund; and graduate fellowship support was significantly increased, from $800,000 to $5 million as of this year. At the same time, the University made major investments in animal facilities; worked with the School of Medicine to develop and finance its Clinical Research Building; helped SAS bring the Mudd Plant Sciences Institute on line; and, over the last year, began the process of recruiting the first Trustee Professors. The current planning for the physical/engineering sciences precinct is part of the same process.

The third phase of the planning process required each school to develop its own five-year plan, responding to its own needs and goals as well as addressing the University priorities identified in Choosing Penn’s Future. The projects identified by the schools’ plans, along with a limited number of central initiatives, became the basis for preliminary planning for the capital campaign.

The development of the Campaign Case Statement will have largely completed the agenda laid out in Choosing Penn’s Future. We need now to begin to work on a new University planning effort, one that sustains our previous planning efforts but which identifies new needs and opportunities.

At a retreat of the Academic Planning and Budget Committee last May two major questions were discussed: What should be our planning priorities for the next five years and how best can we make the planning process more participatory and public? In our deliberations we discussed the role of the central administration in assisting and facilitating the academic investments made by our schools and resource centers and how best to insure that the initiatives the schools undertake individually fit into a larger, University-wide strategy. We agreed that the planning strategy that works best is the one that provides greatest support to each of our schools in its competition for students, faculty and external support.

As a result of these discussions, and after extensive consultation with the Council of Deans, we have established seven working groups and three subcommittees to develop new priorities for the University in the areas of undergraduate education, financial aid, admissions, advising and retention, graduate (Ph.D.) education, professional education, research, faculty development, the academic information environment, and international dimensions.

During this year the working groups and subcommittees will focus on three basic kinds of questions:

- What are Penn’s ambitions for this area?
- What currently exists?
- What programs will permit the University to achieve its ambitions?

The working groups and subcommittees will also examine the creation of opportunities for further interaction between faculty and students outside the classroom. There are issues of universal importance, such as those relating to ethics, personal values and academic integrity, that can best be explored in such an environment.

Our expectation is that during the fall semester, the working groups and subcommittees will concentrate principally on fact-finding, building for themselves and the University community a detailed understanding of current trends in their areas. This process should make us better aware of the opportunities as well as the problems we face as a University. The spring semester then would be devoted to having each working group and subcommittee suggest a range of options and initiatives for strengthening Penn’s programs in each of the ten areas.

Because we wish the planning process to provide faculty, students and administrative staff with a genuine opportunity to express their own ambitions for the University, we have asked the working groups and subcommittees to consult frequently with the University community to solicit their ideas and reactions. We intend to publish in Almanac interim reports on the progress of the working groups and subcommittees and to publish either by the end of the current academic year or by the beginning of the next the proposals and recommendations produced by them.

The fall 1989 semester will be devoted to an intensive consideration of these proposals by the Academic Planning and Budget Committee, which is charged to receive, coordinate, and review all the reports of the working groups and subcommittees and to recommend to the Provost the components of a coherent plan for the University; the Council of Deans will also play a major role in this process. In carrying out its work, the Academic Planning and Budget Committee will welcome comments from various University groups including the Senate Executive Committee, the Undergraduate Assembly, SCUE, GAPSA and the faculties of individual schools.

Beginning in December 1989, these reviews and comments will be the basis for a draft planning paper that draws together the individual proposals into a coherent Five Year Plan. This draft plan will be developed by the Academic Planning and Budget Committee, with substantial input from the Council of Deans, and subsequently will be shared with the same groups that first reviewed the initial recommendations of the working groups. Provided a broad consensus had been achieved, we would present the University Five Year Plan to the Trustees at their June 1990 meeting, about the time of our development campaign and our 250th Birthday celebration of the founding of Penn.

This is an ambitious planning process and schedule, but one that can be achieved. We are confident of its success, in part because it builds directly on the strategic planning developed over the last five years at both the School and University levels, and because it will permit wide participation by faculty, students and staff of the University community.

Sheldon Hackney, President
Michael Aiken, Provost

ALMANAC November 8, 1988
Membership of the Ten Working Groups in Planning, 1988-89

Undergraduate Education
David Brownlee, Arts and Sciences, Chair
Ivar Berg, Arts and Sciences
Daniel Bogen, Engineering
Randi Cohen, SCUE
Marvin Lazerson, Education
Kim Morisson, Vice Provost for University Life, ex officio
Mary Naylor, Nursing
Marion Oliver, Wharton
Richard Paul, Engineering
David Pope, Engineering
Susan Wachter, Wharton
David Williams, Arts and Sciences

Subcommittees on Undergraduate Education
Admissions
Paul Shaman, Wharton, Chair
Howard Brody, Arts and Sciences
Laura Hayman, Nursing
John Keenan, Engineering
Jonathan Levine, Engineering '89
John McCoubrey, Arts and Sciences
Allen Myers, Engineering
Marion Oliver, Wharton, ex officio
Samuel Preston, Arts and Sciences
Lee Stetson, Admissions, ex officio

Financial Aid
Richard Clelland, Deputy Provost, Co-chair
Marna Whitington, Vice President, Finance, Co-chair
Frank Claus, Associate Vice President for Finance
Janice Curington, College Advising Office
James Emery, Wharton
Stephen Gale, Arts and Sciences
Duchess Harris, College '91
Kim Morisson, University Life
William Schilling, Student Financial Aid
Paul Taubman, Arts and Sciences
Robert Zemsky, Education

Advising and Retention
Peter Kuriloff, Education, Chair
Michael Austin, Social Work
Houston Baker, Arts and Sciences
Elijah Anderson, Arts and Sciences
Gail Daumit, Wharton '91
Diane Frey, College Advising Office
Allen Green, Housemaster, Dubois
Traci Miller, College '89
Harold Haskins, Tutoring Center
Peter Kuriloff, Education
John Laing, Wharton
Jorge Santiago-Avile, Engineering

Ph.D. Education
Gregory Farrington, Engineering, Chair
Beth Allen, Arts and Sciences
Richard Clelland, Deputy Provost
Florence Downs, Nursing
Donald Fitis, Arts and Sciences
Oscar Gandy, Annenberg
George Gerbner, Annenberg
Wayne Glasker, Grad, Arts and Sciences
Harold Goldfine, Medicine
Chris Johnson, Grad, Arts and Sciences
Paul Kleindorfer, Wharton
Joseph Rykwert, Fine Arts
Wayne Worrell, Engineering
Saul Winegrad, Medicine, to be added in January

Professional Education
Tom Robertson, Wharton, Chair
Howard Arnold, Social Work
Dorothy Brooten, Nursing
Lee Copoland, Fine Arts
Robert E. Davies, Veterinary Medicine
Kenneth Fegley, Engineering
Robert Gorman, Law
Malcolm Lynch, Dental Medicine
Kathy Mockler, Grad, Veterinary Medicine
Gail Morrison, Medicine
Elias Schwartz, Medicine
Anita Summers, Wharton
Michael Tiernay, Education

Faculty Development
Gerard Adams, Arts and Sciences, Chair
Howard Arnold, Social Work
Richard Beeman, Arts and Sciences
Stephen Burbank, Law
Claire Fagin, Nursing
Louis Giralfac, Engineering
Dorothea Jameson, Arts and Sciences
Phoebe Leboy, Dental Medicine
Franz Matschinsky, Medicine
Anthony Santomero, Wharton
Peter Vaughan, Social Work

Research
Perry Molinoff, Medicine, Chair
Ronald Arenson, Medicine
John Bassani, Engineering
Joseph Bordogna, Engineering
Ralph Brinster, Veterinary Medicine
Gary Cohen, Dental Medicine
Barry Cooperman, Vice Provost for Research
Robin Hochstrasser, Arts and Sciences
David DeLaura, Arts and Sciences
Richard Marston, Wharton
Rosemary Stevens, Arts and Sciences

Academic Information Environment
Ruzena Bajcsy, Engineering, Chair
Lawrence Bernstein, Music
Frederic Burg, Medicine
David De Long, Fine Arts
Robert Hollebeek, Arts and Sciences
Elizabeth Kelly, Law
Robert Kraft, Arts and Sciences
Janice Madden, Arts and Sciences
Paul Mosher, Vice Provost for Libraries, ex-officio
David Stonehill, Vice Provost for Computing, ex-officio
Eric van Merkenstein, Wharton

International Dimensions
Stephen Nichols, Arts and Sciences, Chair
Edwin Andrews, Veterinary Medicine
Kenneth Cheng, Grad, Wharton
Nancy Farriss, Arts and Sciences
William Graharm, Engineering
Nancy Horberger, Education
Anne Keane, Nursing
Herbert Levine, Arts and Sciences
Robert Mundheim, Law
William Pierskalla, Wharton
Patrick Storey, Medicine
Robert Vanarsdall, Dental Medicine

Charges to the committees begin next page
Undergraduate Education

Pennsylvania's competitive edge in attracting high-ability undergraduate students results from the variety and richness of its academic programs and its unusually productive mix of the liberal arts and professional disciplines. Over the last five years, Penn has made substantial progress in fulfilling the promise set forth in Choosing Penn's Future. Some key milestones include the establishment of the Undergraduate Education Fund; expansion of dual degree programs; introduction of enhanced writing programs; incorporation of computing into the curriculum; improvement of the advising systems in all four undergraduate schools; institution of a new set of distributional requirements within Arts and Sciences and Nursing; increased participation of senior faculty in freshman seminars; introduction of new courses in technology for students in the School of Engineering and Applied Sciences; participation of students in faculty research in SEAS and Nursing; and establishment of the Joseph Wharton Scholars program at Wharton.

The innovations of the last few years are impressive. They have helped to increase Penn's stature as a national university of first choice. It is now time to reflect on these accomplishments and once again ask: What investments should the University make in undergraduate education to ensure both excellence and distinction? What will make Penn's undergraduate programs the most challenging in the nation? How can the University make its undergraduate education more attractive to the best students from around the country while helping to establish national and international standards for excellence?

The principal challenge in planning for undergraduate education over the next five years will be to create more academic connections among Penn's undergraduate programs, actively engaging the interests of the four undergraduate schools—their Deans, faculties, students, and staff—along with the ideas and energy of the University's graduate professional schools. The task is important and complex in both organization and goals. The major objective is to encourage undergraduate programs that are distinctive, as well as distinctively and inherently "Penn."

The Working Group on Undergraduate Education will draw together Deans, faculty, students, and academic support staff from across the University to assess Penn's goals and priorities for undergraduate education. The parent Working Group, which will draw much of its membership as well as its agenda from the Council of Undergraduate Deans, will have the responsibility to develop the planning agenda for undergraduate education. Where specific areas require more detailed attention, subcommittees will be established, often with members different from those of the Working Group. These subcommittees will report to the parent committee and, when appropriate, will present ideas to the University community as a whole. Initially, separate subcommittees are being established to develop planning goals and priorities for undergraduate admissions, undergraduate financial aid, and undergraduate academic advising and retention.

In drafting its report to the University community, the parent Working Group should address three basic questions:

1. What does Penn want to achieve in undergraduate education? What specific goals and priorities do we want to set for undergraduate education at the University?

2. What are the current strengths and weaknesses of undergraduate education at Penn? What can Penn learn from the nation's other selective colleges and universities? The Working Group might review the changes each school has made in its general education requirements, asking how these individual efforts to strengthen undergraduate education might be linked together to fulfill the promise of a University with an "unusually productive mix of the liberal arts and professional disciplines."

3. What specific initiatives should the University consider to strengthen the academic links among its undergraduate programs? Among the initiatives the Working Group may want to consider are: a concerted effort to bring more of the faculty of the graduate professional schools into the undergraduate programs; expanded international studies programs as well as greater study-abroad opportunities; programs for undergraduate research; additional cross-disciplinary study programs; and an experimental core curriculum that draws together selected students from the four undergraduate schools. What role might the freshman experience (including more freshman seminars taught by senior faculty), the senior or capstone experience, and living-learning programs play in strengthening the Penn undergraduate experience? How can the Undergraduate Education Fund be better used to stimulate these and other programs? How best can the University make direct investments in teaching excellence?

Subcommittee on Admissions

Ten years of consistent effort have made Penn one of the most competitive and selective undergraduate institutions in the nation. Working within the framework established by the McGill report, Penn has been a national leader in broadening the geographic and social diversity of its undergraduate student body. The University has accomplished the goal, set at the beginning of this decade, of substantially increasing the depth and geographic diversity of the pool of undergraduate applicants. That success enables Penn to concentrate now on establishing a better sense of its intellectual and academic aspirations for the undergraduate student body over the next five years. The next question that needs to be asked is: What must Penn do to attract the nation's most intellectually venturesome students—those who will provide national and international leadership in the
propositions of education, research, public service, and business in the twenty-first century? Which of Penn's current or future academic programs are best positioned to provide those qualities that are the hallmark of a preeminent undergraduate university? What academic offerings may need enhancement, development, or revitalization?

The basic planning questions the Subcommittee should address include:

1. What should be Penn's ambitions for the intellectual character of its undergraduate population through the end of this century? The answer to this question does not involve the determination of target populations and class composition, which the McGill report provides, but an examination of the relationships among student interest, recruitment, matriculation, and academic offerings. What is the intellectual and academic profile — interests, capabilities, competencies — of the students Penn seeks?

2. How well will this profile "fit" with Penn's current undergraduate offerings, programs, and faculty strengths? What additional programs might warrant development? Should Penn encourage more dual-degree programs? or five-year undergraduate programs? Should particular academic areas be strengthened to meet prospective students' needs? What specific steps should the University take to ensure that minority students find supportive programs at Penn?

3. What specific goals and priorities should the Admissions Office employ in developing its next five-year admissions marketing plan? How should the University go about ensuring that minority students both seek out and are sought out by Penn? The Admissions Office plan, which will be based largely on the recommendations and deliberations of the Subcommittee, will be initially reviewed by the Subcommittee.

Subcommittee on Financial Aid

Undergraduate financial aid requires a similar investment in planning and priority setting. The financing of college education has become increasingly difficult in the 1980s. Over the last decade, tuition and fees at four-year private institutions have increased at an average rate of 54 percent greater than the rate of inflation. At the same time, federal support for financial aid now consists predominantly of loans rather than grant aid. Penn's costs have also risen dramatically, putting additional pressures on the financial aid budget. More than ever, Penn must seek creative ways to help students and families finance their college education.

A critical part of the charge to the Subcommittee is to help the University develop and evaluate a set of financing options (like the Penn Plan) that might enable the joint leveraging of family and University assets to create significant savings for both parties. A second part of the charge is to provide advice to Penn's Vice President for Finance Marna Whittington and Deputy Provost Richard Clelland, who have assumed joint responsibility for managing the University's newly consolidated set of offices providing financial services. The consolidated offices include Student Financial Aid, the Office of the Bursar, the Penn Plan Agency, and the Collections Department.

More specifically, the planning questions the Subcommittee should address include:

1. What should be Penn's goals and priorities for undergraduate financial aid? How can the University's financial aid budget best be used to ensure an academically strong class, equal access, substantial social and economic diversity, and substantial minority enrollments?

2. What kinds of financing options and packages might Penn develop that leverage student/family and University assets to make Penn more affordable for greater numbers of students and their families?

3. How can the University best create a "student and family centered" financial services group? How should the University proceed in integrating services provided by Student Financial Aid, the Office of the Bursar, the Penn Plan Agency, and the Collections Department?

Subcommittee on Advising and Retention

The Council of Undergraduate Deans, with the help of the Office of Institutional Research, focused much of its attention during the 1987-88 academic year on measures of academic success — choice of major, cumulative grade point averages, and four- and five-year graduation rates — and on those institutional factors, in particular the academic environment, that substantially contribute to students' success at Penn.

While much information remains to be gathered and evaluated, it is clear that investments in academic support programs generally, and advising in particular, are important for increasing the academic success rate of Penn students. For minority students, these programs have been especially vital. Academic support includes, for example, coursework assistance, tutorial services, developmental coursework, academic mentors who are accessible and supportive, access to appropriate student and faculty networks, and other programs such as an intensive pre-freshman institute.

While the work of this subcommittee will focus its attention on assessing advising and retention issues and developing recommendations for improving students' academic success, the President's Committee on University Life will focus on environmental factors. The importance of environmental issues to student retention and academic success at Penn should not be underestimated. The improvement of environmental quality and the permanence of minority presence on campus must be central issues for both the Committee on Advising and Retention and the President's Committee on University Life.

As a University, Penn needs to understand better which kinds of programs, in concert with enhanced environmental quality, will work best in the context of Penn's traditions, opportunities and challenges. Penn also needs to understand better which academic, social, and environmental factors constitute obstacles to full development of students' academic potential.

As part of the process of building a University-wide consensus on the goals and priorities of Penn's academic support function, the Subcommittee should address the following questions:

1. What are the institutional factors that best promote academic success? What factors discourage such success?

2. Which academic support services should the University provide to all undergraduates in general, and to minority students in particular? What can be learned from a careful examination of the academic support services Penn currently provides? Are there important lessons to be gained from other colleges and universities?

3. Are there specific initiatives that the University should mount immediately? In particular, is there a combination of enhanced current programs and new initiatives that might substantially increase the five-year graduate rate of undergraduates?

Graduate (Ph.D.) Education

Penn has a rich and proud tradition in doctoral education. Many of its graduate programs are among the best in the country, and most attract superior students. But the University can still do better. Leading centers of graduate education share at least four common attributes. First, they feature a broad range of well-conceived programs for graduate students in which the faculty act as scholars. Second, they invest heavily in graduate financial aid in order to provide fellowships that are nationally competitive. Third, the graduate programs within these institutions have achieved broad national and international recognition, largely through the achievements of their graduate students and programs. Finally, the institutions have national reputations that confer prominence on all their graduate programs. The whole is seen as stronger than the sum of the parts. In contrast, Penn is seen as an institution that offers nationally prominent graduate programs, rather than as a national center for graduate education. One consequence has been that in most national ratings of graduate programs and faculty strengths, Penn's faculty have been judged stronger than the graduate programs with which they are associated.
The challenge is to develop a set of realistic plans and priorities that will enable the University to parlay the strength of the faculty into a broader recognition of Penn as a national center for graduate education. In establishing these plans, the Working Group on Graduate (Ph.D.) Education should address the following questions:

1. What does Penn most want to accomplish in graduate education over the next five years? What are the University’s ambitions, and how will the University community know if these ambitions are being realized?

2. What is the current condition of graduate education at Penn? More specifically, what is the quality of Penn’s graduate students? How long do students take to complete graduate programs? How often are Penn graduates appointed to leading academic institutions or research centers? What other measures of the current quality of graduate education should the Working Group consider?

3. What financial support is available for graduate education?

4. How best can the central administration work with the Schools and graduate groups to increase national recognition of Penn as a graduate education center of international standing?

**Professional Education**

Penn is widely known for the strengths of its professional Schools. While the University community understands that the scope and content of professional education most often reflect the particular needs of the professions, it is also coming to recognize that all professionals share certain concerns. Questions regarding professional ethics, technology and basic methodologies, and the interaction between professions in addressing social issues have prompted professionals to recognize the commonality of their enterprises.

In considering the needs of professional education across the University, the Working Group on Professional Education should address the following specific questions:

1. Are there—or should there be—common aspirations that link Penn’s programs of graduate professional education? Are there goals and priorities that the professional Schools might best achieve through partnerships among schools with complementary interests or programs? Would it be better to continue Penn’s tradition that each professional school develop its plans in response largely to the particular profession it serves?

2. What are the current programs that link Penn’s professional schools? Should they be expanded? What kinds of joint programs might be attractive? For example, the graduate groups in the Health Sciences already draw together faculty from the four Health Science schools—Medicine, Dental Medicine, Veterinary Medicine, and Nursing—as well as faculty from related departments in the School of Arts and Sciences. Is now the right moment to encourage further cooperation and collaboration across the Health Sciences? If so, what should be the nature of the collaborative efforts? A second example of a potential collaboration might be in Executive Education. How might the professional schools jointly plan and conduct Executive Education programs? Which schools would be interested? A third possible area for collaboration is teaching. Would some professional schools be interested in jointly offering classes in such areas as professional ethics, regulatory activity of the profession, basic methodological skills, or economic analysis of the profession?

3. Are there administrative issues that should be approached in a manner consistent among all professional schools? For example, should the University consider developing a unified approach to funding professional student financial aid that parallels Penn’s approach to funding undergraduate financial aid? Should the central administration encourage joint appointments among schools?

4. What ideal mix of faculty best fits the teaching, research, and service needs of the professional schools? How can Penn best facilitate the development and retention of faculty whose academic strengths contribute both to professional programs and to the University as a whole?

**Research**

Fundamentally, the University’s standing is a function of the vitality of Penn’s research enterprise. Yet coordinating that enterprise is probably the most difficult aspect of planning. The University’s research profile is the sum of the ambitions, efforts, and accomplishments of investigators who sometimes work alone, at other times in groups, pursuing research interests and topics largely defined by the investigators’ discipline and the culture of a particular school. It is the almost endless variety of research interests, initiatives, and settings present at a great University like Penn that complicates attempts at University-wide research planning. For instance, biomedical research is fundamentally different from that in the humanities; the research needs of the natural sciences are different from those of the social sciences. Such differences, while almost always noted, are seldom translated into policy; too often research universities assume that research support has the same meaning to all faculty. In its planning, the University must recognize that different kinds of strategies are needed to support different kinds of research.

The task ahead is to examine both present accomplishments and projected needs in research support across the University for the next five years. It is also necessary to identify those directives that will reinforce Penn’s comparative advantages, involve interdisciplinary and interscholastic collaboration, and benefit from coordination provided by the central administration.

In considering how best to sustain and enhance the University’s research vitality, the Working Group on Research should address the following questions:

1. What are Penn’s ambitions for its research programs over the next five to ten years? Is it possible to begin a campus-wide dialogue leading to a better understanding of the investments Penn needs to make in its support of the research enterprise?

2. How well is faculty research currently encouraged and supported? What improvements in central support services need to be made? Are there currently budgetary or other disincentives to research that need to be addressed?

3. Are there specific research areas that might best highlight Penn’s comparative advantages and respond to central leadership? Examples of such target areas might include molecular biology, structural biology, materials, cognitive science, and the study of fields such as technology and culture, public policy, and the urban environment. Should the University invest in more research centers, such as the planned humanities center and possibly a social sciences research institute? Should the University develop specific criteria and procedures for evaluating large-scale research proposals and programs, particularly those requiring substantial investment of discretionary University resources?

4. How can Penn best recognize, support, and facilitate scholarship that is not supported with external or University research funds?

**Academic Information Environment**

In this era of rapidly changing technology, Penn needs to undertake a systematic reconsideration of its capacity to provide access to academic information. Building on our current strengths in libraries and computing, the University can create a scholarly information environment of singular excellence. The University Library, linchpin of Penn’s information environment, must be one focus of Penn’s reexamination. During the years ahead, the Library must perform several significant tasks: maintain and improve the print collections of books and journals; develop collections to match present and future programmatic needs; use available space to maximum efficiency; achieve optimum cost-benefit in departmental libraries; develop plans to take advantage of archival mass digital formats, digital storage and retrieval; and strengthen links to other major research centers and libraries, which will improve access to materials held elsewhere.
A second focus in developing the University’s information environment must be the investments made in academic computing. The 1983 Strategic Plan for Academic Computing recommended the creation of support mechanisms for academic computing, the enhancement of computing facilities, and the initiation of administrative structures to guide the ongoing development of academic computing. These infrastructural elements are now largely in place.

In the years to come, the vitality of Penn’s research and learning environment will depend directly on the University’s ability to meet the new and increasing technology and information demands of its community. The provision of new services will help to attract an outstanding faculty and to increase their productivity while at Penn. In considering how best to provide access to academic information, the Working Group on Academic Information Environment should address the following specific tasks and questions:

1. What are Penn’s ambitions for its knowledge and information environment over the next five years? In what areas, including new technologies, should the University consider investing new resources to enhance its academic information environment? Should there be a greater investment of central administration funds in academic computing? How would Penn’s ambitions and investments meld the traditional functions of a library with electronic systems linking Penn faculty and students with each other and with research centers around the nation and the world?

2. What current electronic resources, including those of the Library, has Penn devoted to its academic environment? How do Penn’s accomplishments compare with those of peer institutions?

3. What programs and directions should be actively supported by the University? How should the University provide for diverse knowledge and information needs, while experimenting with methods and technologies? What is the appropriate balance between knowledge sources and the technologies that make knowledge available to the research and teaching programs on this campus?

**Faculty Development**

Faculty have always been the University’s most important resource. To maintain and enhance its stature among the nation’s top research institutions, Penn must continue to invest in its faculty.

Between now and 1995, 137 of Penn’s standing faculty are scheduled to retire. By 2000, the University is scheduled to lose 277 standing faculty, including many of its most distinguished and productive scholars. Penn’s loss of faculty will coincide with a worldwide shortage of the kind of creative scholars Penn needs to recruit. The University must increase support for the current members of the faculty, while focusing on the recruitment of both junior and senior faculty and on the fundamental need to increase the number of women and minority scholars on its faculties. To help preserve Penn’s reputation for outstanding and successful faculty, the Working Group on Faculty Development should address the following questions:

1. What are Penn’s ambitions for its faculty over the next five to ten years?

2. How well does the University currently support its faculty? Does Penn have sufficient support mechanisms in place to help junior faculty grow intellectually and establish scholarly careers that combine teaching and research? Has Penn struck the proper balance between merit and across-the-board increases of faculty salaries? Penn expects the Campaign to increase substantially the number of endowed chairs as well as term chairs. What effect will the appointment of substantial numbers of faculty to endowed positions have on the faculty as a whole?

3. What specific policies and programs might the University consider to foster faculty development? Are there particular kinds of incentives that would better support faculty, such as individual research accounts, an increased number of sabbaticals, flexible teaching loads? How can the University increase faculty interest in and discussion of superlative teaching? What core support should the University provide to enhance teaching excellence? How best can the University reward successful efforts? What effect will the uncapping of the mandatory retirement age have on the faculty and on the ability of the schools to appoint junior faculty? Would any purpose be served by reviving discussion of the trade-off between the size of the faculty and the level of support available to the faculty? How can the University best support and thus retain its faculty in an era of increased competition for scholars and teachers in all fields? How can the University recruit, support, and retain larger numbers of women and minority scholars? What combination of research and instructional support will make Penn uniquely attractive to scholars of international reputation?

**International Dimensions**

The world’s principal centers of research and learning are becoming part of an international scholarly community in which national boundaries have been superseded by shared academic interests and collegiality. This development complements an increasingly international economy in which jobs, products, and capital migrate more freely from one country to another. No longer is the American experience solely the function of American values, language, and products; foreign industry, goods, and markets now play a leading role in shaping American life.

Given these changes and their growing impact on institutions of learning everywhere, there is a pressing need for Penn to define its international dimension—to develop goals, plans, and criteria for determining the kinds of international programs and initiatives worthy of support, both abroad and on the Penn campus. The basis for international initiatives will be language study, the most direct form of access to other cultures. The University thus will need to assess its language requirements and options—examining how students acquire and learn languages. Penn also should seek to extend its international outreach by developing more and varied choices for study abroad.

During the past academic year, the Office of International Programs inventoried all of Penn’s international activities: faculty research, faculty and student exchanges, foreign student enrollment, study abroad by Penn students, and the international dimension of curricula at both the undergraduate and graduate/professional levels.

Building on the initial efforts of the International Programs Office, the Working Group on International Dimensions should address the following questions:

1. How should Penn define its international dimension? How does the University want to integrate international concerns into the undergraduate curriculum? The graduate and professional curriculums? What language preparation and acquisition does Penn want for its students?

2. What are the strengths of Penn’s current international profile? What are the weaknesses? Do international programs at Penn face budgetary or other disincentives? Is there adequate staff support for faculty and students seeking to develop international connections? How do Penn’s investments in international programs compare with those of peer institutions?

3. What criteria and procedures should the University use in evaluating international programs that link schools, departments, or centers and institutes with other universities and research centers abroad? Are there specific areas of international study in which the University should develop an instructional program or research center, either because of present strengths or a present opportunity? How much direct assistance should the University provide to support the expansion of collaborative faculty research with foreign scholars and centers? To what extent should this include drawing more foreign faculty to Penn?

4. Do language requirements across the University need to be strengthened? Should Penn increase its foreign language study-abroad programs? What innovative programs or research centers might Penn establish to improve language learning and research?
FOR COMMENT

To the University Community:
In the spring of this year we decided to republish the Harassment Policy as two separate policies—one on Racial Harassment and one on Sexual Harassment. Following, for comment, are the policies with minor language changes to reflect:

- The fact that they will stand alone as two policies;
- A clearer definition of the role of persons to serve as Harassment Information Resources, formerly termed “special advisors,” (Section III.A.1 in both policies); and,
- A more specific identification of those offices responsible for central reporting to the Ombudsman (Section III.D.1 in both policies).

We welcome comment between now and December 2, 1988.

Sheldon Hackney, President
Michael Aiken, Provost
Marna Whittington, Acting Senior Vice President

Racial Harassment Policy

I. Conduct

Our community depends on trust and civility. A willingness to recognize the dignity and worth of each person at the University is essential to our mission.

It is the responsibility of each person on campus to respect the personal dignity of others. We expect members of our University community to demonstrate a basic generosity of spirit that precludes expressions of bigotry.

Penn properly celebrates the diversity of its community. We come to Penn from many different backgrounds and include different races, religions, sexual orientations, and ethnic ancestries. Learning to understand the differences among us, as well as the similarities, is an important dimension of education, one that continues for a lifetime.

Tolerance alone, however, is not enough. Respect and understanding also are needed. We should delight in our differences, and should seek to appreciate the richness and personal growth which our diversity provides to us as members of this community.

The University is committed to freedom of thought, discourse and speech, and the attainment of the highest quality of academic and educational pursuits and daily work. Policies and regulations implementing this commitment include the Statement on Academic Freedom and Responsibility, the Guidelines on Open Expression, and the Code of Academic Integrity.

The University also has established policies on behaviors that interfere with these freedoms. Foremost among these policies is the University’s Statement on Non-Discrimination, which prohibits discrimination on the basis of race, color, sex, sexual preference, religion, national or ethnic origin, handicap or disability.

The University also has adopted the following policy concerning racial harassment. The terms “racial harassment” and “harassment” as used throughout are defined as a matter of University policy, and are not necessarily identical or limited to the uses of that term in external sources, including governmental guidelines or regulations.

II. Purposes and Definitions

A. Purpose

For many years the University has stressed that racial harassment will not be tolerated at Penn—not only because it is reprehensible and discriminatory, but because it constitutes a form of unprofessional conduct that seriously undermines the atmosphere of trust and mutual respect that is essential to academic pursuit.

B. Definition

For the purposes of University policy, the term “racial harassment” refers to any behavior, verbal or physical, that stigmatizes or victimizes individuals on the basis of race, ethnic or national origin, and that:

1. Involves a stated or implicit threat to the victim’s academic or employment status;
2. Has the purpose or effect of interfering with an individual’s academic or work performance; and/or,
3. Creates an intimidating or offensive academic, living, or work environment.

The University regards such behavior as a violation of the standards of conduct required of all persons associated with the institution. The prohibition against racial harassment applies to all interactions occurring on campus, in University facilities, or within the context of University-related activities. It also applies to acts of retaliation against members of the community who have filed complaints under this policy.

As noted in the Handbook for Faculty and Academic Administrators, Policies and Procedures, the Academic Bulletin, and other University publications, persons engaged in such harassment within the University setting are subject to the full range of internal institutional disciplinary actions, including separation from the institution.

Not every act that might be offensive to an individual or a group necessarily will be considered as harassment and/or a violation of the University’s standards of conduct. In determining whether an act constitutes racial or ethnic harassment, the totality of the circumstances that pertain to any given incident in its context must be carefully reviewed and due consideration must be given to the protection of individual rights, freedom of speech, academic freedom and advocacy.
III. Resources

School and administrative units should make known to all of their members the available resources and the informal and formal procedures for resolving complaints of sexual harassment or racial and ethnic harassment within the unit or at the University level.

These resources include, but are not limited to, the following:

A. Information, Counseling and Support

The following University resources are available to members of the University community who seek information and counseling about University policies on racial harassment, standards of behavior, informal and formal mechanisms for resolving complaints and resources for complainants and respondents.

1. Persons to serve as Harassment Information Resources (HIRs) should be designated by the deans of individual schools and directors of major administrative units from among their faculty, staff, and students to serve as resources on issues of harassment. These individuals should be informed about the issues of harassment, the availability of mediation and about university policies and resources. The HIRs should be available to meet in confidence with persons who believe they are being harassed to provide information as to additional university resources for support and counsel.

2. The Women's Center aids students, faculty and staff with counseling, advocacy, advice and referral concerning formal and informal avenues of redress in matters of sexual and racial or ethnic harassment. The Women's Center does not conduct investigations and keeps all information confidential.

3. The Office of the Ombudsman exists to help resolve grievances of all members of the University community—students, faculty and staff—on a confidential and informal basis, and helps persons with complaints about sexual harassment decide on a course of action. The Office is independent of the University's formal administrative structure and grievance mechanisms.

4. Deans, department chairs, directors, and individual faculty and staff are available to provide information and advice.

5. University Counseling Service, Gay and Lesbian Peer Counseling, and the psychiatric section of the Student Health Service provide assistance to student victims of harassment or those acting on behalf of the student. Contacts with these services are strictly confidential and may be particularly helpful to students who desire assistance in dealing with harassment.

6. The Office of Affirmative Action is responsible for the development and implementation of the University’s Affirmative Action Program, for providing a formal liaison between the federal, state, and city compliance agencies and the University and to oversee programs designed to increase the representation of minorities, women, and the disabled throughout the University. The Office is also responsible for overseeing the mechanisms for resolving non-academic grievances as they relate to equal opportunity and affirmative action.

7. The Faculty/Staff Assistance Program provides confidential counseling, support and assistance to individuals concerned with issues of harassment.

8. Victim and Security Support Services of the Department of Public Safety counsels members of the University community on a range of matters including racial and ethnic and sexual harassment. The Office works closely with the Office of Affirmative Action, the Ombudsman, and the Department of Public Safety, conducts investigations in cooperation with the other offices, and assists in the informal resolution of complaints. The Office also provides advice to individuals who have complaints of racial, ethnic, or sexual harassment against non-University individuals.

9. The Office of Staff Relations within the Office of Human Resources provides counseling and support to University staff on all employment related matters, including allegations of racial, ethnic, or sexual harassment. The Office interprets University policies, works closely with the Offices of the Ombudsman and Affirmative Action and administers the non-academic grievance procedure. All discussions are confidential.

10. Black Resource Center (now in formation)

B. Informal Mechanisms for Mediation and Resolution

The HIRs appointed in each school and major administrative unit should serve as primary, accessible contacts to refer individuals to informal and formal mechanisms for mediation and resolution of harassment complaints. In addition, the Ombudsman, the Office of Affirmative Action, the Women’s Center, the Judicial Inquiry Officer, the Director of Student Life, the Office of Residential Living, Department Chairs, Deans and the Provost are available to assist in the resolution of complaints.

C. Formal Mechanisms for Resolution and Adjudication

The University believes that a strong system of informal resolution, receiving and handling most complaints, will encourage reporting and resolution of complaints. When informal resolution is not chosen or is unsatisfactory, complainants are urged to use the appropriate formal mechanism as described below:

1. Complaints of racial harassment against a faculty member, instructor, or teaching assistant may be brought by a student, staff, or faculty member to a Department Chair or Dean of the faculty member. The Department Chair or Dean receives a complaint charged with pursuing the matter. While the process depends on the particular characteristics of the complaint, normally the Department Chair or Dean interviews the faculty member. If the matter is not resolved informally, the Department Chair or Dean either conducts an investigation or requests that the Ombudsman or Office of Affirmative Action do so. If the results of the investigation persuade the Dean or Department Chair that sanctions are warranted, he/she consults with faculty members—without disclosing the identity of the individuals involved—to aid in determining an appropriate sanction, including whether there is substantial reason to believe that just cause exists for suspension or termination. If it is determined that action should be taken for suspension or termination, the Dean should refer the matter to the Committee on Academic Freedom and Responsibility of the School for proceedings in accordance with the procedures set out in Section 1-10.10.1 of the Handbook for Faculty and Academic Administrators (1983).

2. Complaints of harassment against a staff member may be brought by a student, staff member or faculty member to a supervisor of the one complained against. The supervisor who receives the complaint should pursue the matter. While the process will depend upon the particular characteristics of the complaint, normally the supervisor interviews the staff member. If the matter is not resolved informally, the supervisor either conducts an investigation or requests that the Ombudsman or Office of Affirmative Action do so. If the results of the investigation persuade the supervisor that sanctions are warranted, he or she consults with his or her colleagues or supervisor—without disclosing the identity of the individuals involved—to aid in determining an appropriate sanction.

3. Complaints by students of harassment also may be made to the Director of the Office of Student Life, in accordance with the Student Grievance Procedure set out Penn Policies and Procedures. Grievances associated with harassment in student employment may also fall within the Director’s purview. The director of the Office of Student Life is also responsible for dealing with student grievances arising under Title IX of the Educational Amendments of 1972, which prohibits sex discrimination in education.

4. A complaint of harassment may be brought against a student by filing a complaint under the Charter of the University Student Judicial System, or, if the respondent is a graduate or professional student
enrolled in a school which has established a hearing board or other decision-making body, with that body.

5. A tenured or untenured faculty member whether full or part time who believes she or he has been subjected to racial, ethnic or sexual harassment by a faculty member or by any academic administrator may file a grievance under the Faculty Grievance Procedure, Handbook for Faculty and Academic Administrators, Part I.E.15, provided the complaint constitutes a grievance as defined in section I of the Procedure. This procedure is administered by the Faculty Grievance Commission composed of three members of the standing faculty with the rank of full professor. Grievances are heard by a panel composed of three faculty members chosen from members of the Standing and Associated Faculty. The panel makes its recommendation to the provost. In cases that involve reappointment, promotion or tenure, and in which the provost has declined or failed to implement the recommendations of the panel to the satisfaction of the grievant, the grievant may obtain a hearing before the Senate Committee on Academic Freedom and Responsibility on the actions of the provost.

6. A faculty member who believes that his or her rights have been violated by another faculty member or administrator under circumstances that relate to academic freedom and responsibility may file a complaint with either the Senate Committee on Academic Freedom and Responsibility or the appropriate School's Committee on Academic Freedom and Responsibility. See Handbook for Faculty and Academic Administrators, Part II.A.2.

7. If the matter previously has not been referred to a different panel or committee, a student or staff member who believes that she or he has been subjected to racial, ethnic, or sexual harassment by a faculty member, and whose complaint has not been resolved through the mechanisms listed above, may bring the matter to a new Faculty Senate Committee on Conduct. This Committee shall be a standing committee of the Faculty Senate. At meetings with the Committee, the student or staff member may be accompanied by an advisor who is a member of the University community (student, faculty or staff.) The findings and recommendations of the Committee shall be advisory and shall be submitted to the Provost for his or her decision and implementation.

8. A staff member who believes that his or her rights have been violated directly by another staff member or administrator may file a grievance under the University of Pennsylvania Staff Grievance Procedure, as published in January 1984.

D. Central Reporting of Harassment

1. The University believes that a decentralized system of resources encourages resolution of complaints of sexual and racial and ethnic harassment. Such a system also is useful to gather enough information to make judgments about harassment generally. To that end, and with the consent of the complainant, those offices described in Sections B of this policy that have handled through mediation or counseling a complaint that was not submitted to a formal hearing board should forward to the Ombudsman a report of the matter. Such reports should not include the names of the persons involved but should include a description of the complaint, the School or Administrative Unit to which the complainant and respondent are attached and the disposition of the complaint. In the case of a large department in a large school, the department should also be identified.

This approach will enable the Ombudsman to identify patterns in the location and frequency of such incidents, and to inform the appropriate dean or administrative supervisor about the existence of such patterns. It also will enable the Ombudsman to act on behalf of the community to conduct whatever investigation he or she deems necessary to determine if University regulations are being violated.

2. Summary reports of formal charges of harassment that have been adjudicated and records of their disposition should be forwarded to the Ombudsman’s Office as a matter of information by the persons responsible for such records.

3. Based on the information forwarded to him or her during the previous year, the Ombudsman shall submit to the President on an annual basis a summary report of the number and type of formal and informal charges of sexual harassment and racial and ethnic harassment and their resolution.

E. Education and Prevention

The prevention of racial harassment and the establishment of effective procedures with due concern for all parties require a thoughtful educational program.

1. The University will provide to HRs information concerning:
   a. mediation and resolution resources available;
   b. examples of incidents of harassment;
   c. definitions of harassment;
   d. sources of support and information for victims and respondents.

2. Deans and heads of major administrative units are encouraged to discuss this policy and issues of harassment generally at meetings of faculty and staff.

3. Training programs for residential advisors, senior administrative fellows, those who meet students in crisis situations and others serving in an advising capacity to students will include training about referrals, resources, and methods for handling instances of harassment. The Office of Affirmative Action and the University Center shall assist in the development of such training programs.

4. An overall educational program for students dealing with issues of peer harassment and providing information, definition, support, identification of resources and exploration of behavioral alternatives, will be developed by the Office of Student Life, the Office of Affirmative Action, and the Penn Women’s Center in conjunction with the office of Residential Living, the Council of College House Masters, and the Council of Senior Faculty Residents involved with the Freshman Year Program. Such an educational program should be directed toward new undergraduate and graduate/professional students.

5. The University will publish annually the operative portions of this policy statement, including the resources available to advise, counsel and assist in the mediation of harassment allegations. The information will explain how and where to contact university-wide and school specific resources and will be posted in conspicuous locations.

F. Exit Interviews

The University will periodically survey departing students, faculty and staff to measure the existence and frequency of reports of harassment.

Based on the data yielded by these surveys and the annual reports of the Ombudsman, the University Administration will determine, in consultation with the University Council, whether there is need for further steps to be taken on the issue of harassment.

G. Implementation

The Office of the Provost and the Office of the Senior Vice President will be responsible for the implementation of this policy.
Sexual Harassment Policy

I. Conduct

Our community depends on trust and civility. A willingness to recognize the dignity and worth of each person at the University is essential to our mission.

It is the responsibility of each person on campus to respect the personal dignity of others. We expect members of our University community to demonstrate a basic generosity of spirit that precludes expressions of bigotry.

Penn properly celebrates the diversity of its community. We come to Penn from many different backgrounds and include different races, religions, sexual orientations, and ethnic ancestries. Learning to understand the differences among us, as well as the similarities, is an important dimension of education, one that continues for a lifetime. Tolerance alone, however, is not enough. Respect and understanding also are needed. We should delight in our differences, and should seek to appreciate the richness and personal growth which our diversity provides to us as members of this community.

The University is committed to freedom of thought, discourse and speech, and the attainment of the highest quality of academic and educational pursuits and daily work. Policies and regulations implementing this commitment include the Statement on Academic Freedom and Responsibility, the Guidelines on Open Expression, and the Code of Academic Integrity.

The University also has established policies on behaviors that interfere with these freedoms. Foremost among these policies is the University's Statement on Non-Discrimination, which prohibits discrimination on the basis of race, color, sex, sexual preference, religion, national or ethnic origin, handicap or disability.

The University also has adopted the following policy concerning sexual harassment. The terms "harassment" and "sexual harassment" as used throughout are defined as a matter of University policy, and are not necessarily identical or limited to the uses of that term in external sources, including governmental guidelines or regulations.

II. Purposes and Definitions

A. Purpose

For many years the University has stressed that sexual harassment is not tolerated at Penn. As an employer and as an educational institution, the University is committed to eradicating sexual harassment.

Sexual harassment in any context is reprehensible and is a matter of particular concern to an academic community in which students, faculty, and staff must rely on strong bonds of intellectual trust and dependence.

B. Definition

For the purposes of University policy, the term “sexual harassment” refers to any unwanted sexual attention that:

1. Involves a stated or implicit threat to the victim’s academic or employment status;
2. Has the purpose or effect of interfering with an individual’s academic or work performance; and/or
3. Creates an intimidating or offensive academic, living, or work environment.

The University regards such behavior, whether verbal or physical, as a violation of the standards of conduct required of all persons associated with the institution. Accordingly, those inflicting such behavior on others are subject to the full range of institutional disciplinary actions, including separation from the University. Likewise, acts of retaliation will be subject to the same range of disciplinary actions.

As noted in the Handbook for Faculty and Academic Administrators, Policies and Procedures, the Academic Bulletin, and other University publications, persons engaged in such harassment within the University setting are subject to the full range of internal institutional disciplinary actions, including separation from the institution.

Not every act that might be offensive to an individual or a group necessarily will be considered as harassment and/or a violation of the University’s standards of conduct. In determining whether an act constitutes harassment, the totality of the circumstances that pertain to any given incident in its context must be carefully reviewed and due consideration must be given to the protection of individual rights, freedom of speech, academic freedom and advocacy.

Because the relationship between teacher and student is central to the academic mission of the University, it is essential to establish that the standard of expected conduct in that relationship goes beyond the proscription against sexual harassment as defined in the University’s policy. No non-academic or personal ties should be allowed to interfere with the academic integrity of the teacher-student relation. With respect to sexual relations in particular, what might appear to be consensual, even to the parties involved, may in fact not be so.

On this basis, any sexual relations between any teacher and a student of that teacher are inappropriate. This category includes relations between a graduate student and an undergraduate when the graduate student has some supervisory academic responsibility for the undergraduate. In addition, it includes relations between an administrator, coach, advisor, program director, counselor, or residential staff member who has supervisory responsibility for a student, and that student. Although the University does not have the means to enforce an absolute prohibition against such relations, the University deems them to be unethical. The Provost, Deans, Department Chairs, and other administrators should respond to reports brought to them of inappropriate and unethical behavior and act to help ensure that the integrity of the University is maintained.

In order to discourage such relations, in acting on complaints that
come to the University’s attention it will be presumed that any complaint of sexual harassment by a student against an individual is valid if sexual relations have occurred between them while the individual was teaching or otherwise had supervisory responsibility for the student. The presumption might be overcome, but the difficulties in doing so would be substantial. In short, any teacher or person in a supervisory capacity enters at peril into sexual relations with a student.

III. Resources
School and administrative units should make known to all of their members the available resources and the informal and formal procedures for resolving complaints of sexual harassment within the unit or at the University level.

A. Information, Counseling and Support
The following University resources are available to members of the University community who seek information and counseling about University policies on sexual harassment, standards of behavior in various situations, the availability of informal and formal mechanisms for resolving complaints, informal and formal mechanisms for resolving complaints, and the desirability of reporting the information. These resources include, but are not limited to, the following:
1. Persons to serve as Harassment Information Resources (HIRs) should be designated by the deans of individual schools and directors of major administrative units from among their faculty, staff, and students to serve as resources on harassment. These individuals should be informed about the issues of harassment, the availability of mediation and about university policies and resources. The HIRs should be available to meet in confidence with persons who believe they are being harassed to provide information as to university resources for support and counseling.
2. The Women’s Center aids students, faculty and staff with counseling, advocacy, advice and referral concerning formal and informal avenues of redress in matters of sexual and racial or ethnic harassment. The Women’s Center does not conduct investigations and keeps all information confidential.
3. The Office of the Ombudsman exists to help resolve grievances of all members of the University community—students, faculty and staff—on a confidential and informal basis, and helps persons with complaints about sexual harassment decide on a course of action. The Office is independent of the University’s formal administrative structure and grievance mechanisms.
4. Deans, department chair, directors, and individual faculty and staff are available to provide information and advice.
5. University Counseling Service, Gay and Lesbian Peer Counseling, and the psychiatric section of the Student Health Service provide assistance to student victims of harassment or those acting on behalf of the student. Contacts with these services are strictly confidential and may be particularly helpful to students who desire assistance in dealing with harassment.
6. The Office of Affirmative Action is responsible for the development and implementation of the University’s Affirmative Action Program, for providing a formal liaison between the federal, state, and city compliance agencies and the University and to oversee programs designed to increase the representation of minorities, women, and the disabled throughout the University. The Office is also responsible for overseeing the mechanisms for resolving non-academic grievances as they relate to equal opportunity and affirmative action.
7. The Faculty/Staff Assistance Program provides confidential counseling, support and assistance to individuals concerned with issues of harassment.
8. Victim and Security Support Services of the Department of Public Safety counsels members of the University community on a range of matters including racial and ethnic and sexual harassment. The Office works closely with the Office of Affirmative Action, the Ombudsman, and the Department of Public Safety, conducts investigations in cooperation with the other offices, and assists in the informal resolution of complaints. The Office also provides advice to individuals who have complaints of racial, ethnic, or sexual harassment against non-University individuals.
9. The Office of Staff Relations within the Office of Human Resources provides counseling and support to University staff on all employment related matters, including allegations of racial, ethnic, or sexual harassment. The Office interprets University policies, works closely with the Offices of the Ombudsman and Affirmative Action and administers the non-academic grievance procedure. All discussions are confidential.
10. Black Resource Center (now in formation)

B. Informal Mechanisms for Mediation and Resolution
The HIRs appointed in each school and major administrative unit should serve as primary, accessible contacts to refer individuals to informal and formal mechanisms for mediation and resolution of harassment complaints. In addition, the Ombudsman, the Office of Affirmative Action, the Women’s Center, the Judicial Inquiry Officer, the Director of Student Life, the Office of Residential Living, Department Chair or Dean and Provost are available to assist in the resolution of complaints.

C. Formal Mechanisms for Resolution and Adjudication
The University believes that a strong system of informal resolution, receiving and handling most complaints, will encourage reporting and resolution of complaints. When informal resolution is not chosen or is unsatisfactory, complainants are urged to use the appropriate formal mechanism as described below:
1. Complaints of harassment against a faculty member, instructor, or teaching assistant may be brought by a student, staff, or faculty member to a Department Chair or Dean of the faculty member. The Department Chair or Dean who receives a complaint is charged with pursuing the matter. While the process depends on the particulars of the complaint, normally the Department Chair or Dean interviews the faculty member. If the matter is not resolved informally, the Department Chair or Dean either conducts an investigation or requests that the Ombudsman or Office of Affirmative Action do so. If the results of the investigation persuade the Dean or Department Chair that sanctions are warranted, he/she consults with faculty members—without disclosing the identity of the individuals involved—to aid in determining an appropriate sanction, including whether there is substantial reason to believe that just cause exists for suspension or termination. If it is determined that the action should be taken for suspension or termination, the Dean should refer the matter to the Committee on Academic Freedom and Responsibility of the School for proceedings in accordance with the procedures set out in section II.E.10. of the Handbook for Faculty and Academic Administrators (1983).
2. Complaints of harassment against a staff member may be brought by a student, staff member or faculty member to a supervisor of the one complained against. The supervisor who receives the complaint should pursue the matter. The process will depend upon the particular of the complaint, normally the supervisor interviews the staff member. If the matter is not resolved informally, the supervisor either conducts an investigation or requests that the Ombudsman or Office of Affirmative Action do so. If the results of the investigation persuade the supervisor that sanctions are warranted, he or she consults with his or her colleagues or supervisor—without disclosing the identity of individuals involved—to aid in determining an appropriate sanction.
3. Complaints by students of harassment also may be made to the Director of the Office of Student Life, in accordance with the Student Grievance Procedure set out in Penn Policies and Procedures. Griev-
ances associated with harassment in student employment may also fall within the Director’s purview. The director of the Office of Student Life is also responsible for dealing with student grievances arising under Title IX of the Educational Amendments of 1972, which prohibits sex discrimination in education.

4. A complaint of harassment may be brought against a student by filing a complaint under the Charter of the University Student Judicial System, or, if the respondent is a graduate or professional student enrolled in a school which has established a hearing board or other decision-making body, with that body.

5. A tenured or untenured faculty member whether full or part time who believes she or he has been subjected to racial, ethnic or sexual harassment by a faculty member or by any academic administrator may file a grievance under the Faculty Grievance Procedure, Handbook for Faculty and Academic Administrators, Part II.E.15, provided the complaint constitutes a grievance as defined in section I of the Procedure. This procedure is administered by the Faculty Grievance Commission comprised of three members of the standing faculty with the rank of full professor. Grievances are heard by a panel composed of three faculty members chosen from members of the Standing and Associated Faculty. The panel makes its recommendation to the provost. In cases that involve reappointment, promotion or tenure, and in which the provost has declined or failed to implement the recommendations of the panel to the satisfaction of the grievant, the grievant may obtain a hearing before the Senate Committee on Academic Freedom and Responsibility on the actions of the provost.

6. A faculty member who believes that his or her rights have been violated by another faculty member or administrator under circumstances that relate to academic freedom and responsibility may file a complaint with either the Senate Committee on Academic Freedom and Responsibility or the appropriate School’s Committee on Academic Freedom and Responsibility. See Handbook for Faculty and Academic Administrators, Part II.A.2.

7. If the matter previously has not been referred to a different panel or committee, a student or staff member who believes that she or he has been subjected to racial, ethnic, or sexual harassment by a faculty member may bring the matter to the a new Faculty Senate Committee on Conduct. This Committee shall be a standing committee of the Faculty Senate. At meetings with the Committee, the student or staff member may be accompanied by an advisor who is a member of the University community (student, faculty or staff.) The findings and recommendations of the Committee shall be advisory and shall be submitted to the Provost for decision and implementation.

8. A staff member who believes that his or her rights have been violated directly by another staff member or administrator may file a grievance under the University of Pennsylvania Staff Grievance Procedure, as published in January 1984.

D. Central Reporting of Harassment

1. The University believes that a decentralized system of resources encourages resolution of complaints of sexual and racial and ethnic harassment. Such a system also is useful to gather enough information to make judgments about harassment generally. To that end, and with the consent of the complainant, those offices described in Sections B of this policy that have handled through mediation or counseling a complaint that was not submitted to a formal hearing board should forward to the Ombudsman a report of the matter. Such reports should not include the names of the persons involved but should include a description of the complaint, the School or Administrative Unit to which the complainant and respondent are attached and the disposition of the complaint. In the case of a large department in a large school, the department should also be identified.

This approach will enable the Ombudsman to identify patterns in the location and frequency of such incidents, and to inform the appropriate dean or administrative supervisor about the existence of such patterns. It also will enable the Ombudsman to act on behalf of the community to conduct whatever investigation he or she deems necessary to determine if University regulations are being violated.

2. Summary reports of formal charges of harassment that have been adjudicated and records of their disposition should be forwarded to the Ombudsman’s Office as a matter of information by the persons responsible for such records.

3. Based on the information forwarded to him or her during the previous year, the Ombudsman shall submit to the President on an annual basis a summary report of the number and type of formal and informal charges of sexual harassment and racial and ethnic harassment.

E. Education and Prevention

The prevention of sexual harassment and the establishment of effective procedures with due concern for all parties require a thoughtful educational program.

1. The University will provide to HIRs information concerning:
   a. mediation and resolution resources available;
   b. examples of incidents of harassment;
   c. definitions of harassment;
   d. sources of support and information for victims and respondents.

2. Deans and heads of major administrative units are encouraged to discuss this policy and issues of harassment generally at meetings of faculty and staff.

3. Training programs for residential advisors, senior administrative fellows, those who meet students in crisis situations and others serving in an advising capacity to students will include training about referrals, resources, and methods for handling instances of harassment. The Office of Affirmative Action and the Women’s Center shall assist in the development of such training programs.

4. An overall educational program for students dealing with issues of peer harassment and providing information, definition, support, and identification of resources and exploration of behavioral alternatives, will be developed by the Office of Student Life, in consultation with the Office of Affirmative Action, the Penn Women’s Center, the Office of Residential Living, the Council of College House Masters, and the Council of Senior Faculty Residents involved with the Freshman Year Program. Such an educational program should be directed toward new undergraduate and graduate/professional students.

5. The University will publish annually the operative portions of this policy statement, including the resources available to advise, counsel and assist in the mediation of harassment allegations. The information will explain how and where to contact university-wide and school specific resources and will be posted in conspicuous locations.

F. Exit Interviews

The University will periodically survey departing students, faculty and staff to measure the existence and frequency of reports of harassment.

Based on the data yielded by these surveys and the annual reports of the Ombudsman, the University Administration will determine, in consultation with the University Council, whether there is need for further steps to be taken on the issue of harassment.

G. Implementation

The Office of the Provost and the Office of the Senior Vice President will be responsible for the implementation of this policy.
Computer Virus: PennNet Invaded but not Infected

The computer virus that has been widely publicized in the news this past week penetrated, but did not infect, any of the computers at Penn. PennNet, the University’s data communications network, is attached to and part of the larger network Internet, through which the virus was transmitted nationwide early Thursday morning, November 3.

The Office of Data Communications and Computing Services (DCCS) learned of the virus on mid-morning Thursday. Network engineers discovered that the virus—which slows, but does not damage, affected computers—had attempted to enter PennNet through two computers that serve as Internet gateways into PennNet. Fortunately, these computers at DCCS and the department of Computer and Information Science (CIS), did not use software susceptible to the virus, so it could not spread to the computers on campus that were vulnerable.

The virus, which spreads specifically through VAXes that run the Berkeley 4.3 version of the UNIX operating system, and Sun Microsystems Series 3 workstations, can “attack” these vulnerable computers in four ways. DCCS, CIS and the School of Engineering and Applied Sciences’ Computing and Educational Technology Services provided “patches,” or protecting software, to more than 80 of these computers on campus on Thursday afternoon, Friday, and Saturday, November 3-5. The patches provide protection for three of the four methods of attack. As DCCS continues to identify the vulnerable computers on campus connected to PennNet, users who work on desktop computers, “minis”, or mainframes other than those described above, will not be affected by this virus. DCCS will publish more information about this and other viruses in later issues of Almanac, Penn Printout, and other University publications.

—Valerie Glauser, DCCS Publications Manager

Fulbright Collaborative Research Grants

The Board of Foreign Scholarships has announced the fifth year of a project under the Fulbright program which will fund proposals for joint research abroad by teams of two or three U.S. graduate students or recent postgraduate researchers.

The program is available for research throughout the world except for the U.S.S.R., Indochina, and some countries in eastern Europe. It is expected that all members of the team will carry out their research in one country abroad in the same academic year, although research does not need to be carried out simultaneously and the duration of the grant need not be the same for all team members. There are no restrictions as to fields of research. The campus deadline for completed applications is December 12, 1988.

For information and application forms contact Ann B. Hart, Office of International Programs, 133 Bennett Hall.
Department of Public Safety

This report contains tallies of Part I crimes against persons, and summaries of Part I crime in the five busiest sectors on campus where two or more incidents were reported between October 31 and November 6, 1988.

**Total Crime: Crimes Against Persons—0, Burglaries—2, Thefts—16, Thefts of Auto—3, Attempted Thefts of Auto—0**

**Date** | **Time Reported** | **Location** | **Incident**
--- | --- | --- | ---
32nd St. to 33rd St., South St. to Walnut St. | 11-01-88 9:46 AM | Rittenhouse Lab | Lock tampered with molding pulled from door.
32nd St. to 33rd St., South St. to Walnut St. | 11-04-88 11:56 PM | Lot #5 | Window broken/Items taken.
37th St. to 38th St., Spruce St. to Locust St. | 11-02-88 10:22 AM | McNeil Bldg. | Unattended purse w/camera & Penn ID taken.
37th St. to 38th St., Locust St. to Walnut St. | 11-03-88 10:28 AM | Caster Bldg. | Leather jacket taken.
37th St. to 38th St., Locust St. to Walnut St. | 11-04-88 8:48 AM | Grad Schl of Educ | University and personal property taken.
Expressway to 32nd St., University Ave. to Walnut St. | 11-04-88 12:08 AM | Ice Rink | Wallet taken.
37th St. to 38th St., Locust St. to Walnut St. | 11-04-88 5:13 PM | Lot #45 | Car antenna taken from auto.
40th St. to 42nd St., Baltimore Ave. to Walnut St. | 11-02-88 9:18 AM | Evans Bldg. | Dental equipment taken from lab.
40th St. to 42nd St., Baltimore Ave. to Walnut St. | 11-02-88 4:32 PM | Evans Bldg. | Dental equipment taken from lab.

**Safety Tip:** Community policing is a new philosophy in the law enforcement profession that marries a police department to its citizenry in a dynamic partnership aimed at reducing crime and the fear of crime. Let's get together and report any property loss, broken windows and doors, inoperative telephones and all crime to police.

**18th Police District**

Schuylkill River to 49th St., Market St. to Schuylkill/Woodland Ave. Reported crimes against persons from 12:01 a.m. 10-24-88 to 11:59 p.m. 10-30-88.

**Total: Crimes Against Persons—12, Aggravated Assault/ Knife—3, Purse Snatch—1, Robbery/ Stick—1, Robbery/Strongarm—6, Theft—1, Arrests—7**

<table>
<thead>
<tr>
<th>Date</th>
<th>Location/Time Reported</th>
<th>Offense/Weapon</th>
<th>Arrest</th>
</tr>
</thead>
<tbody>
<tr>
<td>10-25-88</td>
<td>4723 Walnut St., 7:00 AM</td>
<td>Aggravated assault/ knife</td>
<td>Yes</td>
</tr>
<tr>
<td>10-25-88</td>
<td>4723 Walnut St., 7:00 AM</td>
<td>Aggravated assault/ knife</td>
<td>Yes</td>
</tr>
<tr>
<td>10-26-88</td>
<td>4035 Chestnut St., 8:25 PM</td>
<td>Robbery/strongarm</td>
<td>No</td>
</tr>
<tr>
<td>10-26-88</td>
<td>4617 Pine St., 12:15 PM</td>
<td>Theft</td>
<td>Yes</td>
</tr>
<tr>
<td>10-28-88</td>
<td>4035 Chestnut St., 9:45 PM</td>
<td>Robbery/strongarm</td>
<td>No</td>
</tr>
<tr>
<td>10-28-88</td>
<td>4000 Market St., 10:30 PM</td>
<td>Aggravated assault/ knife</td>
<td>Yes</td>
</tr>
<tr>
<td>10-28-88</td>
<td>5900 Chestnut St., 1:50 AM</td>
<td>Purse Snatch</td>
<td>No</td>
</tr>
<tr>
<td>10-28-88</td>
<td>42nd and Walnut Sts., 10:45 AM</td>
<td>Robbery/strongarm</td>
<td>No</td>
</tr>
<tr>
<td>10-29-88</td>
<td>3900 Spruce St., 9:30 PM</td>
<td>Robbery/strongarm</td>
<td>No</td>
</tr>
<tr>
<td>10-29-88</td>
<td>4443 Spruce St., 4:00 PM</td>
<td>Robbery/strongarm</td>
<td>No</td>
</tr>
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<td>10-29-88</td>
<td>4006 Spruce St., 10:15 PM</td>
<td>Robbery/strongarm</td>
<td>No</td>
</tr>
<tr>
<td>10-30-88</td>
<td>4931 Locust Walk, 12:30 PM</td>
<td>Robbery/sick</td>
<td>Yes</td>
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