

# Almanac

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## \$5 MILLION FOR THE VET SCHOOL: FALL START FOR SMALL ANIMAL CLINIC

President Jimmy Carter signed an appropriations bill Thursday, May 5, including \$5 million for a new veterinary medical teaching hospital at Penn. With the \$2.3 million already pledged or committed by private donors, the \$5 million grant and some long-term loans will allow construction to start this fall on Penn's small animal hospital on the present SAMP site at 39th and Pine Streets. The full cost of the hospital is estimated at \$13,350,000 plus equipment and furnishings. The new hospital will be "the best of its kind in the world," said Dean Robert Marshak modestly. "It will provide care for animals that rivals in breadth and quality that which is available in a university-based human hospital. It will also permit us to study animal diseases under the most humane and sophisticated circumstances." Among the special features will be separate waiting rooms for emergency patients and for separate species (dogs and cats) and exotic animals. Radiology, cardiology and trauma units will be on the first floor with 24-hour staffing for emergencies. (At right is the third floor layout. Its six operating rooms have audio-visual transmission to a large first-floor lecture hall.) Orthopedic, ophthalmology, neurology and endocrinology units are also in the 75,000-square-foot unit designed by Vincent G. Kling and Partners.



## DR. KISSINGER: NOT AT COMMENCEMENT

Dr. Henry Kissinger will not be at Commencement May 22, the University's Communications Services Office announced Wednesday. "His office gave the news to President Meyerson May 3, although a schedule conflict had developed earlier and President Meyerson was informed of the possibility of cancellation more than a week ago," Director of Communications Services Jack H. Hamilton said. "Dr. Kissinger was not aware of any possible protest about his receiving an honorary degree from Pennsylvania," Mr. Hamilton added. "His office said no communication had been received from any person or group at the University indicating opposition to an honorary degree."

## COUNCIL: HEAVY AGENDA MAY 11

With a crowded agenda that prompts an early start (3:30 p.m.), Council meets tomorrow for action on proposals of the Personnel Benefits Committee (page 7) and election of 1977-78 Steering Committee members. Reports include continuation of one on the Black Presence (Parts I and II published April 26 in *Almanac*) and those of the Committees on Open Expression (*Almanac* May 3), Educational Planning and Community Relations. Steering Committee Chairman Robert Lucid will introduce his interim report

on Council's function and performance (pp. 4-5) and the Calendar Committee's study on energy and calendar adjustment (page 6).

The Committee on Facilities, not on the May agenda, presents on page 7 its report calling attention to overscheduling of classes in morning prime time and noting the need for long-term planning physical facilities.

## RESIGNATION OF MR. McGRATH

Supervisor of Detectives Harold F. McGrath resigned effective May 2, Vice-President for Operational Services Fred Shabel has announced. Chief McGrath's post in the Security and Safety Office will remain vacant pending selection of a new director as Donald C. Shultis retires May 20. Senior Vice-President Paul Gaddis expects the search committee to be completed next week.

## TRUSTEES: OPEN SESSION MAY 12

The open session of the May 12 meeting of the Executive Board of the Trustees will be held from 2 to 4 p.m. in the first floor conference room of Van Pelt Library.

On the agenda are reports on budgets for FY 1978 and 1979; admissions; Omega Psi Phi; WXPN; the Bakke case; the Committee on Open Expression report and other topics.

# Speaking Out

## SAMP DECLARATION

The University of Pennsylvania has accepted students into a four-year program of study in the Allied Health Profession. Our commitment as the Faculty of the School of Allied Medical Professions is to guarantee quality education to these students at this University. This commitment is evidenced in our four-year academic plan currently being studied by the University Administration.

The undersigned, which include the entire faculty of the School of Allied Medical Professions, wish to state publicly at this time that during the remainder of our association with the University of Pennsylvania, we will not undertake as part of our position responsibilities the function of developing the cooperative program proposed by the Administration and Trustees of this University.

Johanna Barbati	Susan Herdman
Joanne Bauman	Debbie Labovitz
Charles Benson	Ruth Leventhal
Barbara Bourbon	George Logue
Roma Brown	Brena Manoly
E. Jane Carlin	Gladys Masagatani
Josie Cohen	Mary Ann McGuckin
Mary Joan Bay	Sue Michlitz
Janet DeHoff	Carol Oatis
Nancy Ellis	Elsa Ramsden
Risa Granick	Marci Scharf
Laurie Hack	Karen Werner

## SURVEILLANCE INQUIRY

At the time of the first revelations of surveillance and espionage carried on by the Department of Security and Safety, I wrote *The Daily Pennsylvanian* concerning the unavoidable connections between these unsavory actions and freedom of political expression and dissenting opinion. It now appears that the noxious security practices ran the full gamut up to and including the use of blackmail to coerce students to act as stoolpigeons. There is reason to assume that the phones of faculty, staff and students are not inviolate against being tapped in view of the refusal of the FBI to deny tapping during its investigations on the campus.

Although the Committee on Open Expression has done a very commendable job given the circumstances, it seems that a rather crucial area has been only tangentially and superficially approached despite its importance. That area is the question of who authorized the surveillance program(s) and to whom the Chief of Security reported or with whom he consulted as regards activities under this program. The question gains urgency with each new set of disclosures since it appears highly unlikely that so extensive a surveillance program, involving payments to

students (10-80?), (via Student Aid Office?), collaboration with city police, with the FBI, with organized drug busts, etc., could be conducted without the knowledge and approval of higher authority.

The critical nature of this question cannot be side-stepped; surveillance and espionage are among the standard techniques for controlling, silencing and penalizing dissent and criticism and are completely irreconcilable with academic freedom and critical scholarship. The responsibility for the defense of academic freedom rests with the University faculty and is delegated to the President and Provost of the University as the chief academic officers.

From the record, so far it is not clear what the degree of awareness of top officers of the University may have been or whether failure to defend academic freedom occurred entirely by omission. Only a clear-cut public statement from the President of the University can clarify this question and affix direct responsibility where it belongs. Proper reparative action then becomes possible, both as regards the responsible personnel and the procedures and practices.

—Robert J. Rutman, Professor of Biochemistry

*Ed. Note:* The report of the Committee on Open Expression is on the agendas of the University Council (May 11) and the Trustees Executive Board (May 12), both to be reported in *Almanac* May 24. While the Committee continues its work on the guidelines themselves, President Meyerson indicated in his statement of April 28 (*Almanac* May 3) that he, the Provost, Vice-Provost McFate and Counsellor Reitz will respond to other implications of the report.

## KISSINGER PROTEST (II)

The following individuals submitted their names for addition to the Kissinger protest letter (*Speaking Out* May 3) before Dr. Kissinger's withdrawal because of a prior engagement:

N.G. Avadhani, assistant professor of biochemistry; Paul Bender, professor of law; Fred Block, assistant professor of sociology; Charles Bosk, assistant professor of sociology; Frixos C. Charalampous, professor of biochemistry & biophysics; Hilary Conroy, professor of history; Jean Crockett, professor of finance; Helen C. Davies, associate professor of microbiology; Robert E. Davies, Benjamin Franklin Professor of molecular biology; Adelaide M. Delluva, associate professor of biochemistry; Richard S. Dunn, professor of history; Robert H. Edelstein, associate professor of finance; S. Walter Englander, professor of biochemistry & biophysics; Joel G. Flaks,

professor of biochemistry & biophysics; Eileen S. Gersh, research associate professor of animal biology; Isidore Gersh, research professor of anatomy; Norman Glickman, associate professor of city & regional planning; Gerald A. Goldin, assistant professor of education; Daniel Halperin, professor of law; Howard Holtzer, professor of anatomy; Dorothea Jameson Hurvich, University professor of psychology; Leo M. Hurvich, professor of psychology; M. Raja Iyengar, professor of biochemistry; Julius Jahn, professor of social work; Colin Johnstone, research fellow, veterinary medicine; Roland G. Kallen, associate professor of biochemistry & biophysics; Frederick J. Kayne, assistant professor of biochemistry & biophysics; Phoebe S. Leboy, professor of biochemistry; Howard Lesnick, professor of law; Leigh Lisker, professor of linguistics; John P. Lutz, associate professor of finance; Robert Marshak, dean of the School of Veterinary Medicine; Eugene Michels, associate professor of physical therapy; Morris Mendelson, professor of finance; Basim F. Musallam, assistant professor of history; Jack Nagel, assistant professor of political science; Richard Orkand, professor of physiology; Michele Richman, assistant professor of Romance languages; Daniel Rie, assistant professor of finance; Brian M. Salzberg, assistant professor of physiology; Jan S. Smith, assistant professor of sociology; Wesley D. Smith, associate professor of classical studies; Mark Spiegel, assistant professor of law; Ralph Spritzer, professor of law; Peter Sterling, associate professor of anatomy; and Amos Vogel, professor of communications.

Note that these are faculty names only. Because of space limitations I have not included the long list of names of students and administrative staff who also asked to sign the protest letter.

—Edward S. Herman, Professor of Finance

## GAP IN BENEFITS

Despite all of the rhetoric on faculty benefits relevant to educational costs for offspring attending the University of Pennsylvania, little has been written about the inadequate and costly health benefits which have been approved for faculty.

Specifically, the University has continued to postpone consideration for pre-paid dental health benefits, despite the fact that these are now included in the Hospital of the University of Pennsylvania package, that all faculty of the Philadelphia Public Schools receive this, and that extensive review and analysis by our committees has urged its inclusion in the past (including a faculty survey which indicated its high priority, exceeding direct salary increments in many cases).

The reasons for including this benefit are

*Speaking Out* is a forum for readers' comment on University issues, conducted under the auspices of the Almanac Advisory Board: Robert L. Shayon, chairman; Herbert Callen, Charles D. Graham, Jr., Fred Karush, and Robert F. Lucid for the Faculty Senate; Paul Gay for the Librarians Assembly; Shirley Hill for the Administrative Assembly; and Virginia Hill Upright for the A-3 Assembly.



clear, but must be repeated again: while medical and hospital insurance are casualty oriented (requiring severe illness and hospitalization for receipt of benefits), dental insurance serves to preserve and maintain health. It currently costs our faculty after tax dollars to provide for their own (and their families) dental costs, with deduction from federal taxes of the amounts which exceed 3 percent only; half of the insurance premium costs are directly deductible. Inclusion of pre-paid dental health insurance in the employee benefits package would not only provide for increased services, but would assure that an increasing proportion of the costs would be out of pre-tax income. As a fringe benefit, none of the costs would be taxable to the individuals.

More than thirty million Americans now enjoy some form of pre-paid dental health insurance in recognition of this fact: it is included in collective bargaining agreements here in Philadelphia, and elsewhere. Certainly an explanation is due the faculty as to why this important benefit has been excluded from consideration for the coming academic year.

—Irwin I. Ship,

*Professor and Chairman, Oral Medicine*

**Ed. Note:** The chairman of the Personnel Benefits Committee, Dr. J. David Cummins, notes that the annual report of the committee will cover this and other topics. It is expected for publication in *Almanac* May 24.

## WXPB—A PERSONAL VIEW

The current interest in the legal status of the license to operate WXPB-FM has often strayed from the fundamental issue that is at stake. In the campus press and elsewhere, there has been a disappointing display of ignorance, aggravated by attempts to find scapegoats for the problem that confronts the University. The various attempts to pontificate or place blame show a sad lack of comprehension both of the history of WXPB and of the basic question presented by the challenge to the renewal of the license.

There has been a radio station at the University of Pennsylvania for more than 30 years. The original station was built by a group of students virtually without assistance. Homemade equipment was fashioned from World War II surplus electronic components. A jerrybuilt studio and a control room were set up by those students on the third floor of Houston Hall. The station "broadcast" to the dormitories in the quadrangle and to a number of fraternity houses. (Our high-rise dormitories were not even a dream at that time). Despite the handicaps, a dedicated group of students set up a functioning radio station, and I think it was a fine station.

It was my good fortune to inherit the opportunity to join the station when I enrolled as a freshman in 1947. The student founders, including Hal Prince, had graduated. My undergraduate years saw steady improvement in the quality of the station's physical assets, and I believe we made some advances in programming. There was a remarkable change in 1949 when the studio was professionally sound-conditioned and, happily, the first factory-built console and turntables were acquired. Funding for

improvements came through the Office of Student Affairs.

By the time my class graduated in 1951, there was a network of Ivy League stations. The primary purpose of the consortium was to sell time for national firms to advertise. Thus Ford Motor Company sponsored our classical music programs. Other firms joined in buying time, although not all of the advertising agencies seemed to grasp the situation of college radio. For example, a new perfume called "My Sin" emerged that year, and the manufacturer's agency ran a campaign to convince students to buy it as a Mother's Day present. Few announcers could read the copy without laughing.

Sports programming grew in quantity and quality. Football and basketball were done well. Among the sportscasters was Robert Levy, now president of the Atlantic City Race Course and D.R.T. Industries, Inc.—and a Trustee of the University—who soon became very proficient at this craft.

The upward trend of that period continued, and the station staff was strong enough to get its first FCC license in 1957. Planning for the FM operation was done entirely by the students, who successfully fashioned an application for a low-power FM station. In the 1960s, a successor group of students on the staff decided to seek permission for increased power. Again, the initiative and the performance of the tasks necessary to obtain FCC approval came from students. Among those active in this period was Barry Cole, who later became an assistant to the chairman of the FCC.

Many other students who worked on the staff of WXPB have gone on to careers in radio or television. A recent graduate whose star is still rapidly rising is Andrea Mitchell, the former KYW newswoman now in Washington. Other students, even though they did not pursue careers in electronic communications, value highly the experience of having participated in a significant radio enterprise.

When the current controversy emerged, the Trustees of the University and President Martin Meyerson appointed a board for policy and standards to look at the University's station and to advise on its future. The board contained a number of distinguished professionals in radio and television and a number of WXPB alumni. The board reviewed at length the history of the station. I think it fair to say that the board was impressed by the achievements over time of this student-operated station.

The only question of significance that is at stake in the present FCC proceeding is whether a University radio station operated largely by students fits within the law. Administrative Law Judge Walter Miller has said "no," claiming that there must be a structure of relatively tight control from the Trustees down. Judge Miller has wholly failed to understand that the license is held by the University as a corporation, not by 40 separate individuals who serve from time to time as trustees. His elaborate characterization of the supposed delegation from the Trustees to the staff is beside the point. So, too, is his observation that the Trustees cannot exercise much control, even if they

wanted to do so, because they are dispersed over the country and meet only three times a year.

The Trustees do have a role to play, in the radio station as in all aspects of the University, but it is not the top-down role that Judge Miller describes. Judge Miller simply has failed to understand what a university is and how it is governed.

Assuming, as I do, that the license is held by the University as a corporate entity, the question is which persons or categories of persons can exercise the licensee's responsibilities. It is not self-evident to me that this excludes substantial student participation. Historically, it has been almost entirely student action that created the situation and obtained licensing from the FCC. Prospectively, it can be largely student energy and student initiative that will be the sustaining force of WXPB-FM.

In testimony before Judge Miller, President Meyerson made an eloquent statement of the value of student action and concomitant student responsibility in such activities. The station has flourished, and some think it is still on an unhappy course in its choice of programming. The student community, albeit slowly and sometimes hesitantly, has reacted and is reacting. The restoration to the radio station of the values of the student body at this university is proceeding. New waves of students come onto the staff every year. Whether one takes a long view or a short view, the principle of student accountability to the community of fellow students, to the University, and to the larger community is both defensible and worthy of defense.

For myself, I reject the position that the radio station, as it has been run for 20 years in this university, is against the law or contrary to good sense. The University has recently employed a professional manager to provide stability and guidance in a troubled time. That may have been desirable even in earlier periods, but it does not detract much from our established traditions. It is especially sad to read columns and statements by students attacking the principle of student independence that the Trustees and the President are seeking to uphold. Even this evidence of failure by some students to understand and to support the University on this issue does not lead me to alter the fundamental premise that students at this university can carry responsibility maturely and in pursuit of high standards of performance.

—Curtis R. Reitz, *University Counsellor and Professor of Law*

## TO DANCE BUFF:

**Editor's note to the member of the University who called to praise PennSport's insert on dance and to ask about free dance courses for fall:** We misplaced your name but the program continues with Manfred Fischbeck and Brigitta Herrmann teaching two dance courses for beginners at night; eight intermediate and advanced courses at various hours; and four body lunchtime courses in body dynamics (dance exercise) open to beginners and others. Faculty and staff as well as students can sign up. **Additional note:** PennSport is the work of Herb Hartnett in Sports Information.

## The Function and Performance of University Council: A Preliminary Report

by Robert F. Lucid  
April 18, 1977

It is easy to misunderstand the character of community participation at the University of Pennsylvania, perhaps especially as it is displayed by the faculty. The truth is that despite the existence of two University-wide deliberative bodies, the University Council and the Faculty Senate, by far the greater part of faculty participation takes place on local levels.

Each school has its own, sometimes extremely elaborate committee structure, as well as its own system of faculty meetings: FAS alone lists over 200 faculty members on school committees for 1976-77, and its regular faculty meetings have been drawing over 300 members in attendance. But it isn't even on the school level that the greater part of faculty participation in institutional operation takes place. The department, the program, the graduate group are the places where most faculty members feel most qualified and most comfortable in making this contribution, and it is a rare professor who can go through a whole academic year without becoming involved in some kind of managerial responsibility outside the areas of teaching and research. This same faculty member often chooses to delegate to others those more broadly based managerial activities in the University which require faculty participation. Such delegation does not necessarily or even probably imply indifference, and a perfectly realistic interpretation of the phenomenon of faculty participation in the management of the University is that a comparative few—about 200 each year out of a pool of about 1600—take their turn at trying to do those necessary University-wide chores which most members of the faculty community agree should be done.

University-wide, the chores are for the most part attempted in the framework of either the University Council or the Faculty Senate, and the burden of the preliminary report which follows is to analyze briefly and make some recommendations concerning the functional operation of University Council.

The most modest function of University Council, as set forth in its Bylaws, is to request and receive information. Its function further is to discuss what it wishes among elected representatives of the disciplinary fields of the faculties, representatives of the faculty at large, administrative officers, and elected representatives of the undergraduate, graduate, and graduate-professional students. The specific end-product which all of this is intended to create is policy, for recommendation to the President, which may affect the educational objectives of the University. The Bylaws further tell us that the Council not only can initiate policy proposals but can also express its judgment on those submitted to it by the administrative officers of the various academic divisions of the University.

A strict examination of Council activity over the past few years would reveal that information has certainly been received from administrative officers, Council committees, the Faculty Senate and various other agencies in the community. It is also true that the several members of Council themselves, through their constituencies and otherwise, have brought information before the house, and certainly there have been extended discussions

conducted. What has troubled some observers, both in and out of Council, is the comparatively small number of concrete policy proposals emerging from these discussions and, some claim, the comparatively small effect Council opinion seems to exercise upon policy proposals from the outside which Council is asked to review. So strongly troubled was one reasonably well-informed observer that he proposed recently that the faculty withdraw from Council forthwith, transferring its policy-making energy over into the framework of the Faculty Senate.

Similar reservations have been expressed on other campuses, and Harold L. Hodgkinson, in *The Campus Senate: Experiment in Democracy*, a 1974 study of some 688 colleges and universities with deliberative bodies similar to our Council, testifies that when this kind of experiment began to become popular in the American academic community, many people predicted that it would not outlast the 1960s which spawned it. Only now, when the experiment not only here but all over the country has survived the 60s, and threatens as it were to continue as a permanent entity, do people who had expected it to die a natural death find themselves actually trying to kill it. The situation suggests that the structural principle of Council just might possess an element of vitality, and part of that vitality may reside in the really quite numerous purposes which the Council serves.

There is evidence to suggest that the function of a body like University Council is actually much broader and far-reaching than our Bylaws overtly recognize, as well as to suggest that in any case the more efficient functioning of Council in every way can be brought about simply by Council's own decision to have it so. There is also much to support the argument that the simultaneous existence of Council with such an entity as the Faculty Senate is a good thing, beneficial to both and to the University as a whole. But if Council, or for that matter the Senate, is to function with reasonable efficiency and to survive apparently inevitable proposals which will call for the extinction of one or the other, an investment must be made in self-study.

If we are to believe the experiences of our sister institutions who have conducted it, such study would reveal first of all that a primary function of University Council is to create and maintain, in the person of its membership, an informed cadre of people at the center of the community. The very existence of such a cadre, connected as its members are to every significant part of the University, meeting monthly with one another and with the President and the Provost, constitutes a resource of inestimable present and potential value. Of course the process of becoming an informed member of the group is by no means automatic, and attention to this in our self-study would be required, but as a function of Council this cadre core is something palpably real and deserving of acknowledgement in the Bylaws.

Though it is not identified as such in our Bylaws, the activity of maintaining a system of committees throughout the vital areas of the community is one of Council's most important functions. The parent body not only keeps available to itself pipelines of



information, but in turn can exercise significant influence on the operation of the University through interaction with the committees and their chairpersons. The fact that so little of this is efficiently done at present is a matter for our self-study to consider, of course, but we should not lose sight of the further fact that the operation of this committee system is a prime device for involving the community in the affairs of the University. Practically speaking, furthermore, a given committee at a given time can be and very frequently is the means by which a community problem is addressed and solved. The work of the Committee on Open Expression in the spring of 1977 is only the most recent and most obvious example of this.

Though our Bylaws do not spell it out, the Council clearly has as one of its most important functions that of a forum: a place where differing points of view can be expressed on the whole range of activities which are regularly reported upon at meetings. The presence at—not to speak of the participation in—the forums by the President, the Provost and other officers of the corporation, is a manifestly desirable way to keep these persons in touch with the heterogeneity of views resident in the community. One point of view lacks representation in this forum, and perhaps a self-study would see fit to remedy this deficiency by inviting a member of the Board to fill a Trustee's chair at each meeting of Council. This, or some other form of liaison, could bring the Council into much needed contact with the Trustees, and would extend the range of viewpoint in a highly desirable way.

Other functions of Council, short of the supplying of policy, include a kind of public affirmation of the roles of faculty and students in the matter of administrative consultation, as well as a supplying, through its University-wide composition, something like a counterweight to the points of view of the individual schools. But the tendering of advice on, if not the actual supplying of, educational policy is clearly the most important of Council's functions. It is so important that we are to be forgiven if we become impatient in our desire to formulate policy and to review the policy proposals of others, as if our failure constantly to be engaged in this activity were evidence of our inability to justify our existence. Actual policy, as contrasted with planning and operational activity, is not necessarily made very frequently, and cannot be the measure of a Council's productive activity. Still, it must be made, the process toward it is continuous, and vital to that process is the constant analysis of University operations. A self-study would surely reveal that Council should have many things brought before it for analysis which are presently not brought before it. The reason Council was unable to be useful in the matter of the School of Allied Medical Professions, for example, was that it had not been briefed or consulted with, over the whole year leading up to the SAMP phaseout recommendation, on the complexity of operations in the medical area. If there is a limit to the amount and variety of material which can come before Council, it is evident that right now we are not seeing or hearing enough.

Part of the reason for this is the way the Steering Committee operates. Though it is charged with setting the agenda for Council, its real responsibility is the design of a blueprint for a given year, the intention of which is not mechanically to provide an agenda but to guarantee the flow into Council of a certain rich mixture of material for its consideration. Steering must consciously search, both through the President and the Provost who meet with it monthly, and through its own initiative in consultation with Council committees and members, for the most appropriate materials. Self-study would, if it reflected the experience of other schools, reveal that both Council and Steering must negotiate agreements with the administrative arm concerning the kinds of issues which fall within the Council's areas of greatest influence. Only with such focus clearly identified can Steering and Council know what material to ask for and the administrative arm know what to supply for analysis and policy recommendation.

Almost certainly, Steering should begin the practice already

employed by the Senate Advisory Committee of charging its committees specifically at the start of each year, instead of relying on the general charges written into the Bylaws. Indeed, consultation with SAC regularly, to avoid wasteful overlap in assignments and also to formulate joint inquiries when appropriate, should regularly take place. So closely interrelated are the activities of Council and Senate, in fact, that the Council self-study might well be undertaken by a joint Council-Senate committee which undertook at the same time to accomplish a Senate self-study analysis.

One of the striking things about the University of Pennsylvania with regard to deliberative bodies is its attempt to maintain simultaneously two different types. The Council follows the republican model, offering an elected microcosm which cuts across constituencies and attempts to achieve community unity. The Faculty Senate, on the other hand, undertakes within a single, if huge, constituency to follow the democratic model, offering a forum for the whole standing faculty and having at least the potential for an adversary relationship with other constituencies. The limitations of each model are as obvious, no doubt, as the advantages. The Senate is unwieldy, and its actions in plenary session have no great chance of being taken by participants who have been able to study the issues or to cultivate a disinterested attitude. Very broad and fundamental issues, requiring a minimum of topical briefing, are clearly most appropriate for such a house to address. It hardly can do what Council is ideally designed to accomplish: select a small, representative core of regularly convened members, and train those members to study key issues. What the Senate can do, however, is something altogether beyond the scope of Council's powers: it provides every single member of the standing faculty who wants it with a chamber in which to be heard. If most of this faculty is content most of the time to leave that chamber to others, there is no reason to believe that the faculty as a whole would be willing to see the chamber shut down.

It has been a full seven years since we have had a study of faculty participation in University governance. The central recommendation of this report is to call for another such effort now. For what it may be worth, a further set of recommendations, which the architects of the new report might wish to consider, is offered below. Most of them are extrapolated from what has gone before.

#### *The Council should:*

1. Agree with the administration on the kinds of issues which fall within Council's greatest areas of influence. Insist on the delineation of areas of influence.
2. Establish direct connections and rapport with the Trustees.
3. Carefully restudy the cycle of succession or reconstitution of the Council.
4. Develop an apparatus for briefing and sophisticating new members on why they are there and what they are supposed to do.
5. Cement the relationship between Council committees and both Steering and Council.
6. Establish apparatus by which constituency representatives can report to and report back from constituencies.
7. Define as clearly as possible the advice-giving role of Council, and keep it alive in the minds of Council members.
8. Develop an overt policy of liaison with the Senate Advisory Committee and the Senate.
9. Establish an annual report from Council to the community, embodying recommendations for the following year's work.
10. Be sure to include in Council's area of influence most of the present "operating" and "University-wide" committees, by writing their charges into the Bylaws.
11. Contrive to acknowledge membership on Council in some appropriate institutional way: students might earn an independent study credit for a year on Council; faculty might earn some "credits" toward course relief or leave time; administrators might receive some released time.

## The University Calendar: Energy-Related Changes

The Calendar Committee has reconsidered the matters extensively explored by its predecessor in 1975-76. The charge to this year's Committee was to provide *more* information on the costs and benefits of the 1975-1976 calendar, to explore other initiatives for energy-related calendar changes and to evaluate their impact. In response to this charge, the Committee carried out a number of studies, the results of which are summarized below. Before itemizing these however, the Committee decided to make a specific recommendation of its own, to wit:

*The Calendar Committee unanimously recommends that an extended Christmas vacation for the purposes of energy conservation not be reinstituted unless major changes in calendar (semester, term or quarter) organization and/or changes in administrative scheduling are taken. Energy shortages in the future may mandate closure during the coldest months but, in that case, such reorganizations must be considered closely.*

The Committee conducted the following tasks (full documentation is appended\*):

- a) Interviews with Deans and their assistants
- b) A survey of selected undergraduates
- c) A survey of faculty
- d) A report on the results of shutdowns to save energy at other universities
- e) An updated report on actual energy savings in the 1975-76 extended period and energy conservation efforts in 1976-77
- f) An examination of the use (or possible future use) of the extended break for educational purposes such as the CGS mini-courses conducted last year

### *Summary\*\**

1) Reports from the energy office did not show the substantial savings originally projected by that office. This was due primarily to the resumption of normal operating schedules in several buildings to accommodate academic and administrative demands of the University community that had returned to campus over the extended period. (The presence of the mini-course program imposed an additional operating burden on the University during the recess period which had not been anticipated in the energy savings projection.) There is no reason to assume that most of these activities could be closed down in the future.

2) Reactions by faculty and students suggest that they are generally opposed to an extended shutdown *unless savings are substantial*. In other words, a large proportion felt inconvenienced by the longer vacation, an inconvenience not warranted unless it could be proved more worthwhile than previously. For example, the Dean of the Wharton School pointed out that changing the schedule (and lengthening the spring semester) interfered with other programs such as executive training sessions held by Wharton, which could only conveniently (in order to get attendance) be scheduled right after the end of the current semester. Summer school officials, too, indicated that pushing the end of the spring semester right up to the beginning of the first summer session appeared to affect adversely enrollment for that first summer session. Students complained that they were disadvantaged in getting jobs as a result of the late semester

\*Available for examination in the Office of the Secretary, 112 College Hall.

\*\*Reports from the Lucid Committee of last year should be consulted as they differed from this year's results. Last year's faculty survey, for example, did not show such a large group opposing the shutdown.

ending. There is no way to prove this for the undergraduates, but the Dean of the School of Social Work also mentions this as an adverse affect on her (professional) students. Certainly the extended Christmas break is too short to allow for employment for most students to compensate the summer loss. None of the other Deans interviewed were in favor of the extended break for similar reasons. Several assistants mentioned costly cash flow problems to the University in 1975-76 owing to the later receipt of spring registration-course fees. Furthermore, it appears that several administrative offices which were kept open, and offices occupied by faculty, used newly-acquired electric space heaters which were never calculated into the energy costs for the period. Faculty complained, in general, about lack of access to their offices and the library.

3) Many other universities such as Harvard, Yale, Dartmouth and Princeton which tried extended break energy conservations have decided not to repeat the experiment. A frequently cited reason was high labor cost (since employees can not be dismissed for that period).

4) It should be added that a more efficient use of heat resources while the University is *in session* can reduce energy costs as well, as proved by this year's report from the energy office. *Any measures to facilitate these efforts are strongly recommended*, i.e., controlling thermostat levels etc.

5) Whether or not a new calendar system—a quarter system for example—should be instituted depends not on energy mandates alone, but on other academic concerns which were not considered by the committee. It may be presumed, however, that if a quarter system were adopted, facilitating a long break from December through January, the same complaints would emerge from the University community in regard to ending later in the spring or starting earlier in the summer.

6) Finally, reports on mini-courses given during the 1975-76 break were favorable, but the existence of such courses runs counter to energy savings and CGS is likely to continue to experiment with them during the regular school year or the summer.

7) In sum, it appears difficult, if not impossible, to close down enough buildings to get a substantial energy savings (unless fuel costs go up drastically to change present calculations) to offset the inconvenience to the University community. It should also be noted that the period of time in January normally used by admissions and other administrative offices is difficult to move up; thus the personnel working of necessity during this period are particularly inconvenienced by shutdowns and, as one Dean's assistant put it, "during the shutdown morale was adversely affected among the office staff."

### *The University Calendar Committee 1976-1977*

Lucy E. Creevey, Urban Studies, Chairman

J. Kent Blasie, Biochemistry and Biophysics

Mitchell J. Blutt, FAS '78

R. Jean Brownlee, Political Science

Sherri L. Eisen, FAS '78

Ezra S. Krendel, Statistics

George S. Loomis, Physics

Francine McQuade, Energy Office

Barry G. Silverman, Graduate Student, Engineering



## PROPOSALS ON PERSONNEL BENEFITS

### *Proposed Resolution on Sex Discrimination*

WHEREAS equity in retirement benefits requires equality of benefits and not merely equality of contributions for male and female faculty members of equivalent standing and whereas the University's life insurance program currently provides equal benefits to both sexes while the pension plan does not,

it is RESOLVED that the University should take action to secure unisex retirement benefits for its faculty. Action should be taken on this issue as soon as the legal climate has stabilized to the degree that it is reasonably clear that the change would not be subject to judicial reversal.

### *A Proposal for Restructuring The Faculty and Staff Scholarships Program*

The Personnel Benefits Committee recommends that the faculty/staff scholarships program be restructured. The goal of the proposed changes is to control costs while maintaining the benefits of the program in enabling the University to attract and retain highly qualified faculty, administrators, and staff. Most of the changes would apply only to newly hired University personnel. None of the waiting periods would apply to senior administrators or to faculty hired with tenure. The recommended changes are as follows:

1. Administrators, faculty, and staff should be entitled to send each child to the University for a maximum of eight semesters on a tuition-free basis. The eight semesters should apply in any school of the University, including graduate and professional schools. This benefit should not be available to anyone until he or she has completed five years of employment at the University. Current administrators and faculty would continue under the present program. Current staff (A-3) would become eligible for this benefit after three years of service.

This proposal departs in a number of respects from the present system. First, faculty and administrators are currently eligible for benefits immediately, while a three-year waiting period is in effect for staff (A-3's). There is currently no maximum on the number of semesters for administrators and faculty, while A-3 children can receive benefits only for undergraduate school tuition. The proposal would create parity between faculty, administrators, and staff with regard both to waiting periods and to the maximum number of semesters and the schools of the University to which benefits apply. The five-year waiting period is designed to reduce costs. The waiting period is equal to that at Brown and less than those at Yale and Cornell.

2. The direct grant scholarship program should be revised to incorporate a five-year waiting period. Other aspects of this program should remain unchanged. The change would apply only to newly-hired employees.

3. Spouses of administrators, faculty, and support staff should become eligible for one-half tuition after a five-year waiting period. Spouses of current administrators and faculty would retain the present one-half tuition benefit with no waiting period. Current support staff (A-3) must complete the five years of service in order for their spouses to be eligible for the one-half tuition benefit.

4. Benefits for partially affiliated faculty and staff which are supported out of unrestricted funds should be subjected to a greater degree of budgetary control. The scholarships are currently utilized to provide support for graduate students who are teaching and/or research assistants. Such programs are clearly legitimate and the Committee does not believe that they should be substantially restricted. However, the departments and schools benefiting from these scholarships should be required to justify the amount of funds expended. A reasonable target with regard to cost control in this area would be to balance the unrestricted budget for partially affiliated scholarships.

5. All aspects of the program not mentioned in the preceding four points should remain unchanged.

—J. David Cummins, Chairman  
Personnel Benefits Committee

## 1976-77 Report of the Committee on Facilities

1. The Facilities Committee is represented on the University Space Committee to maintain liaison. It is therefore cognizant of certain problems affecting the use of space in University buildings.

The one point of substantial interest is that of *classroom space*. On the basis of information from the Registrar it has been determined that the number of classrooms in use MWF (Spring 1977) from 10 to 11 a.m. is 224, and the number in use T-Th (Spring 1977) from 1:30 to 3:00 p.m. is 226. These figures are approximately 50 more than for any other hours, a result which raises the question of whether schedule requirements should not be considered. It is evident that if 40-50 classes were redistributed throughout the week, as many as 20 classrooms might be saved, the equivalent of one medium-sized building. A student member of the Facilities Committee pointed out that the maldistribution of classes was not a result of student demand, since the students do not know course hours until the printed announcement is distributed. Rather, he and others felt that it was caused by faculty considerations, and in particular by the competition for most desirable hours to obtain maximum revenue credit for the department in which the specific course falls. The Facilities Committee recommends that this problem be investigated either by a separate ad hoc Council committee or by a subcommittee of the Facilities Committee in 1977-78.

2. One of the first questions to come before the Committee was that of *deferred maintenance*. This is a vital subject and except for certain administrative efforts is not pressed sufficiently. With full realization of the financial needs of the University, it still seems unwise to defer major maintenance beyond a certain point. The Committee has heard of examples ranging from proposed salvaging of a group of offices subject to water infiltration to buildings where lack of a new roof may mean very substantial extra costs later. The Committee with its predominantly-faculty membership believes that in the long run the faculty has as much at stake in this matter as does the Department of Operational Services, and recommends that proposed budget items to catch up on at least some deferred maintenance (now estimated at \$5 million) be considered in parallel and on a par with other prime demands on the University budget.

3. The Facilities Committee's *Energy Subcommittee*, which superseded an independent Energy Committee of 1975-76, considered carefully and endorsed the minimizing of temperatures in University buildings during the winter fuel shortage to the extent legal and practical. Furthermore, it devoted considerable time to methods of emphasizing to the University family the need for energy conservation.

Sundry other matters have come before this Subcommittee, but the most important one at the moment is whether it should make a

recommendation concerning operating temperatures during the coming fiscal year, when nonoccurrence of a severe cold wave may not aid in emphasizing the need. This (the preparation of rules for future years) is a matter of wide scope and needs more discussion.

4. The Facilities Committee noted that numerous pipes burst in the dormitories over weekends and during holidays because of the severe cold and of windows left open (in addition to physical repairs, 35 rugs had to be cleaned as a result of damage, and 2000 student requests were made for service in the three weeks following the break between terms). Many student complaints of wet rugs (smell) were not passed onto the Department of Operational Services. A plan to *change responsibilities* so that all service work which falls under the Operational Services Department would be sent directly to it has some merit and should be considered.

5. The Transportation and Parking Subcommittee has as one of its chief purposes the recommendation of parking rates throughout the University. For this it receives from the parking administrator a semi-detailed breakdown of proposed expenses, and an estimate of anticipated revenues. The Committee either accepts these figures or recommends changes. The Committee in the year 1975-76 was partly responsible for slightly reducing the parking rates from those originally proposed by the parking administration. It was announced that *no parking fees need be changed* during the year 1977-78 to have a balanced parking administration budget. In consequence, the Committee this year simply confirmed the proposed action of the parking administrator.

(The parking administration works in complete harmony with the Committee and the parking administrator is one of the administration members of the Facilities Committee.)

The towing away of incorrectly parked cars had produced poor public relations among visitors to the University.

The Facilities Committee has reviewed in detail some of the drawbacks, and in turn the parking administrator, fully aware of the situation, has outlined numerous attempts he has made to improve the situation. The Facilities Committee feels he is to be congratulated on his efforts and urges continuation.

The Facilities Committee was asked to consider one aspect of University parking, with the result that it adopted a resolution recommending that all *University facilities used for parking by any of the University family should come under the purview of the parking administrator*. The general reason was simple fairness to all; the immediate reason was to facilitate certain proposed actions of the parking administration.

6. The Facilities Committee was caught by surprise in learning that there was no group or committee other than the administration officers to plan ahead for major facilities.

The question arose when four desirable properties seemed likely to come on the market at one time: the office building on the northeast corner of 36th & Walnut Streets, the lots along Walnut Street available to the University through the Redevelopment Authority, the former Episcopal Seminary, and such part of the Philadelphia General Hospital grounds as might be released by the city. It is felt that somewhere in the University there should be a forward-looking committee to have immediate knowledge and some of the answers to the problems posed by such a situation. Although the Committee recognized the good results obtained in securing indirect control of the office building, and in getting permission to make the lot on the north side of Walnut Street between 36th and 37th Streets a parking lot, and notes consideration of the possibility of faculty housing on the northwest corner of 34th and Walnut Streets, nevertheless—with the exception of the office building—these seem to be quick decisions which in this case are fortunate but might not be so in the future. It is suggested that consideration be given to the creation of a Planning Committee for Future Physical Plant.

7. The LAMP (Landscape Architecture Master Plan) project and the parking survey being carried out by the Department of

Operational Services and the Parking Subcommittee were brought to the attention of the Committee. The former, based on extensive data from Operating Services, has proceeded to so nearly complete a state that the Facilities Committee could contribute nothing to the formulation of it. It will, however, if completely realized, strongly alter the landscaping of the entire University.

8. The scope of the Facilities Committee is not appreciated by most faculty members and in particular by committees of the Council. An example is the planning of faculty housing by a subcommittee of a Council committee—a worthwhile activity with which the Facilities Committee would not care to interfere unless to be represented by a single representative.

The Facilities Committee urges that its scope and intent be considered by the chairmen of other Council committees. In particular, although the Facilities Committee has no wish to take over some of this worthwhile planning, it does appeal to be kept informed.

9. The Implementation Committee for the development of faculty housing at 34th & Walnut Streets (northwest corner) has representatives from the Facilities Committee, and this item is well within the review required of the Committee by its statement of scope.

10. The closing of certain buildings on campus in order to save air-conditioning costs through the summer has not been efficient. We are informed that Harvard requires all students to vacate their rooms at a certain date. The Committee recommends that the University require all residents in certain big dormitories to vacate with the understanding that if it is necessary to stay over the summer they may use rooms in the one large dormitory which would be kept open. Under this plan it might be possible to close two of the high-rise dormitories and possibly some of the smaller ones. If no University body undertakes to appoint a committee to investigate the situation, the Facilities Committee will do so in 1977-78. (Mr. Shabel, the vice-president for Operational Services, is quite cognizant of this possibility.)

11. A new scope or charge to the University Council Committee on Facilities, revising the previous scope, was adopted in 1976-77. It provides that "The University Facilities Committee should be responsible for keeping under review the planning and operation by the University of its physical plant and all services associated therewith, including transportation and parking." There is also provision for correlation with the work of the Space Committee. Taken literally, this is a very big job. The Committee has done its best to keep abreast of activities, to offer fresh viewpoints, to discuss certain basic problems, and otherwise to do what it can within the limits of monthly meetings and the already heavy loads of faculty members.

It has a separate Subcommittee on Transportation and Parking, another Subcommittee on Energy, and could use several more subcommittees.

\* \* \*

Mr. Shabel, vice-president for Operational Services, and his entire staff have been extremely cooperative. We take this occasion to acknowledge a cordial intimacy with the various parts of the Department of Operational Services.

*John G. Brainerd, Chairman*

*The members of the Committee, not all of whom had the opportunity to endorse this report, are:*

*W.D. Bonner  
S. Cohen  
R. Edwards  
L. Eisenberg  
J. Lepore  
S. Lynch*

*I. McHarg  
S. Murray  
S. Rood-Ojalvo  
F. Shabel  
R. van der Horst  
D. van Zanten*



*An Ad Hoc Subcommittee of the Council Committee on Research describes the indirect cost process. Following this report is another view, by Vice-Provost Donald N. Langenberg, page 11.*

## A Descriptive Report on Indirect Cost Recovery for Research at the University of Pennsylvania

### INTRODUCTION

The University in common with other institutions of higher learning engages in research through the activities of its faculty and research staff. To the direct external support of research in the form of grants, etc., for salaries, equipment, supplies, etc., must be added less obvious ones of building maintenance, building use, library activities, research administration, general administration and school or departmental administration. Funding agencies have long agreed to supply these indirect costs to compensate the University for its contribution to research efforts in these less obvious but necessary areas.

The University adds an indirect cost to grants and contracts received by its faculty to cover the expenses of providing support services and facilities for this research. This indirect cost is in the form of a percentage of the total direct sum of research support but it is derived by calculations and estimates extracted from the University's known expenses. This article is written to provide the faculty with an analysis and explanation of how the amount of indirect cost of research is determined and what happens to it.

In order to determine indirect costs it is first necessary to know how much each of the several University support functions is contributing to the research effort. This is done by determining first the total cost of each function and then by estimating what fraction of this amount is providing a service to the research effort.

Each of the research services is designated as an Indirect Cost Center and the amount of money needed to cover its services for research can be designated for each of these centers. Some of these centers are obvious, such as Physical Plant, Libraries and Research Administration. Others are less obvious, such as use charges for facilities, or that portion of the administrative cost of the central offices and schools or departments which indirectly provides support of research.

What follows is a center by center analysis without evaluative judgments, of each of the various activities of the University which lend support to the collective research efforts of the University faculty.

#### *Indirect Cost Centers Research Costs*

1. Maintenance and Operation of the physical plant requires about \$18 million per year. This includes salaries, heating and all other expenses associated with the operation of the physical plant. Research taking place in the buildings of the University is estimated by a square footage analysis made for each building by the Facilities Development Department. Based on this analysis, 17

percent of the physical plant of the University is devoted to research. This translates into a sum of \$3 million which the research component of the University requires for its portion of the physical plant.

2. An additional indirect cost assignable to research consists of the use charge for the buildings and equipment. By agreement with the Federal Government a blanket formula is used. For buildings, 2 percent per year of the original cost of the buildings is allowed as use charge and for equipment 6-2/3 percent. On the basis of square footage, the research activities are responsible for 17 percent of this use charge. This totals for both buildings and equipment, \$1 million.

3. Library expense from such sources as maintenance, books, salaries, etc., is \$7 million. A survey of library use made in 1973 indicated that research was involved in 16 percent of the use of library facilities, while the remainder was used for non-research purposes. Thus a sum of approximately \$1 million is the cost of research activities assumed by the libraries.

4. Research Administration. The central administration of the University includes several departments which are engaged either fully or mainly in research-related activities. These include the Office of Research Administration, University Studies, Provosts Office, Vice-President for Health Affairs Office, Financial Planning, Tri-Institutional Medical Center, Radiation Safety, Purchasing and Personnel. The elements of personnel and purchasing which are included here are those which are involved with special or out-of-the-ordinary research-related activities. Collectively these offices have a total cost of \$0.63 million, 100 percent of which is regarded as a component of the indirect cost of research.

5. The remainder of the central administration's costs are clearly not in the same category since a lesser portion of these costs can be identified as supporting research. Such activities would include: payroll, routine functions of purchasing and personnel, premiums on insurance policies, legal and accounting fees. Since the central office deals with other activities than research, a percentage is required which will identify that proportion of central office costs which are assignable to research. This can be obtained by comparing the magnitudes of direct research costs (\$43 million) and direct University costs in four categories, (\$122 million). These four categories, also called cost objectives, are: instruction, research, organized activities and auxiliary enterprises. The percentage is 35 percent, and this is the figure which is used to determine the cost of the research-related activities of the central administration's total of \$16.3 million. The

indirect costs of research support from Central office administration is therefore \$5.7 million.

6. Schools and Departments of the University also have administrative costs which are supportive of research. The Federal government has indicated that it will share the indirect costs of only those departments and schools which engage in both instruction and research. To determine this, a survey was conducted to determine what percentage of time was spent by professors, associate professors and assistant professors in school or department administration. In addition the Deans offices were considered to spend 100 percent time in administration. The total cost of administration in the schools and departments determined by this survey was \$12.6 million (75-80 percent of which was for A-2 salaries and fringe benefits). To determine what fraction of these costs were contributing to research support, the total cost of instruction only for those departments engaged in research, \$40 million, was compared to the total direct cost of research, \$43 million. The sum of these two figures is \$83 million and the total direct cost research represents 51.6 percent of this. Thus \$6.5 million is the cost of school and department administration which deals with research.

*Research Component of Indirect Cost Centers (in millions)*

1. Physical plant maintenance	\$ 3.39
2. Building and equipment use charge	1.32
3. Library	1.12
4. Research administration	0.63
5. Central administration	5.74
6. School and department administration	6.50
	<u>\$18.70</u>

*The Roll-Forward*

In summary, the indirect cost of research having a total direct cost of \$43 million is \$18.7 million more in order for research activities to fully pay their own way. Actually all \$43 million cannot be used in subsequent calculations—we must subtract the sum of those subcontracts which were greater than \$50,000, thus leaving a total of \$41.5 million as the total direct cost of research.

## EFFECTIVE DATE OF SALARY INCREASES

New salary schedules and general increases for monthly salaried personnel and weekly paid personnel outside of collective bargaining units become effective at the beginning of the 1977-78 fiscal year.

Salary increases for personnel paid on a weekly basis are effective Monday, July 4, 1977, which begins the first weekly pay period in the new fiscal year. Increases will be reflected in pay checks issued July 14, 1977.

Salary increases for personnel paid on a monthly basis are effective July 1, 1977, and will be reflected in pay checks issued July 29, 1977.

Newly appointed personnel placed on the University Payroll with effective dates prior to May 1, 1977, will be eligible for the general salary increases occurring in July, 1977. New employees placed on the University Payroll with effective starting dates on or after May 1, 1977, will not be eligible to receive the general increases scheduled for July, 1977.

The Personnel Office will adjust the starting salaries of those employees appointed to the payroll after May 1, 1977 to reflect the appropriate standard increase.

We believe that the above will aid us in maintaining salary equity across the University.

If there are any questions about this schedule for salary increases for employees, please call Ms. Odessa McClain, Manager, Personnel Relations, on Ext. 7284.

—George W. Budd  
Director of Personnel and Labor Relations

\$18.7 is 45 percent of 41.5 and this would be the indirect cost rate except for a complication deriving from two sources. First the cost of salaries, employee benefits for those involved in indirect costs, or the cost of fuel may rise abruptly in any year due to inflation. Second, research support is applied for a few years before it actually is funded and therefore estimates of the indirect costs may be inaccurate. When this occurs, and it has in the past, the amount of indirect cost recovered from the granting agencies may be too low. This requires an adjustment or "roll-forward" to obtain the missing funds in subsequent years. This adds yet an additional amount to the indirect costs just to compensate for the deficiency. In 1976 this compensation was \$2.5 million, giving a total indirect cost of just over \$21 million. This raises the percentage represented by indirect costs to about 51 percent.

The roll-forward imposes a burden on the University by requiring it to raise the money for the difference between the approved indirect costs and actual indirect costs. Individual investigators are not assessed the difference from their direct funds; it is paid for by the University and it is returned to the University over several years. This requires either borrowing the money and paying interest or transferring it from a source which has been providing additional income.

*The Distribution of Indirect Research Costs*

What becomes of these indirect cost funds? It has already been pointed out that the \$21 million recovered for indirect costs are computed from formulas which are based on costs of the various University facilities.

A helpful way to understand what happens to this sum is to consider the 51 percent as \$51 for each \$100 of direct research support. Of this sum, \$6 is needed for the roll-forward. Library uses \$2.7 and building use charges \$2.3. These "off-the-top" expenses reduce the \$45 to \$40. It has been said that this remaining portion of the indirect costs is returned to the schools. This is true but it is also misleading because at the same time the schools must pay for their portions of the indirect cost discussed previously. In effect, the costs are distributed to each school to allow them to cover operation and maintenance, central office and research administration incurred in connection with the schools' programs. \$23.5 of the \$40 (maintenance and operation \$8.2, central administration \$13.8, and research administration \$1.5) is used by the school to defray indirect charges made to their programs. These expenses are not under the control of the schools, and cannot be altered by them.

The major portion of the indirect cost recovered by schools that does not have a direct offset is the departmental expense component (\$15.6). It is this amount that the schools receive in the true sense of that word for their own research administrative costs. The distinction here is the fact that those schools which conduct research receive a portion of the indirect costs specifically for the purpose of compensating research-related administrative activities.

*How The Schools Are Compensated*

The indirect cost recovery received by the individual schools and departments for their administrative costs of research is determined on a monthly basis from the direct research support shown in their budgets. Although the dollar amounts which will be received in 1979 were negotiated in 1976, the schools will be getting 1979 dollars based on their direct costs in 1979. This is not true of the roll-forward and these dollars, because of inflation, will buy less than they did in 1976. Annual increase in the University's total direct research support is at present the only relief for the reduced buying power of the recovered roll-forward indirect costs.

The percentage charged as indirect cost has been thought of as a barrier to obtaining research grants. Whether or not this is true, reduction of the indirect cost of 45 percent (without the roll-forward) can only be accomplished if the University's total direct research costs go up sufficiently to lower this figure. Reductions in



indirect costs will only result in a lesser recovery of funds for that purpose.

Individual schools can receive a net gain in indirect cost recovery if their budgets each year have sufficiently increased direct research support. This increment must be great enough to exceed the built-in increases in direct costs due to inflation and assumed growth. The direct cost base on which departmental administrative costs are figured monthly will allow such a school to recover for itself a higher proportion of the indirect costs than was allowed for several years earlier. By way of contrast, a school with declining direct research costs over those same years will receive a smaller proportion of indirect costs than had been planned.

To determine whether a school is gaining or losing from its indirect cost recovery, a comparison should be made of the direct costs of research at that school on a yearly basis. If the direct costs rose by a greater percentage than did the University's direct costs for those years, then the school has gained from its indirect cost recovery.

#### *Relationship Between Direct and Indirect Costs*

An analysis of the total University direct costs of research since 1972 shows an increase of from \$30.6 million in 1972 to \$41.5 million in 1976. There has been a \$10.9 million gain in direct

research funds over the past five years. The trend is linear and justifies expressing the increase as an average yearly gain of \$2.2 million.

Indirect costs without the roll-forward also show a linear trend, rising from \$11.5 million to \$18.7 million—an average of \$1.4 million per year. However, the slope for direct costs is steeper than that for indirect costs. This indicates that indirect costs (without the roll-forward) are not increasing as fast as direct costs. This is what would be expected since indirect costs must be relatively more fixed than direct costs. One of the problems with indirect costs therefore is the roll-forward. This is borne out in the above analysis which shows indirect costs including the roll-forward to be increasing at a rate comparable to that of direct costs. This fact and the inflation effect on roll-forward dollars contribute to the financial problem faced by the University. Attention is directed to this aspect of the indirect cost recovery by the University.

The Subcommittee wishes to thank the Comptrollers Office for help in compiling this report.

#### *Subcommittee on Indirect Costs of the Committee on Research*

*Shiv Gupta, Chairman  
Nicholas Kefalides*

*Peter McCleary  
Howard Myers*

## **An Academic Research Administrator's View of Indirect Cost**

*by Donald N. Langenberg*

In the report above, the Subcommittee on Indirect Cost of the Committee on Research presents an analysis of the computation and distribution of indirect costs for research in this University. I thought it useful to accompany this report with some general comments about research-related indirect costs from the point of view of an academic research administrator.

All major research universities like the University of Pennsylvania have two intimately related principal functions, the preservation and communication of existing knowledge (instruction), and the creation of new knowledge (research and scholarship). The performance of each of these functions generates both benefits and costs. Some of these costs are direct in the sense that they can easily be associated with a specific activity, e.g., the salary of a faculty member who teaches a specific course (instructional direct cost) or who is engaged in a specific research project (research direct cost). Others cannot easily be so associated and are therefore termed "indirect costs." The costs of the general infrastructure of facilities and services with which a university supports the instructional and research activities of its faculty are usually classified as indirect costs. This classification of costs as direct or indirect is common to all institutions, academic or other. Both types of costs are real. A failure to cover them from some source of income results in the bankruptcy and demise of the institution.

Much of the misunderstanding and confusion which surrounds indirect costs in a research university results from the desirable (indeed, essential) intertwining of the dual functions of instruction and research, and from the university's multiple sources of income which together must cover the costs of these functions. The multiple sources of income correspond to multiple clientele groups, each with its own view of the benefits it expects from the university and the consequent cost to it. Each clientele group of

course tries to maximize the benefit it receives and to minimize the cost it pays, the latter often by urging that its cost burden be shifted to some other clientele. A university administration must try to distribute costs among its clienteles as equitably as possible while assuring that the total costs are covered by the total income.

Now consider the direct and indirect costs incurred in the performance of the research function of a university. What income from which clientele group should and/or does cover these costs? If a particular group wishes to support only research and not instruction, how can the costs of the two functions be disentangled in response to this wish? Let me consider these two basic questions in order.

Since society as a whole is a principal beneficiary of the research done in universities, several types of institutions acting on behalf of society provide financial support for research. These include the federal and some state governments, private foundations and donors, and the universities themselves. Governmental and foundation sponsors quite naturally tend to focus on direct research costs. The sponsor reviews and perhaps funds a proposal for a specific research program which includes a budget listing specific direct costs, e.g., salary for a principal investigator or associated staff, equipment, supplies, etc. The connection between these direct costs and the benefits expected from the research program is generally clear to both the proposer and to the sponsor's program officers. However, the connection between the expected benefits and the cryptic budget notation specifying the indirect component of the research cost is all too often clear to neither the proposer nor the sponsor's program officers. Therein lies the source of endless misunderstanding and suspicion on both sides. At the administrative or policy level, the federal government at least does recognize the reality of indirect costs and provides for recovery of most (but not all) of the indirect costs associated with

the academic research it supports. Other sponsors are less fair. Foundations, for example, often provide only a token contribution toward indirect cost, on a take it or leave it basis.

Both sponsors and performers (faculty) of academic research constantly pressure university administrations to reduce or forgo recovery of research-related indirect costs. This pressure is often accompanied by claims that such costs are not real anyway. Nothing could be further from the truth. Or, if the reality of indirect costs is acknowledged, it is asserted that the university ought itself to make some contribution in support of the research (after all, isn't that what universities are for?) and therefore should absorb the indirect cost. This is perhaps a good place to examine the extent to which this University does in fact provide financial support for research and scholarship.

The largest component of the University's support is of course in the salaries it pays its faculty, all of whom are expected to maintain a continuing and substantial commitment to research and scholarship. That portion of those salaries which is associated with research and scholarship and is not recovered from external sponsors constitutes a University contribution to the support of research and scholarship. It is difficult to determine this contribution quantitatively with any precision, but I believe \$10 million to \$12 million annually is a reasonable estimate. There are indirect costs associated with these salaries, perhaps another \$5 million. We frequently elect to accept support from external sources such as foundations at less than the full indirect cost rate, and we consequently must pay the unrecovered indirect costs from other University funds. This unrecovered indirect cost amounts to \$2 million to \$3 million annually. We see that the University's philosophical commitment to research and scholarship is backed by an annual hard cash commitment of the order of \$20 million! The income to cover this commitment comes not from external research sponsors, but from such sources as endowment, gifts, and tuition. This may be compared with the research support which does come from external sponsors, about \$50 million, perhaps 90 percent of which comes from the federal government. It is evident that the University is in fact a paying partner in the research enterprise.

We return now to the basic problem of distinguishing between research-related and other indirect costs. Our own procedures for doing this have been described at some length in the accompanying report of the Subcommittee on Indirect Cost of the Committee on Research, and I do not wish to duplicate that discussion. I will only comment that the task is nontrivial, because the marriage of instruction and research which we all try so hard to achieve and which is the cornerstone of the success of the American research university makes the component costs difficult to separate and identify. Judgment and common sense are required. But there is very little that is arbitrary about the process, and it is carried out under the critical eyes of auditors and federal negotiators on the one hand and faculty representatives such as the Research Committee on the other.

With the foregoing as background, I would like to devote a few lines to some of the most common allegations and questions about indirect costs. These come with monotonous regularity from faculty, from sponsoring agency officials, and, recently, from the halls of Congress.

1. *"The availability of federal research support funds, including funds to cover indirect costs, has encouraged uncontrolled expansion of indirect costs in universities."* There are two responses to this. First, almost all of the indirect administrative and service functions of a research university serve both research and instruction. While part of the associated research-related indirect costs are indeed covered by external sponsors, the remainder plus all of the instruction-related indirect costs must be covered from other university income. It is hardly in a university's best interests to allow uncontrolled expansion of its indirect costs, since it must pay the bulk of them itself from other than sponsored

research income. Second, it is true that university indirect cost rates have generally increased markedly during the past few years. There are many reasons for this. An obvious one is the multifold increase in energy costs. Another is increases in salaries and equipment and library costs at a rate exceeding the general inflation rate, while increases in federal research funding have failed to keep pace with inflation. Still another is the sharply increasing administrative burden imposed by federal regulations of all sorts. And last, but not least, is the growing concern of universities with their own financial survival, which has led them to identify and attempt to recover indirect research costs which were often simply swept under the rug during the fat sixties. The resulting indirect cost rates in private research universities, which are unable to pass on some indirect costs to their state governments, currently run around 50 percent of the direct costs. It is useful to note that industrial laboratory indirect cost rates often exceed 100 percent.

2. *"University indirect cost rates are arbitrarily set at whatever the market will bear in order to maximize the 'profit' to the universities. The universities are ripping off the sponsors in order to buy their presidents bigger limousines, etc., etc., etc."* To reiterate what I said above, the process of establishing a university indirect cost rate is complex, hardly arbitrary, and certainly not unilateral; the principal client, the federal government, plays a very active and critical role in the process. The recovered indirect cost income is not a profit, is not freely disposable general university income, and is not general institutional support. It goes to cover indirect costs generated by the performance of research. And on the average, research sponsors do not reimburse the full indirect costs associated with the research they sponsor, but kindly allow the universities (i.e., donors, tuition-paying parents, etc.) to pick up part of the tab.

3. *"The indirect cost charge is just a way of siphoning funds from research grants, thereby depriving hard working and deserving faculty of desperately needed research funds, in order to buy the president a bigger limousine, etc., etc., etc."* Nonsense! See above.

4. *"It is outrageous to impose such a huge indirect cost rate on my research grant, when all I do is sit in my office (which, by the way, is far too small) and think."* It is certainly true that some researchers draw more heavily than others on the services which generate research-related indirect costs. But indirect cost rates tailored to individual projects or groups of similar projects are simply not administratively feasible and furthermore are not permitted by federal policy. Remember, we charge our students the same tuition, whether or not they attend class and use the library, whatever grades they get.

5. *"I've talked to my program officer in Washington and he agrees our indirect cost rate is ridiculous. I think I'll write my Congressman about it."* I hope my faculty colleagues will not take umbrage if I say that the average sponsoring agency program officer (who probably is or once was a working scientist, not a university research administrator) and the average Congressman have about the same level of understanding of indirect costs in a research university as the average faculty member, namely nil. I heard recently that the current upsurge of congressional interest in university indirect cost rates is in fact partly due to complaints from academic constituents. We all of course enjoy the right to vent our spleens to our program officers and congressmen, but if congressional or, more generally, Washington concern should lead to even greater uninformed pressure to reduce university indirect cost recovery, the already precarious financial state of the research universities is likely to worsen catastrophically. And, if I may add a personal note, so will the paranoia of university research administrators, who already feel themselves to be in the position of a citizen whose family suggests to the IRS that his tax return be audited and then stands by cheering the auditor.



## GRANT DEADLINES

### National Endowment for the Humanities

July 1 Applications for participation in 1978 Summer Seminars for College Teachers. Contact Marjorie A. Berlincourt, Division of Fellowships, NEH. Tel.: (202) 382-7114. 1977 Seminar Brochure and Proposal Guidelines for 1978 are available in ORA.

### National Institutes of Health

July 1 Receipt date at NIH for new and supplemental research project grant applications.

Research Grant Applications in Pharmacology are being sought by the National Institute on Aging. Contact Dr. Sara A. Gardner, Rm. 919 Westwood Bldg., NIGMS, NIH, Bethesda, Md. 20014. Tel.: (301) 496-7181.

The National Institute of Arthritis, Metabolism and Digestive Diseases plans to extend its request for applications for Diabetes Research and Training Centers. Applications must be submitted prior to 1 October, 1977. Contact Diabetes Program Director, NIAMDD, NIH, Bethesda Md. 20014. Tel.: (301) 496-7418. Letter of Intent due 1 July, 1977.

The NIAMDD plans to extend its request for applications for Multipurpose Arthritis Centers to 1 Oct., 1977. Letter of Intent is due by 1 July, 1977. Contact Arthritis Program Director, Tel.: (301) 496-7241.

The Periodontal Diseases Program Branch of NIDR is expanding its research program in the area of microbial studies of periodontal diseases. Contact Dr. Samuel Kalahashi or Dr. Paul Parakkal, Tel.: (301) 496-7784.

The Division of Heart and Vascular Diseases is accepting applications for Institutional National Research Service Awards for research training under the Minority Hypertension Development Summer Program. Guidelines may be obtained from Dr. George A. Hayden at (301) 496-1846.

Research in Mental Health and Aging. Applicants are urged to submit preliminary proposals prior to preparation of formal proposals. Contact Dr. Barry D. Lebowitz, Center for Studies of the Mental Health of the Aging, 5600 Fisher Lane, Rockville, Md. 20857. Tel.: (301) 443-3726.

### Guidelines

The Office of Research Administration has received a copy of the National Cancer Institutes' guidelines for investigators who plan to apply for support for multifaceted or multidisciplinary studies concerned with cancer.

The Office of Research Administration has received a copy of the *NIH Public Advisory Groups* publication dated July 1, 1976. It lists the authority, structure, functions and membership of the public advisory committees; available for reference in ORA.

### National Science Foundation

July 1 Joint U.S.-Australian Seminars and Workshops to be held between April 1 and September 30, 1978. Guidelines for joint research activity are available from the Division of International Programs, Tel.: (202) 632-5608.

Earth Sciences Proposals in Geochemistry, Geology, and Geophysics. For information contact Dr. Norman Watkins, Division of Earth Sciences, Tel.: (202) 632-4274.

U.S.-Israel Binational Science Foundation. "Guidelines for Recipients" pamphlet available in ORA or call Manfred Czesla, Tel.: (202) 632-5796.

Research Proposals in the Earth Sciences. Geochemistry Program: contact Allan M. Gaines, Tel.: (202) 632-4213. Geology Program: contact John Lance, Tel.: (202) 632-4218. Geophysics Program: contact Roy Hanson, Tel.: (202) 632-4219.

Additional information is available from the Office of Research Administration, 409 Franklin Building/16, Ext. 7295.

—Alton E. Paddock

## SENATE BACKGROUND DOCUMENT

*At the April 27 meeting of the Faculty Senate, the following compilation of Senate actions on tenure was distributed for study alongside the Draft Revision of Basic Documents on Academic Governance published in an Almanac Supplement April 19. One page 15 is a set of editorial changes in the Basic documents also distributed at the April 27 meeting.*

## Resolutions on Tenure Passed by the Faculty Senate in 1973-74

1. Except for temporary adaptations to extraordinary circumstances, the tenured faculty should not be less than 60 percent of the total faculty. (Faculty here means all persons holding tenure at the University, as well as all those serving in a probationary period for tenure.)

(passed April 25, 1973)

2. With the exception stated below the probationary period for tenure should be a maximum of seven years in the case of a full-time faculty member initially appointed as Instructor, Associate, or Assistant Professor, provided that at the time of appointment a terminal professional degree (normally the Ph.D.) is held.

(passed April 25, 1973)

3. Service as Instructor or Associate without a terminal professional degree (normally the Ph.D.) should not be counted as part of the probationary period for tenure. However, the probationary period for such persons should begin automatically at the beginning of the academic year following that in which the terminal degree is awarded. It is not intended that this policy should be applied retroactively upon adoption.

(passed October 30, 1974)

4a. The probationary period for tenure shall be a maximum of ten years for faculty members having very substantial clinical duties in the schools of Medicine, Veterinary Medicine and Dental Medicine, who were initially appointed as Instructors, Associates, or Assistant Professors. The determination as to whether a particular individual is eligible for the ten-year probationary period shall be made as follows:

Individuals holding the ranks of Instructor, Associate, or Assistant Professor and in tenure-probationary status in clinical departments on June 30, 1974 may elect in writing within six months after the effective date of this rule to have their tenure-probationary period extended from seven to ten years if they so desire and if their department chairman certifies in writing that they have very substantial clinical duties. This change to a ten-year probationary period is not reversible.

In the case of individuals appointed as Instructors, Associates, or Assistant Professors in clinical departments after June 30, 1974:

i) Each new appointee and his department chairman shall determine by mutual agreement at the time of appointment whether a seven-year or ten-year probationary period is to apply, depending on the extent of the clinical duties to be performed; and this shall be recorded in the letter of appointment.

ii) At the time of the first reappointment occurring after the completion of the first two years of service, any individual initially appointed at one of the above listed ranks may request to shift from a seven- to a ten-year probationary period (or from a ten- to a seven-year probationary period) if his current and prospective duties involve a significantly different emphasis on clinical responsibilities from that initially anticipated. Such a shift must be requested in writing and shall require the approval of the department chairman and the Dean. It may occur only once—at the time of the first reappointment.

The preceding provisions may be extended to an individual in a nonclinical department in the School of Medicine, Veterinary Medicine or Dental Medicine who nevertheless has very substantial clinical responsibilities. This shall require certification by both the department chairman and the Dean that the magnitude of such responsibilities in the case of that

individual is sufficiently unusual to warrant such an extension.

*(Senate passed October 30, 1973)  
(Council passed November 14, 1973)*

4b. Promotion to the rank of Associate Professor without tenure is permitted for faculty members who are in a ten-year probationary period, but their maximum total service in that rank without tenure must not exceed five years.

*(Senate passed November 28, 1973)  
(Council passed November 14, 1973)*

5. A tenured position vacated by retirement, resignation or death should be filled by the person whose scholarly qualifications will best serve the long-term interests of the department and school concerned. In making such a determination, some consideration should be given to maintaining a reasonable faculty age profile.

*(passed April 25, 1973)*

6. Appointees from outside the University to Associate Professor without tenure, if they have had no previous full-time academic experience, may be continued in this rank for seven years (including renewal of original contract). Eligibility for the seven-year probationary period must be mutually agreed to in writing by the appointee and the appropriate Dean at the time of the original appointment. In the absence of such agreement, or if the appointee has had previous full-time academic experience, service without tenure continues to be limited to a maximum of five years.

*(passed November 28, 1973)*

7. In the case of an appointment that takes effect after October 1 of an academic school year, and on or before October 1 of the following academic year, the tenure probationary period begins on the intervening July 1.

*(passed November 28, 1973)*

8. Effective June 30, 1974, tenure shall be acquired only by individuals holding the ranks of Professor or Associate Professor by an explicit grant of tenure after appropriate investigation of qualifications at the departmental, school and central administration levels, except as provided in this section.

a. Each department shall make a recommendation for or against a grant of tenure for each of its faculty members in tenure-probationary status well in advance of the end of the probationary period. This recommendation shall be based on a review of the qualifications of the faculty member and an assessment of departmental needs. The review shall be in conformity with the procedures stated in recommendations 1-3 of the ad hoc Committee on Faculty Appointment and Promotion Policies and Procedures, as amended and adopted by the University Council on February 14, 1973, and published in the *Almanac* for February 20, 1973.

On the basis of this departmental recommendation, the school shall recommend to the Provost either tenure or termination with appropriate notice. All required action at higher administrative levels (other than Trustee approval) shall be completed at least 12 months before the end of the probationary period; and if tenure is not granted, notice of termination shall be given at that time.

A faculty member who does not receive the tenure review prescribed above has grounds for grievance, but does not automatically acquire tenure so long as he has been notified by the Provost 12 months before the end of his probationary period that tenure has been denied.

b. A faculty member, if not earlier notified by the Provost that tenure has been denied, shall automatically acquire tenure at the end of the penultimate year of his tenure-probationary period or at the end of any subsequent year of service in a tenure-accruing position up to and including the first year beyond his tenure-probationary; provided

i) He has been notified in writing by the Personnel Office not later than October 1 of that academic year that he is due for mandatory tenure review, or

ii) He has notified the Dean of his school and the Provost in writing not later than November 1 of that academic year that he is due for mandatory tenure review.

c. A faculty member, if not earlier notified by the Provost that tenure has been denied, shall automatically acquire tenure at the end of two years of service in a tenure-accruing position beyond the tenure-probationary period.

d. For purposes of this section, the academic year shall be deemed to end on June 30.

*(passed April 17, 1974)*

9. After the effective date of this change in the tenure rules, only individuals with a terminal professional degree or other appropriate professional certification may be appointed as Instructors or Associates. Such appointments must be approved by the Provost.

*(passed April 17, 1974)*

10a. For a faculty member without an appropriate terminal degree (as defined by his school), full time service in the rank of Lecturer shall be limited to three years. However, any school by vote of its faculty may authorize the suspension of this rule in a specified department for a specified renewable period not to exceed five years.

b. During the period in which the rule is suspended, such a faculty member may be retained beyond the third year if the Personnel (Appointments and Promotions) Committee of the school determines that (i) the individual's competence and performance are of an acceptable quality; (ii) the need for his services is a continuing one and (iii) it is in the University's best interests to continue to obtain these services by an appointment of a Lecturer rather than by an appointment at some other rank. A faculty member so retained shall be offered a 3-year contract.

c. Upon the termination of this contract, the person may be retained with the approval of the Dean and Provost if the rule is still under suspension and if the Personnel Committee determines that conditions (i), (ii) and (iii) continue to be met. The individual so retained shall be guaranteed continuity of employment so long as his competence and performance are of an acceptable quality and the need for his services is a continuing one.

d. If it is subsequently desired to terminate an individual whose continuity of employment is thus guaranteed, his department must specify which of the conditions (i) and/or (ii) is no longer met. If the individual believes that the condition specified continues to be met, he may file a grievance with the Grievance Commission or he may request a determination by the Personnel Committee, which shall be binding upon the department.

e. In all cases where termination occurs after two or more years of continuous employment, the Lecturer shall be entitled to twelve months' notice.

*(passed October 30, 1974)*

11. Ranks that are by present University regulations excluded from eligibility for tenure (e.g. Lecturer, Visiting Professor, Visiting Associate Professor and Visiting Assistant Professor) should not be given to full time faculty members holding a terminal professional degree and continuously engaged over an extended period in the same academic activities as faculty members having tenure or serving in a probationary period for tenure. Therefore:

a. Except in the case of individuals presently employed full time as Lecturer, the rank of Lecturer may not be held full time for a continuous period longer than three years by persons with a terminal professional degree. If after the effective date of this rule an individual serves one year or more full time as Lecturer after receiving his terminal degree and is then appointed for the following year to a tenure-probationary rank, the year(s) spent as Lecturer shall count as part of his probationary period.

b. Full-time service as Visiting Professor, Visiting Associate Professor, Visiting Professor or Visiting Lecturer shall be limited to three consecutive years. If an individual who has performed such service after the effective date of this rule is appointed for the following year at a tenure-probationary rank, the time served in one of the visiting professorial ranks after attainment of a terminal professional degree shall count as part of the probationary period.

*(passed October 30, 1974)*

12. Persons appointed or reappointed after June 30, 1974, to any rank with an antecedent modifier of "research," "adjunct," "clinical," or "visiting" shall not accrue time for tenure (except as provided in 11(b) or be granted tenure in that rank. Such appointments should not be given to full-time faculty members holding a terminal professional degree and continuously engaged over an extended period in the same academic activities as faculty members having tenure or serving in a probationary period for tenure.

*(passed October 30, 1974)*

13. Any faculty member, tenured or non-tenured, upon application one full semester in advance, will be granted a reduction of 50 percent of his University work load if he certifies that the purpose of the reduction is to care for one or more of his children less than six years old.

For persons who elect such half-time service, salary, University contributions to fringe benefits insofar as they are based on the level of salary, and the time which may be spent on consulting for pay will be reduced proportionately.

On the completion of every two years in such half-time service, the tenure-probationary period will be extended one calendar year, except that the probationary period shall not exceed ten years. The mandatory tenure review will occur in the penultimate year.

*(passed October 30, 1974)*



# SENATE

## EDITORIAL CHANGES IN DRAFT STATUTES OF THE CORPORATION

April 26, 1977

*Authors' Note:* The following items are substitutes and insertions for the draft Statutes of the Corporation, *Almanac*, V. 23, No. 29, April 19, 1977, Supplement, p. III. They were prepared by an *ad hoc* committee of Robert Lucid, Britton Harris, and W. Allyn Rickett and embody suggestions from the Committee on Academic Freedom and Responsibility and from the University of Pennsylvania Chapter of the AAUP.)

### *Replacement for Article 7A:*

A. There shall be a Faculty Senate composed of members of the Standing Faculty. The Senate is empowered to adopt rules governing its organization and procedures.

### *Additions as Article 7C:*

C. Except as otherwise provided, the Faculty Senate shall represent the Faculty in all matters transcending the interests of a single school.

### *Replacement for line 1 of Article 8B (5) and (7):*

(5) Faculty to determine its title (1874)

(7) Faculty to determine its title (1881)

### *Replacement for Article 8C:*

C. Subject to regulations the Trustees may provide, each Faculty shall set its own procedures for governance; and subject to review and guidance by its Faculty, each department and unit shall do the same.

### *Replacement for Article 9A subparagraphs:*

(1) The University recognizes the central role of the Faculties, and especially of the Standing Faculty, in guiding, enhancing, and preserving the intellectual growth and integrity of the University.

(2) A Faculty Member is entitled to full freedom in research and in the publication of results, subject to the adequate performance of other University duties, but extramural research and consultation for pecuniary return must be conducted in accordance with University policy.

(3) A Faculty Member is entitled to freedom in the classroom in discussing the subject matter of a course.

(4) A Faculty Member is a citizen as well as a member of an educational community. When a person speaks or writes as a citizen, he or she should be free from institutional censorship or discipline. A Faculty Member, in public statements, should make clear that he or she is not speaking for the University or for any of its schools or constituent bodies.

(5) The Trustees may adopt standing resolutions with respect to academic freedom and responsibility.

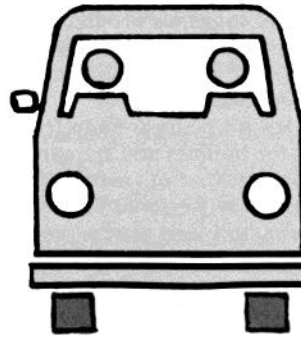
### *Replacement for Article 9C and 9D;*

#### *Renumber E to D:*

C. Appointments, reappointments, and promotions to any rank in the Standing Faculty or in the Associated Faculty shall be made by the Trustees upon nomination by the President, normally upon the recommendation of the Faculty concerned. However, the President and the Provost shall have the power to appoint and reappoint to positions below the rank of Assistant Professor and not accruing tenure. Such power may be delegated by them to the Deans of the Faculties.

### *Replacement for Article 12A(3):*

(3) *Honorary Degrees:* which may be granted to persons deemed by the Trustees, after consultation with the faculty, worthy of such distinction.



## The Van Pool Caper

What's it like to be a guerilla fighter in the war on the cost of gas and oil? The Van Pool underground was right out in public signing up recruits on the Penn campus last week, and Penn people were joining up. Before the conspiracy in restraint of fuel consumption goes any farther, *Almanac* wanted first-hand reports from people who are getting away with it. We found them at Smithkline and Scott Paper:

John Mahoney is a driver. He likes driving. He drove his own car to Smithkline from Cinnaminson for years, leaving a second at home for Mrs. M. and the mad round of errands the Mrs. M.'s of the world are heir to.

It was partly the death of his commuting car (natural death, said the mechanic; no inquest) that drew Mr. M into one of Smithkline's nine Van Pools—that and the fact that as coordinator of the firm's Van Pool Program he knew there were two car pools from his neighborhood that could expand to 14 passengers if they linked up to form the larger van pool. Did joining up change his life? "Not much. I leave ten minutes earlier in the morning, I get home ten minutes later at night. I'm saving money, and not just on commuting for myself—the insurance rates on the other car are down now because it's a pleasure vehicle. There's another driver for back-up in case I get sick or something. She has a set of keys of her own and lives close by.

"I swing by the people's houses; they're always on time. Maybe they're half asleep, but they're on time. They tend to sit together in the same groups every day—four guys, the rest women; I never thought to ask why. It gets livelier as the van empties. Mostly shop talk. Nothing wild, like the Van Pool that decided to take a day off and go shopping one time. I get a special place to park, closer than when I drove my own car. Same thing when I go home—I pick them up one at a time, drop them off at home. Each trip takes 45 to 50 minutes. Then the van is mine if I need it (I pay the mileage charge for personal use) and I'm glad I have it on week-ends. I've only been doing it two and a half months, but I'd be willing to go on forever. I tell other drivers that when they wonder whether or not to join up."

Ginger Barlow is a rider. "I was in a car pool, but didn't like driving. I saw an ad for the Van Pool program in the Scott newspaper one day and suggested it to the others. We hooked up with another car pool where some of the drivers felt the same way and asked for a van. The company leased it for us and we were on the road.

"I'm meeting people from all over the company now. Scott is big—1500 people—and I wouldn't ever have known what people did in the research shop, for example, except that the driver is from there. The other day before one of the riders got off we all arranged to take her to lunch to celebrate her graduation from college this term. We're ten women and one man, ages from about 22 to the mid-50s. I'm sixth on the list, and after they pick me up in Aston with five others we stop for one in Brookhaven and three in Chester on the 45-minute ride to Scott (near the airport). They're always on time, so I'm always on time. I feel good when I start the day's work."

Tony Smith at Penn is the Van Pool organizer, working out of his own office in Facilities Development and with people like Steve Murray of Transportation, who will administer the Van



Pool Program when it gets off the ground sometime around June or July. "We'll do it much the way Smithkline and Scott did, but instead of a special parking lot for vans we'll give each driver a choice of parking locations. So far we seem to have more applicants for driving than for riding, but it's pretty soon to tell.

"Penn people have been calling into the hotlines and stopping by the campus displays for the questionnaire that will match them up by computer at DVRPC (Delaware Valley Regional Planning Commission, an agency that is promoting this kind of experiment in the region for cutting energy consumption and reducing the cost of getting to work). We'll soon know how many Van Pool routes to set up, how many vans to lease and so on. The government guarantees the program, reimbursing costs if the experiment fails within a year, so it's one of your safer adventures."

Is he encouraging people to ride or drive a van? "It doesn't really matter. We just want to reduce the parking and traffic problem around the University while also providing a great benefit for University, HUP, and Wistar employees. It's also doing something to conserve energy and the environment."

For that, they can't arrest you. Call a hotline number this week: From University phones, Ext. 4440; at Wistar, Ext. 234 and at HUP, 3183.

### INSOMNIA: OPENINGS STILL OPEN

Dr. Meyer Rohtbart still has openings in his experimental program of medication treatment for those willing to keep a record of their sleep. From University phones: 227-2844.

## OPENINGS

*This week only new job openings are listed. The two figures in each salary listings show minimum starting salary and maximum starting salary (midpoint). For complete descriptions of these and other jobs still open, check the campus bulletin boards. Those interested should contact Personnel Services Ext. 7285. Inquiries are treated confidentially. The University of Pennsylvania is an equal opportunity employer.*

### ADMINISTRATIVE/PROFESSIONAL

**ASSISTANT TO PLACEMENT DIRECTOR** (20 hrs./wk., 10 months/yr.) administers and coordinates on-campus recruiting program. Bachelor's degree with experience in counseling, public relations, administration. Salary to be determined.

**STAFF WRITER I (EDITOR)** to serve as chief editor for all manuscripts, books, articles, monographs and other forms of copy for publication. Graduation from an approved college or university with at least two years' editorial experience. (Send resumes only.) \$9,100-\$12,275.

### SUPPORT STAFF

**COLLECTION ASSISTANT** responsible for departmental accounts; writes routine letters and follow-up statements to debtors. Excellent typing with accounting background helpful and office experience necessary. \$6,500-\$8,125.

**CONTRACT ACCOUNTANT** prepares journal entries on subsidiary and general ledger accounts. Completion of a certificate program in accounting at an accredited college or at least two years' experience with university fund accounting. \$7,474-\$9,350.

**RESEARCH LABORATORY TECHNICIAN II** maintains breeding colony of inbred mice; prepares cell suspensions from mice and rats. Previous experience in handling rodents and lack of allergy to these animals required. \$7,475-\$9,300.

**RESEARCH LABORATORY TECHNICIAN III** involves growth of bacterial cultures and chromatographic analyses of culture and body fluid. B.S. or B.A. degree with biology or chemistry as major. Must know how to handle bacterial cultures and have some familiarity with biochemical techniques. \$8,375-\$10,475.

**VETERINARY ANESTHESIA TECHNICIAN I** prepares and administers anesthetic drugs to animals which are observed by a veterinary

anesthesiologist or surgeon. Need experience working with animals and knowledge of the use of many drugs and techniques. \$9,575-\$11,975.

### POSITIONS AT HUP

The Hospital of the University of Pennsylvania has job openings for two billing assistants, two medical secretaries, three medical technologists, one physical therapist, and one respiratory therapy technician. Contact HUP's employment office at 227-3175 from campus phones.

### NON-UNIVERSITY POSITION

The University of Pennsylvania Federal Credit Union has an immediate opening for someone with general bookkeeping skills to perform light clerical duties and typing. \$7,200. Call Mrs. Reber, Ext. 8539.

### FAREWELL PARTY FOR MR. SHULTIS

Friends of Donald Shultis will hold a farewell reception for him Thursday, May 19, from 3:30 to 5:30 p.m. in the Faculty Club's first-floor lounge. Members of the University community may send \$5 checks covering refreshments and a gift for the retiring director of security and safety to: *Harry M. Gaber, E-103 Dietrich Hall/CC*. Make checks payable to *Trustees, University of Pennsylvania*.

## THINGS TO DO

### LECTURES

Today at 12:15 in 151-152 of Gladys Rosenthal Building, School of Veterinary Medicine, Carol Tracy, Director of the Women's Center, discusses *Women at Penn*. A meeting of the Women's Faculty Club to elect officers for 1977-78 begins at 11:45 a.m.

Also at 4 p.m. in Room 105 LRSM, *The Influence of Structure on the Dynamic Mechanical Properties of Crystalline Polymers* is the subject for Dr. James Seferis of Delaware. Coffee at 3:30.

Prof. Josiah S. Carberry of Brown analyzes *The Coesite-Stishovite Transition in the Inner Core and Its Effect on the Earth's Radius* in 103 Hayden Hall, 4 p.m., May 13, sponsored by the John Carter Brown Foundation of Philadelphia. Coffee in the Lounge at 3:30.

Panelists John Abercrombie, William Schauffler and Mitch Struble talk about their *Extraterrestrial Contacts* in the final Crackpot Archaeology lecture on May 18 at 5:30 p.m. in Rainey Auditorium; \$1.

*Organization of Hospital Staffs: Can Their Struggles and Strikes Improve Health Care?* is a forum on May 19 in Houston Hall, 7:30 p.m.

### MUSIC

The University Museum offers a *concert of talented young musicians* on May 14 at 2:30 p.m.

The *All-Philadelphia Boys Choir and Men's Chorale* raise their voices in Annenberg Center's Zellerbach Theater at 8:30 p.m. on May 21.

### MIXED BAG

If you're an associate of Morris Arboretum, your plant bonus card or 1977 membership card admits you into the *Spring Plant Festival* May 13-15 from 10 a.m. to 4 p.m. Non-members \$1; children 14 years/free.

Penn Women's Center noon program: May 16—*Realistic Expectations of Marriage/Relationships* with Jean Meston, Marriage Council; May 18—*Resume Writing: Special Emphasis on A-I, Administrators* with Resources for Women; May 20—film, *Health Caring From Our End of the Spectrum*, and discussion with JoAnne Wolf, Women's Health Concerns Committee; May 23—*Parents as Sex Educators* with Gloria Gay of Planned Parenthood; May 25—*Resume Writing: Special Emphasis on Faculty Women* with Dr. Cynthia Secor of HERS, Mid-Atlantic. All in 112 Logan Hall.

*WEOUP* meets to elect 1977-78 officers on May 19 at noon in 112 Logan Hall. Nominations by May 18.

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