

# Almanac

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Dr. Thorsten Sellin at 89: The Center in Vance Hall now bears his name.

## IN BRIEF

**Teaching Quality:** On pages I-XII of this issue, the Second Task Force on the Quality of Teaching tells how deans and others have responded to recommendations made in 1981. The document adds new considerations and is published For Comment.

**Summer Grants:** Grants-in-aid up to \$1500 and research fellowships up to \$3000 are available for standing faculty (with preference to assistant professors) via the Committee on Faculty Grants and Awards. Deadline is *February 3* for applications, available from the Office of Research Administration, 409 Franklin Building. Call Lynn Bevan at Ext. 7293 for information.

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## Naming the Criminology Center for Dr. Sellin

Penn's Center for Studies in Criminology and Criminal Law celebrated its 25th anniversary this fall by taking a new name — that of its founder, Dr. Thorsten Sellin, on whose 89th birthday the Wharton School unit was rechristened the Sellin Center for Studies in Criminology and Criminal Law.

Dr. Sellin, an emeritus professor since 1967, now lives in New Hampshire but came to campus for the dedication October 26 — just over 70 years after his first arrival at Penn as a graduate student in sociology in 1915.

The Swedish-born scholar (whose name is pronounced Se-LEEN) had emigrated to Ontario at 17 and completed his bachelor's degree in three semesters at Augustana College (Illinois) when he entered Penn. He took the M.A. in sociology in 1916, taught in the secondary schools of Minnesota while studying part-time at the University of Minnesota, and in 1920 won a Harrison Fellowship to return to Penn. After taking his Ph.D. in 1922 Dr. Sellin joined the faculty where he was to be a tenured member for 46 years.

During those years his work "totally changed the face of traditional criminology," according to Dr. Marvin Wolfgang, the former student and faculty colleague of Dr. Sellin who now heads the Center. Dr. Sellin has influenced the way crime statistics are kept in the U.S. as well as the ways that crime trends and the effects of penal methods are studied here and abroad. (Fluent in Swedish, English, German and French, Dr. Sellin has a working knowledge of all Romance and Germanic languages, which he has used in comparative studies, in teaching abroad and in service on United Nations and other international organizations' committees studying crime and the treatment of offenders.)

From early papers on "The Basis of a Crime Index" (1931), and "The Importance of Criminal Statistics" (1936), through the drafting in 1944 of this country's Uniform Criminal Statistics Act, Dr. Sellin stressed the importance and utility of criminal statistics on local, state, national and international levels. He has also written extensively on the history of crime and of penal methods in various cultures.

Among the major influences in the field has been his 1938 monograph (reissued as lately as 1983), *Culture Conflict and Crime*, which both expanded the field to embrace what is commonly known as the sociology of deviance, Dr. Wolfgang said, and also became the central treatise on the need for and requirements of a science of criminology and a scientific basis for the study of crime.

He is also known for the fundamental tool for measuring the nature and extent of criminal behavior, the Sellin-Wolfgang index of 1964. The index and its application in *Delinquency in a Birth Cohort* (Wolfgang, Figlio & Sellin, 1972) contributed sophisticated new techniques for measuring the volume and character of crime, the characteristics of offenders, and the effectiveness of efforts to prevent and control crime and delinquency.

The longtime editor of the *Annals of the American Academy of Political and Social Science* (1929-68) holds honorary degrees from Leiden, Copenhagen, Penn and Brussels, and numerous national and international awards here and in France and Sweden.



Tommy Leonard

**Four in a Row:** The Ivy football trophy stays right where it was last year, since Penn downed Dartmouth 19-14 Saturday while contending Harvard lost at Yale, 17-6. The league record is five in a row (by Dartmouth — three outright, two shared). The four-year winning streak for Jerry Berndt's Quakers began with a three-way tie in 1982 followed by a two-way one in 1983. The last two have been outright.

## Tenure Decisions and Gender

The Office of the Provost has recently carried out a study comparing how men and women are faring in the tenure process. Tenure reviews are of several sorts. The largest group is composed of cases in which the candidate is an assistant professor or an associate professor at Penn when the review is carried out. These are the "internal" reviews. But proposals to hire a faculty member from another university directly into the tenured faculty involve a review. These are the "external" reviews. Tenure reviews also differ on the time dimension. For our purposes, we define tenure cases reviewed not earlier than two academic years before the mandatory review date (end of sixth year for most untenured assistant professors, and of ninth year for untenured assistant professors on tenure track in the clinical departments of the health schools, end of fourth year for most untenured associate professors) as "timely" reviews. Cases decided in advance of two years before the mandatory review date are classified here as "early" reviews.

Because the University has not maintained a database that allows access to the outcomes of the complete set of tenure reviews, we only address a portion of these: the timely internal reviews. Data on negative early reviews are unreliable and data on negative external reviews are not available. Nevertheless, since timely internal reviews constitute a large portion of all tenure reviews, the outcomes of this process are of interest in their own right. This study covers the academic years 1980-81 through 1984-85. The attainment of timely tenure is represented below by (TT). Also of interest is the level at which the negative decision was made in cases where tenure was not achieved. We have identified four negative categories: department (D), school (S), University (U) and other (O). "Other" refers to cases in which the faculty member did not attain tenure but no negative decision was made. Resignations, transfers to clinical-educator status and requests for no review fall in this category. In cases where the individual was reviewed more than once, we recorded the outcome of the last review. However, if a resignation or transfer occurred during a second review, we recorded the result of the first review. The numbers of women and men in each of the five categories together with the corresponding proportions are shown below.

### University of Pennsylvania Outcomes of Timely Internal Reviews 1980-81 through 1984-85

		Numbers of Faculty Members (Proportions)				
		Tenure Attained		Tenure Not Attained		
		TT	D	S	U	O
Women		30(0.49)	10(0.16)	6(0.10)	3(0.05)	12(0.20)
Men		100(0.53)	26(0.14)	32(0.17)	13(0.07)	19(0.10)
		Total				
		61(100.0%)				
		190(100.1%)				

We will make no interpretation of these data; readers of *Almanac* are free to attempt that task.

—Richard Clelland, Deputy Provost

—Anne Mengel, Asst. to Provost for Provost's Staff Conference Matters

## Graduate/Professional Tuition Benefits Taxability

In an article which appeared in both *Almanac* and the Penn Paper (July 9, 1985 and July 11, 1985 issues respectively), I announced that, under the Tax Reform Act of 1984, effective July 1, 1985, graduate/professional tuition benefits for employees in excess of \$5,000 per year, and all such benefits for spouses and dependent children of employees would be taxable for federal income and FICA (Social Security) tax purposes. The \$5,000 limitation on benefits for employees is based on the total amount of graduate/professional tuition benefits provided in calendar year 1985.

In the previous announcement I also stated that a methodology to effect federal income and social security tax withholding would be developed and communicated to all affected employees. Because information identifying faculty and staff who received the benefit during 1985, either for themselves or for their spouses and dependent children, and the actual dollar amounts of tuition benefits received, has only recently become available, and because the end of calendar year 1985 is rapidly approaching, the University will not withhold taxes in 1985, but will do so for tuition benefits received in 1986.

However the value of the benefits received will be included in the individual's gross income for federal income tax purposes and reflected on the 1985 Form W-2. We have communicated directly with each employee subject to the tax to advise him or her of the benefit amount that will be included on the Form W-2 and other information specific to each employee's situation.

I again urge all faculty and staff who are affected by this tax law change to increase their withholding for federal income tax purposes now by filing an amended Form W-4, which is available in the Payroll Accounting Section of the Comptroller's Office, Room 309 Franklin Building from either James Curran (Ext. 7278) or Jacob Miller (Ext. 1543).

—Alfred F. Beers, Comptroller

## Fall Meeting Report

The Faculty Senate at its Fall Meeting Wednesday, November 20:

- passed resolutions of the Economic Status committee asking for a higher salary pool percentage for "catch-up" (with inflation) and "match-up" (with peer institutions), and asking the cooperation of deans as the Committee attempts to monitor the implementation of salary increase policies.

- tabled the proposals of the Committee on Administration for restructure of Senate representation, for lack of a quorum required for voting on Senate Rules.

- passed a resolution (next page) on animal research.

- tabled to Spring the report of the Committee on Students and Educational Policy (*Almanac* November 12).

- discussed without action the proposals of the Ad Hoc Senate Committee on Behavioral Standards (*Almanac* September 24).

- adjourned without reaching the agenda item on South African divestment.

### Reports

Senate Chair Anthony Tomazinis opened the meeting with a report on the role of the Senate, and progress in three areas:

*Consultation* "continues on a scale that can easily be considered satisfactory . . ." but is "ad hoc when it comes to budgets and planning, and when it comes to the various trustee committees. Something needs to be done in these two areas of concern."

*Review of the Patterns and Trends of Resources Allocation* is "stressing the dimensions of academic excellence, and of restraining at reasonable levels the nonacademic functions and tasks the University has been carrying out increasingly since the mid-1970s."

*Intellectual Life on Campus* is a Steering Committee item for December 11 at Council.

**President:** Dr. Hackney gave a formal — and strongly applauded — position paper on perceived threats to academic freedom, pledging

**Correction:** In last week's issue, the Institutional Animal Care and Use Committee list of members included Moshe Shalev as an ex-officio member. Dr. was unintentionally omitted from his name; he is a Doctor of Veterinary Medicine.

## Almanac

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Penn's resistance. His text starts on page 4 of this issue.

**Provost:** After a brief initial report in which he said the administration is committed to real growth in faculty compensation but also to providing other resources faculty need, Provost Ehrlich was brought back to the podium during EconStat discussion as noted below. He also gave an update on animal research and called for "decent respect" in debate of animal issues. He added that although investments are exclusively the province of the Trustees he believes they "genuinely seek our judgment" on South African divestment.

### Discussion and Action

After Chair-elect Roger Soloway delivered the Economic Status Committee report (*Almanac* November 19) with its two resolutions, queries on securing information from deans came from Professors James Ross and Jean Crockett. To Dr. Ross's request that the President and Provost use their good offices to have deans report their implementation data, the Provost replied that except once in 1978 such data have never been provided here, and are not provided in peer institutions; that unless there is significant aggregation of data confidentiality is lost in small schools; and that in large schools "Significant trade-offs go on. Those are what the faculty need to discuss with deans in the five-year planning."

To Dr. Crockett's question on whether the administration could say that each school received the announced catch-up percentages, Provost Ehrlich replied that the "salary policy as published each year requires that each school receive a pool increase at the stipulated rate."

Also in this discussion period, Dr. James Sprague asked what made the Provost refer to FY 1987 as a "difficult year." Mr. Ehrlich said the recent five years' growth rate in income is projected to level off; and on the expense side he listed energy — the threat of a PECO increase of 35%, plus increased consumption — and increased construction (for Medicine, Wharton, the Quad renovations). Dr. Irving Kravis challenged the construction factor on the basis that buildings are in the capital budget with a Trustees rule on having funds identified before a project

can be approved. The Provost said he was "quite right that buildings do not burden [the operating budget] in the immediate sense; but the University does have situations where construction is repayable by operating income items (the bond issue covering the Quad by student rents, Wharton's executive education project by fees).

Senate then passed the two resolutions as published:

1. The total increases in salaries for the continuing faculty for 1986-87 be at least 9.8%, so that the University might regain its proper place among its peer institutions.

*Passed unanimously, no abstentions.*

2. Deans cooperate with the Senate Committee on the Economic Status of the Faculty in its attempts to monitor the implementation of salary increase policies.

*Passed 53-2 with 5 abstentions.*

**Senate Rules:** When a quorum call showed 78 present (of a required 100) the Kravis Report was discussed only briefly. Speakers primarily debated the proposal to redistribute 12 at-large seats so that the constituencies would be more even in size. Future steps will be announced.

**Animal Research:** To Dr. Mark Kelley's comments and resolution (below), Dr. Seymour Mandelbaum objected that as "Nobody has proposed excluding animal research...it becomes stroking, and affiliating with one group of faculty in a debate." Dr. Robert Rutman asked to have the resolution's "mankind" changed to "all animal life" and this was accepted as friendly. Dr. Larry Gross said there was no call for a philosophical statement but for thought on how to prevent problems (which he summed up as having shortcomings brought to our attention by an outside body and responding with denial until our own and outside agencies confirmed them).

Dr. Barry Cooperman defended the University's waiting for full evidence before issuing its reprimand, and said the University would have been remiss under academic freedom principles if it had acted on the basis of partial evidence. He added that the outside group purportedly had full evidence but "refused to make it available until by laborious efforts we found it."

**Student Issues:** An initial suggestion simply to receive Dr. Laura Hayman's report on the fraternity-sorority system (and endorsing a new student union) met with objections from several speakers urging full debate now or later. Professors Ann Matter and Michelle Fine contrasted standards of behavior for fraternity residents with standards in the College Houses and Quad; Dr. John Furth said "If the only justification [for fraternities] is that we can't do without them, let's refer it to a committee to see how to do without them." Dr. Michael Cohen said if the report went on the Spring agenda it should be publicized and debated, not dragged in at the last minute. The motion to table passed 28-3.

**Behavioral Standards:** Dr. Jean Crockett asked Senate members' advice particularly on her ad hoc committee's attempt to design a procedure that would meet diverse interests: "The complainant needs protection against harassment, and against reprisals. The defendant needs protection from false charges. The University needs protection against constraints on academic freedom." Her committee favored the use of a University-wide hearing board in certain cases. Dr. Michael Cohen said the "Responsibility" part of the Senate Committee on Academic Freedom and Responsibility provides such a board; but Dr. Seymour Mandelbaum, who chairs SCAFR, objected that SCAFR cannot hear the case and still be the appeal point for faculty who charge violation of academic freedom.

Later in the discussion, Dr. Peter Gaefke reported that assistant professors are afraid of having remarks such as "I am a white Caucasian male" turn up in the tenure dossier as representing harassment. Dr. Crockett replied that no proposal has been made that would allow anything to go on file without the respondent's knowing it and having an opportunity to answer. Later she added that it would probably be necessary to "build a judicial record so that there would be something written down as to what is acceptable or unacceptable."

During this discussion Dr. Tomazinis pointed out that Council has named a committee to consolidate advice on harassment (see page 5 under Council).

*Following is the text of a statement delivered at the Fall Meeting of the Senate on November 20:*

## Medical Senate Statement on Animal Research

The Medical Faculty Senate Steering Committee recently passed the following statement.

Like many other faculty members throughout the University, we have been greatly concerned about the issue of animal experimentation. The University's recent investigation of the Head Injury Clinical Research Laboratory revealed that certain practices related to the laboratory's animal research were not in compliance with NIH guidelines. We agreed with the conclusions of this investigation and we fully supported the University's disciplinary actions against those responsible for animal research at the Head Trauma Center.

However, we must emphasize our position that animal experimentation is essential for the progress of medical science. Advances in health care which we now take for granted, such as open heart surgery, organ transplantation, and the use of insulin, could never have been developed without the use of animal models. To end animal investigations would paralyze medical science and deprive mankind of additional opportunities to eliminate human pain and suffering.

Consistent with responsible research involving animals, we in the scientific community are morally and ethically obliged to minimize the discomfort of animals that contribute to our quest for knowledge. Therefore we strongly support the University's recently published review process through which all animal experimentation will be reviewed by the Institutional Animal Care and Use Committee. These measures will help to assure that animal research is conducted in the most humane and ethical manner.

We are aware that the National Institutes of Health has implemented its own review of the University's animal research facilities and procedures. Pending the outcome of this review process, the funding of new research grants that involves live vertebrate animals has been withheld by the NIH. This latter measure is regrettable and particularly harsh for those investigators whose animal research methods have always been of the highest standard.

Nonetheless we urge all faculty to cooperate fully with the University as it prepares for these review procedures. We must put our own house in order both to assure proper care of animals and to defend ourselves from outside forces which could jeopardize our academic freedom. To do otherwise could have disastrous consequences not only for our university but also for the entire scientific community.

We, the Medical School Faculty Senate Steering Committee, propose the following:

### Resolution

We, the University faculty support the humane use of animal subjects for biomedical research. We believe that animal research, when conducted according to the highest ethical and moral standards, is essential to biomedical science and its goal of improving the health of mankind.\*

*Introduced by Dr. Mark Kelley, Chair, Medical Faculty Senate.*

*Passed 42-11 with 8 abstentions.*

*(\*) with friendly amendment changing "mankind" to "all animal life."*

## Two Threats to Academic Freedom

We are in a period in which new and continuing threats to academic freedom, both from inside the University and from outside, require our vigilance.

I am not alarmed by the sort of subtle threats to academic freedom that are endemic to academic life, such things as the coercion felt by students working for grades for admission to professional schools, graduate students worried about offending the strongly-held positions of supervising faculty, and the avoidance of innovation by young faculty members seeking tenure. Such self-imposed censorship is an unavoidable fact of academic life. We can only remain aware of it and try to compensate for it. Political interference that rises from time to time, however, is rarely so subtle and it should not be so tolerable. It can represent a blatant assault on scholarly freedoms.

Two recent developments remind us of this possibility. First, there are the guidelines established by the Innovative Science and Technology office (IST) to enlist the assistance of all elements of the nation's research community, including universities, to reach its objectives in support of the Reagan Administration's Strategic Defense Initiative, more commonly known as "Star Wars."

We have been worried about the possibility that SDI-funded research could be subject to publication limitations, if not at the outset, then perhaps sometime later in the course of the work. Although a recent memorandum from the director of the Innovative Science and Technology office indicates that university projects supported by that office will be treated as "fundamental research" and will not carry any restrictions on publication, we should continue to be alert to the possibility that IST contracts will stipulate that the responsibility for the release of information resulting from such sponsored research belongs to the sponsoring office. Such an arrangement would not be acceptable under University policy. After a very strong reaction to the threat implied by publication controls and post-facto classification, President Reagan issued a national policy memorandum on September 21 in which he declared that the Federal Government would attempt to control the flow of sensitive information only through the classification system. That is very acceptable to the higher education community and represents a victory in this argument. University policy, of course, prohibits the acceptance of classified research.

Second, the FBI has accelerated its investigations into the loss to the Soviet Union and other potential adversaries of information and technology that is classified or that is banned from export by the Federal Government. The Philadelphia Office of the FBI, for example, has expanded its awareness program to include alerting non-defense contractors and companies involved in high tech, state-of-the-art research about the threat posed by the Soviets and other countries, and also about the problem of the loss of proprietary information. "Star Wars" research would certainly be an area that the FBI would monitor closely.

Moreover, there is the strong implication within the FBI statement and the guidelines being developed by the Innovative Science and Technology office that there may be significant pressure to restrict the participation of foreign nationals in SDI projects and other research dealing with sensitive but unclassified knowledge. If so, this could have a direct impact on graduate students and other personnel who might wish to work on such projects and might prevent acceptance of such support by the University. An example of this is provided by the contracts offered to the four universities that will manage the supercomputers being funded by NSF. They originally required those universities to control access to the computers and bar certain foreign nationals. After extensive discussions, the Federal Government has agreed to attempt to control access through visa restrictions and not to expect universities to police computer access on that basis. This is not a perfect solution, but it is preferable to the original contract language.

Another external threat to academic freedom is the organization calling itself Accuracy in Academia, a new conservative watchdog group

that is placing student representatives in university classrooms around the country to monitor ideas imparted by professors. Accuracy in Academia, a spin-off of Accuracy in Media, will try to determine what kind of liberal bias is coming out of college classrooms. They allege that obvious bits of incorrect information and lack of balance characterize much of the teaching in the nation's classrooms. I have spoken out against this group in public and note with approval that the AAUP has condemned Accuracy in Academia on behalf of all higher education.

Within the University, I am determined that the concepts of freedom of thought, inquiry, speech, and lawful assembly that we cherish as a community of scholars, not be threatened by actions detrimental to the continuous conversation that is the University. As our own guidelines on open expression clearly state, the freedom to experiment, to present theories and to examine alternative interpretations of data, the freedom to hear, express, and to debate various views, and the freedom to voice criticism of existing practices and values, are fundamental rights that must be honored by the University if we are to remain a great center of learning.

Each of us has a collegial responsibility to behave in ways that support such an open and trusting atmosphere. Trial by accusation and intimidation encourages neither honest discussion nor humane values. I call upon members of this community to avoid bullying tactics, even when their moral outrage is at its most fervent pitch, and I reaffirm my own determination to ensure that due process and fair treatment is provided to every member of this community accused of some error or transgression. Nothing could be more important to us as a community.

Our attempt to develop a more caring and civil community at Penn depends upon academic freedom and upon our obligations to each other as colleagues. Tolerance of diversity, of discourse and debate, are essential to harmony, a humane institution, and our ability to fulfill our commitment to the development of knowledge. My duty as the president of the University to defend academic freedom is informed by my understanding of the responsibilities that academic freedom imposes on all of us as teachers, scholars and scientists.

Our claim to special privilege within American society is only as strong as our adherence to the canons of faculty responsibility. Our Faculty Handbook refers to those canons but does not attempt to codify them because they are part of the unspoken law of the academic world. The AAUP has produced two excellent statements of faculty responsibility over the years, and various scholarly associations have adopted standards of professional responsibility that might serve as suggestive guidelines. I would encourage us all to give serious thought to these ethical obligations. At the most elementary level, for instance, it should be clear to us that the professor is not free to teach just any subject, regardless of competence, or to indoctrinate in the classroom, or to persuade a person to violate institutional regulations. The preservation of academic freedom requires us to oppose any encroachment upon responsible free inquiry and expression. We have established rules and procedures to accomplish this. These, together, constitute "due process" and I affirm my commitment to their fair and speedy use as absolutely essential to the life of our university.

Fundamental to our pursuit of due process is an understanding that transcends any set of rules and regulations or codes of conduct that we might design. This is our belief that any community, particularly an academic community where the teaching relationship between the professor and the student is so very important, must be based on mutual trust and respect. A willingness to recognize the dignity and worth of each person at the University is essential for membership in our community. It is a willingness that must take into account the responsibilities that all members of this community have for each other and for the institution.

*(continued past insert)*

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In affirming that "all members of the University must conduct themselves at all times in a mature and responsible manner so that the rights and property of all persons are respected regardless of time or place", we strive to maintain an internal climate of civility that encourages a critical temper in all teaching and research so that students and faculty may learn how thoughtful people seek the truth by opening their own beliefs to examination and criticism. As we must oppose any attempt to impose some sort of orthodoxy on the college classroom, we must enforce those guidelines and principles that allow us to achieve our basic purposes.

As I have done already, I will continue to speak out against such

groups as Accuracy in Academia and I will continue to express my views to appropriate individuals and offices within the Federal Government on the potential harm that restrictive federal research regulations might have. Similarly, I believe that the steps that we take on our campus must be consistent with the principles that we assert in our dealings with external agencies and pressure groups.

Academic freedom and the responsibilities that attach to it can neither be compromised nor qualified. Let us conduct ourselves accordingly.

*Sheldon Hackney*

## COUNCIL

### Synopsis of Minutes: November 13

The Council continued discussion of the ways to bring the views of the University community to the Trustees on issues relating to South Africa. Council adopted a resolution introduced by GAPSAs calling for divestment within one year and the establishment of a task force to develop measures that can be taken to counter apartheid (25 votes in favor, 10 votes opposed, 5 abstentions). Much of the discussion centered on whether divestment is a moral or a political action and, if the former, whether the University, to be consistent, would need to take such further steps as refusing gifts from corporations which do business in South Africa and barring them from recruiting on campus. It was argued that the University should retain its shares and, acting in concert with other universities, introduce and back shareholder resolutions supporting justice for blacks in South Africa. It was also suggested that Penn's greatest contribution would be the education of South African blacks so that they will be able to lead during and following the dissolution of apartheid.

The Council adopted a resolution asking the Steering Committee to constitute an ad hoc Council Committee on Sexual Harassment with a charge "to review and recommend a set of policies and procedures to resolve cases of sexual harassment, with particular attention paid to peer harassment." The committee is to include representatives of the committees and task forces that have addressed the issue of sexual harassment.

*Robert G. Lorndale,  
Secretary of the Council*

### On Divestment

(passed 25-10, with 5 abstentions)

*Whereas*, the University Council voted in 1981 to call on the Trustees of the University of Pennsylvania to divest its holdings in companies that do business in South Africa, and

*Whereas*, during the past four years the level of repression and violence by the current regime has focused international attention on the illegitimacy of apartheid, and

*Whereas*, the chair of the Board of Trustees of the University has acknowledged that South Africa's racial system is "so unconscionable as to violate the most fundamental precepts of human decency," and

*Whereas*, the Trustees are also responsible for protecting the financial security of the University's endowment and other financial holdings,

*We, the members of the University Council of the University of Pennsylvania request that the Trustees of the University of Pennsylvania imme-*

diately agree to divest the University within one year of any stocks and bonds now held with companies that are actively doing business within the country of South Africa. We make this request based on

- 1) our repugnance of the South African system of apartheid,
- 2) our belief that U.S. companies in South Africa do not have a good track record of improving living and working conditions for black, colored, and Indian South Africans,
- 3) our belief that the government of South Africa will continue to enforce its policies of apartheid until it feels a significant economic blow from the withdrawal of U.S. funds and companies,
- 4) our belief that the University community has a moral responsibility to support the development and growth of humane systems of government in which racism is not the basis for allocating resources, employment opportunities, housing, education, and other necessities for decent human life.

We also request that in addition to divestment, the University acknowledges its moral responsibility to support the development of humane systems of government and establishes a Task Force of knowledgeable University members to develop a set of measures that the University and its members can take to counter apartheid.

### On Sexual Harassment

(passed, untabulated show of hands)

*Motion*: that the Steering Committee of Council constitute an ad hoc University Council Committee on Sexual Harassment (UCCOSH). Membership on this committee shall include representatives of various constituencies of council and representatives of committees and task forces that have addressed the issue of Sexual Harassment including:

- University Council Survey on Sexual Harassment
- Task Force on Conduct and Misconduct
- Senate ad hoc Committee on Behavioral Standards
- Subcommittee on Sexual Harassment of Student Affairs Committee of University Council
- Task Force on the Quality of Teaching
- Women's Studies Subcommittee on Sexual Harassment
- Graduate and Professional Women's Organization

The Council charges this committee to review and recommend a set of policies and procedures to resolve cases of Sexual Harassment with particular attention paid to peer-to-peer harassment. The Committee shall report to the University Council at its regularly scheduled meeting in February, 1986.

### Managing the Records

I am pleased to announce that the Committee on Records Management, which I appointed a year ago, has completed its work and that its recommendations have been approved and funded. The Committee was composed of 36 University administrators and faculty, representing most major administrative units on campus. Through its chairman, Mark Frazier Lloyd, the University archivist, the Committee submitted its report and recommendations this past June. The thoroughness of the Committee's work and the strength of its conclusions were matched by a creative funding proposal made by University City Associates through the University Department of Real Estate. Joined by the Provost, Senior Vice President and other members of senior management, I have authorized the implementation of a University-wide records management program and the establishment of a University Records Center.

The records management program will have three significant results. It will increase efficiency in day-to-day office procedures by establishing guidelines for identifying needed records and eliminating those that are superficial; by creating inventories for the better control of records; by setting retention and destruction schedules that meet legal, fiscal, institutional and other requirements; by facilitating the retrieval and availability of information. It will produce substantial savings by ending the flow of University dollars to outside, commercial records centers; by reducing storage equipment expenditures; by removing records from expensive, high-priority space in offices to low-cost, low-priority space in the University Records Center; by ending the maintenance of records at the time when they no longer need to be retained; and by reducing the time consumed in locating and retrieving records. Finally the University Records Center will provide security and confidentiality for vital records and assure the flow of historically significant records to the University Archives for permanent retention. In the months ahead all major administrative units within the University will be asked to join this new program. I urge the fullest possible cooperation and participation.

—Sheldon Hackney

## Two Views on Rating the Fall Break

### Letter to Professor Levine from Professor Marvin (10/18/85)

Thank you for sending me the letters you received from the faculty evaluating last year's Fall Break. You may remember that last spring at the University Council meeting where you presented the report of the Ad Hoc Committee to Evaluate the Fall Break, I asked you to clarify the basis on which you concluded that Fall Break had received "substantial support" from the faculty in response to a memo circulated to deans and department heads on December 6, 1984. I was surprised that your report contained no information about the number of people responding, or their distribution across the faculty, and no analysis of the precise nature of the response.

You replied that faculty comment was difficult to interpret because of the variety of ways faculties and their spokespersons chose to answer your survey. Despite this admission that a systematic, careful analysis had not been conducted, you nevertheless chose to characterize faculty response as though it were unquestionably positive and supportive. Nothing in your report suggested you had any reason to doubt the accuracy of this description, or to believe that the survey response did not represent the faculty as a whole.

Having examined these letters myself, my concerns about the process of evaluation and the description of its findings are greater, if anything, than before. In my opinion, Council did not hear a representative or fair account of faculty comment, certainly no indication of its range, and little about the objections raised by some of those who did respond. The admittedly casual way in which the survey was conducted and analyzed indicates the need for a very much more careful procedure this year if Fall Break is to continue, a continuation, I might add, for which I am not sure there is any "substantial" faculty support at all.

Three major points that *can* be made about the response letters are as follows:

1. It is impossible to tell how many individuals are represented in the response letters, or how systematically their opinions were solicited.
2. Of the response letters received, not even a majority clearly supports Fall Break.
3. Responses focused less often on whether Fall Break was useful than on whether the fall semester should begin a week earlier in order to accommodate a week-long midsemester break. This question (5 in your memo) had fewer "no responses" than any other.

#### Does the response represent the faculty?

Among the 40 faculty response letters, this is the pattern of response types:

- Letters representing individuals only—23
- Representing some sort of loose consensus—14
- Murky combination of these two categories—1
- Group/departmental tallies—2

Except in the case of the two departmental tallies, and where the writer specifies that s/he writes on her/his own behalf, it is impossible to tell who is represented in each of the letters. Even when the writer claims to speak for a department, it is not clear what the method for achieving consensus was, what the range of opinion expressed was, or where dissent, if any, occurred.

It also is impossible to tell whether opinions were systematically collected; whether, for example, all faculty members were present for a poll, whether opinions were tossed across the lunch table and then recorded, whether reported responses were the clearly stated opinions of individuals or anecdotal hearsay, or even whether the memo you sent was actually seen by everyone the responses purport to represent (a number of faculty I know did not see it). Nor is it clear whether there was any opportunity for dialogue to occur at a departmental level between supporters and opponents of Fall Break, or what kinds of classroom contact with graduates and undergraduates is represented in the response pool.

Out of roughly 100 departments in the University, only 29 are represented in the response letters. In addition, 13 letters came from two departments: English (9) and Economics (4). This means that roughly one-third of all response letters came from only two departments, and that a total of 27 letters (12 individual letters, 14 departmental letters, 1 indeterminate) remains to represent the rest of the some 1700 standing and 1600 associated faculty of the University.

#### Is the response conclusive?

Of the 40 response letters from the faculty, only 17 (including both departmental tallies) answered all five questions in the December 6 memo. Of the remaining 23 responses, 5 set their own agenda entirely apart from the questions in the memo. Among the remaining 18 responses that answer some but not all questions, not one ignores Question 5, "Would it be desirable to start the fall semester one week earlier . . ." Among these 18 responses, 12 give special emphasis to Question 5, often in long paragraphs. It appears that this is the question that most engages respondents since there is no similar pattern of answers (or lack of answers) for any other question. Three respondents answer *only* Question 5. It is not clear whether the greater interest in *this* question, and not in what is presumably the central question in the survey (Question 4, "Is the Fall Break useful?") reflects a lack of strong feeling for or against the break, or a belief that Fall Break is already an

administrative fait accompli, and further effort should be directed to preventing additional interruptions of the semester. Some feelings of this kind were expressed: certainly, both interpretations could be true, or neither, but we lack enough information to decide.

A look at the following figures shows, however, that not even a majority of the sample said to be represented clearly favors Fall Break:

#### 1. Individual/Group Responses (N=34)

Question 1: *Were severe class or lab scheduling problems experienced?*

- Yes—5
- No—18
- Mixed—2
- No response—9

Question 2: *Was class attendance unusually low prior to or following the Fall Break?*

- Yes—6
- No—18
- Mixed—2
- No response—8

Question 3: *Was there a difference in the level of student preparedness and participation following the Fall Break?*

- Yes, better—4
- Yes, worse—1
- No—15
- Mixed—2
- No response—12

Question 4: *Is the Fall Break useful?*

- Yes—14
- No—6
- Mixed—5
- No response—6
- Not much difference either way—3

(If English and Economics are excluded in this group, N=23, and support for Fall Break is considerably weaker, with Yes=7, No=4, Mixed=4, Not much difference=3.)

Question 5: *Would it be desirable to start the semester one week earlier in order to have a one-week midsemester Fall Break?*

- Yes—6
- No—21
- Mixed—4
- No response—3

#### 2. Departmental Tallies (N=25)

Two responses were departmental tallies from Economics and Political Science. These were as follows:

- Question 1: Yes—0, No—23, Unsure—2
- Question 2: Yes—2, No—23
- Question 3: Yes—1, No—24
- Question 4: Yes—15, No—6, Unsure—4
- Question 5: Yes—3, No—20, Unsure—2

#### 3. Unsolicited Letters plus One (N=4)

Three letters were sent prior to the December 6 memo. One which is dated later answered none of its questions directly, but discussed the desirability of the Fall Break at length:

A member of the English faculty writes of Fall Break as an "overwhelming success." She speaks for herself.



A member of the Psychology in Education faculty says Fall Break is a good idea badly implemented. He speaks for himself.

A member of the Marketing faculty says Fall Break is a "gimmick" which panders to students. He speaks for himself.

A member of the Slavic Languages and Literature faculty writes after December 6, but answers none of the questions in the memo directly. His opinion of Fall Break is negative.

On the basis of these responses, it is difficult to conclude that faculty support for Fall Break is overwhelmingly positive. Answers to Question 4, "Is Fall Break useful?" show that fewer than half the respondents (N=34) said yes, while nearly two-thirds either said no or were unsure. The two departmental tallies show a more favorable response to the same question. With N=25, 15 said yes, and 10 either said no or were unsure. Question 3 shows that few faculty perceived positive benefits to their students in terms of preparedness or participation. Among individual responses (N=34), only 4 reported that students were better prepared or more willing to participate after the break. 12 did not answer this question, 15 said no, 2 offered a mixed response, and 1 reported that students were more prepared. The departmental tallies show only 1 response of yes, 24 of no (N=25).

## Additional Considerations

This analysis might easily be expanded, but a number of other issues which the survey does not address at all also deserve mention, though many were raised independently and eloquently by those responding. One in particular is student stress, offered in your report as the principal reason for recommending continuation of Fall Break.

1. Since student performance does not appear to have been improved by Fall Break, the only noticeable effect seems to have been a decline in counseling center appointments. These figures were the only data actually presented to Council, rather than any academic data, anecdotal or otherwise. It seems obvious that counseling visits will have a peak every semester unless the entire class calendar is eliminated. The ratio-

nale for timing Fall Break was to have it coincide with the highest of these peaks. That logic suggests that breaks will need to be added until the curve is completely flat. Since there will always be a peak, the question is whether this particular peak justifies a break.

2. While counseling visits have been rising, it is not clear whether this is due to increased student stress or to successful advertising by the counseling center and increased social acceptability for therapeutic assistance. The assumption that counseling visits are related primarily to academic stress also needs to be demonstrated. I am told of a survey at another university which discovered that counseling visits were highest in mid-fall because this was the time when students had greatest difficulty with new and incompatible roommates. By spring many of these problems had been resolved and counseling visits were down. I have no idea if this is the case at Penn, but there has been no discussion of possible alternative explanations for the rise in counseling visits. If faculty feel strongly that reductions in available class days are a problem, and if academic policy is to be made on the basis of health service data, this data should be open to the inspection of the entire University community, consistent with the protection of student privacy.

3. It is gratifying to learn that class attendance seems to have been largely unaffected on either side of Fall Break, but it is not clear that this would continue to be the case if Fall Break were institutionalized. Even when faculty make clear that students are expected to attend class before and after holidays, many do not. Such absences make it difficult to proceed when class progress depends on a sufficient number of students having cumulative mastery of the material as the semester unfolds. Exams scheduled for no other purpose than to discourage early departures and late returns force faculty to take greater account of holiday schedules than of more intellectually appropriate ways of organizing semester assignments, and create additional work for faculty which is difficult to

justify academically. Furthermore, the institutionalization of any holiday encourages some students to schedule strenuous trips that tire them and put them further behind instead of using this period to relax and catch up with academic work.

4. While the survey asks whether "severe" scheduling problems occurred (Question 1), it does not ask whether there were lesser but significant academic disruptions—whether, for example, faculty believe the rhythm of class progress or assignments was unacceptably, if not "severely" altered or interrupted. Nor does it ask faculty to discuss whether they feel able to determine when levels of stress may be undesirably high in their own classes and to take appropriate action (lighter assignments, even occasional canceled classes) themselves, and whether they would prefer this to a holiday by administrative fiat that may be entirely incompatible with their own class schedules. Every additional holiday limits the flexibility faculty have to arrange the semester in a sane way that is maximally responsive to the individual needs, academic and psychological, of particular classes and students.

For me, at least, the removal of another class day in a short semester in which the curriculum must already be tailored to the loss of students to religious holidays (an adjustment I am willing to make), is educationally disruptive enough that I am anxious to see policy made on the basis of a serious effort to determine the effect of Fall Break from the faculty's point of view, and to have that point of view represented accurately to the University community. While it is possible that most of the faculty *do* support Fall Break, it seems only fair for that conclusion to be established by a careful and thorough evaluation and reporting procedure, rather than by an impressionistic (and in my view, not even an accurately impressionistic) account of a relatively small number of response letters whose representativeness is highly questionable.

—Carolyn Marvin, Associate Professor  
Annenberg School of Communications

## Professor Levine Responds:

Professor Marvin's letter presents an analysis of the faculty responses received by last year's Committee Report to Evaluate the Fall Break. Her letter is excessive and misstates the Committee's report. She accuses me of characterizing the "faculty response as though it were unquestionably positive and supportive." Indeed, later in her letter, she implies that I stated that faculty support for the Fall Break was "overwhelmingly positive." In actuality, the committee report said the following:

The review conducted by the committee can hardly qualify as being scientific. Nevertheless, the committee feels it was able to get a pretty good impression of the reactions to and effects of the fall break. This is particularly true of faculty reactions since there was a very substantial faculty response to the committee's letter. On the other hand, the student response to *The Daily Pennsylvanian* questionnaire was minuscule.

In general, the faculty reacted favorably to the fall break. While some were highly enthusiastic and some strongly negative, a large proportion of the faculty stated they thought the fall break on the whole useful and caused little damage to academic schedules, continuity and attendance. An exception was found in the Physics Department, where the fall break did disrupt the scheduling of laboratories, and the School of Social Work librarian indicated that problems were caused by the absence of student assistants to help run the library, while graduate student use of the library remained at normal levels. Though the overall faculty response was positive there was little faculty support for starting the fall semester a week early in order to allow for a one-week fall break.

Professor Marvin further charges that the faculty responses received represent only a small proportion of the faculty: "Out of roughly 100 departments in the University, only 29 are represented in the response letters." The committee polled department chairs in SAS, Whar-

ton, and SEAS, and the Deans of the Schools of Nursing and Communications. It received responses from 27 of the 47 departments in SAS, SEAS, and Wharton and from both deans. I think that many of those who have had experience in trying to solicit faculty views would find it fair to characterize this as "a very substantial faculty response," which is what the committee report stated.

Finally, I have reviewed the responses and feel that the committee's observation that "a large proportion of the faculty stated they thought the fall break was on the whole useful" is supportable. If the letters received are grouped by the 27 departments and two schools, the department responses to the question "Is the Fall Break useful?" were: 14 yes, 4 no, 9 mixed or neutral; and the two schools split one strongly yes and one strongly no.

—Herbert S. Levine, Professor of Economics

## University Pension Plan: A New Alternative

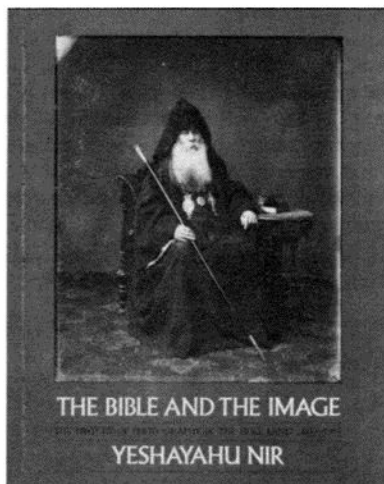
During the next two months, faculty and staff who participate in the University's defined contribution pension plans (TIAA-CREF, Equivest and Vanguard) will receive information about a South Africa-free investment alternative which will be offered for individual consideration. The Calvert Social Investment Fund will be added to the options available to plan participants as of February, 1986. As a matter of policy, Calvert seeks investments in enterprises that make a significant contribution to society through their products and services and through the way they do business. The Fund avoids investment in the production of nuclear energy, the manufacture of weapons systems and in business activities in South Africa. More information about the Social Investment Fund will be provided by direct mailings from Calvert to current plan participants in the University's defined contribution pension plans. Individuals who wish to enroll in a defined contribution plan at this time should get in touch with the Benefits office. In addition, a number of noon-time information sessions, open to all faculty and staff, have been scheduled on the following dates: Wednesday, December 4; Thursday, December 5; Friday, December 13, and Tuesday, January 7. These sessions will be conducted by Calvert representatives. Members of the Benefits staff will also be present to answer questions and to assist individuals who wish to enroll in the Calvert option. You may also call Calvert toll-free at 1-800-368-2750 for more information. When calling Calvert, be sure to mention that you are a faculty or staff member of the University of Pennsylvania. The Benefits staff as well is available to discuss the Calvert option with you. Our number is Ext. 7281. Below is a chart comparing the returns on investment of all the University's retirement plan alternatives and several other standard indicators. It should prove useful as you consider your own pension investment objectives.

—James J. Keller, Manager, Benefits

### Performance Data

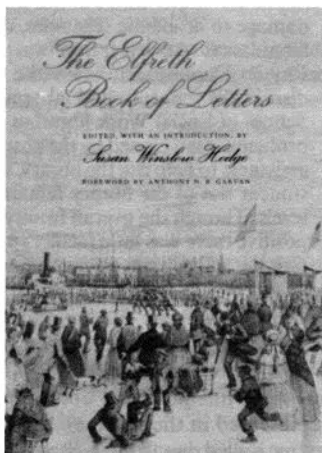
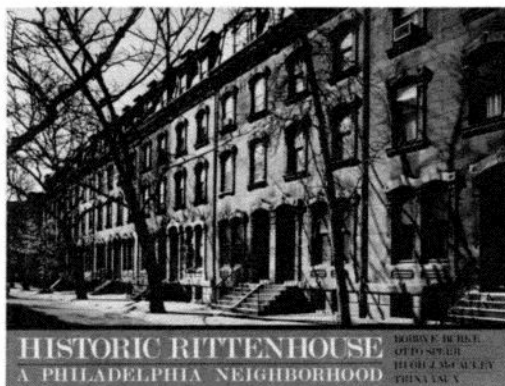
	1983	1984	6/30/84 to 6/30/85	1/1/85 to 6/30/85
<b>Calvert Social Investment Fund</b>				
—Money Market Portfolio	9.31%	10.21%	9.37 %	8.15%
—Managed Growth Portfolio	11.3 %	6.7 %	30.10 %	17.14%
<b>TIAA</b>	12. %	12. %	11.825%	11.75%
<b>CREF</b>	25.3 %	4.9 %	29. %	16.2 %
<b>Vanguard</b>				
—Windsor	30.1 %	19.47%	42.6 %	15.89%
—High Yield Bond Fund	15.1 %	7.86%	25.9 %	11.47%
—Money Market Trust				
Prime Portfolio	8.9 %	10.6 %	9.36 %	4.06%
—Wellington	23.6 %	10.7 %	34.33 %	15.06%
<b>Equivest</b>				
—Balanced Account	—	24.2 %*	21.47 %	14.84%
—Money Market Account	7.67%	9.47%	8.73 %	6.94%
<b>U of P Associated Investment Fund</b>				
	23.7 %	16.3 %	38. %	16.5 %
<b>Standard &amp; Poor's</b>				
Index of 500 Stocks	22.5 %	6.2 %	30.8 %	17.2 %
<b>Bond Index</b>	4.7 %	15. %	28.7 %	38.7 %

\* Reflects returns from 5/1/84 (inception) to 6/30/85



### Book Shopping at the Club

December 4 the University Press brings its Christmas Book Sale to the Faculty Club, 11 a.m. to 6:30 p.m. For members and guests there is a 20 percent discount not only on the titles shown here, but on some 30 others including — by faculty authors — the new breakthrough English translation of *The Digest of Justinian*, by Alan Watson; *Economic Theory and Econometrics*, by Lawrence Klein; *Empirical Models for Biblical Criticism*, edited by Jeffrey Tigay; and *Discourses on Siva*, edited by Michael Meister. Some of this season's Press offerings highlighted in *The New York Times* will also be in the Faculty Club sale — notably Nicola Chiaromonte's *The Paradox of History*, Richard Schechner's *Between Theater & Anthropology*, and, from the American Folklore Society New Series, *Women's Folklore*, *Women's Culture*, edited by Rosan A. Jordan and Susan J. Kalcik.



## DEATHS

**C. Windle McMahon**, a retired assistant director of annual giving, died November 7 at the age of 81. Mr. McMahon, a 1927 graduate of the Wharton School, returned to Penn in 1951 and spent most of the next 24 years employed in the Annual Giving Office until his retirement in 1975. He was active in alumni groups and was a member of Sigma Chi fraternity. He is survived by a son, Charles; a daughter, Marcia Keyt, and six grandchildren.

### Van Pool to Germantown/Mt. Airy

Van pool #11 to the Germantown/Mt. Airy is in need of a back-up driver. We also have space available for new riders. Please contact Rosalind Carter at Ext. 5036 for details.

### Book Store Requisitions

For your own protection, and your department's, please remember a proper Penn ID is required to obtain blank requisitions from the Book Store. Also, requisitions must be embossed with a current TAC card and signed by the budget administrator. Further, the person using the requisition must present a Penn ID.

I would like to stress that this is a security measure to protect, not to create more work or confusion. Thank you for your help.

—Bill Petrick, Asst. Director, Book Store

**Zip+4 Extras Available:** By a stroke of good fortune (when there is no spoilage, the printer gives us the make-ready or test-run copies), *Almanac* has spare copies of the October 8 issue containing the new mail codes. Members of the University who would like these to add to their University Telephone Directories may call Ext. 5274. —Ed.

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