

Almanac

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Campaign Kickoff: October 12

What Development Vice President Rick Nahm recently called Penn's "worst kept secret," a five-year capital fund drive to be voted upon officially at a special Stated Meeting of the Trustees Thursday, now has a name—The Campaign for Penn—but its dollar goal remains under wraps.

Amid press speculation that what has been discussed publicly at \$800,000 may be raised to \$1 billion, the Trustees will set the goal at Thursday's meeting. A key factor in setting capital campaign goals is the size of the "nucleus fund" its board can raise before an actual drive begins—and Penn's announced nucleus goal of \$270 million by October has already been exceeded by about \$60 million. By any of several measures, he said, including advance commitments by Trustees and pledges of \$1 million and more by non-Trustees, the current capital effort is running at three times the pace of Penn's last major capital campaign, the \$255 Million Program for the Eighties.

A healthy nucleus fund is one of two "harbingers of success" analyzed by Paul F. Miller Jr., chairman of the Trustee Committee on Development, in a forthcoming report on *Gifts to the University of Pennsylvania*. The other is called baseline support—day-to-day giving independent of the nucleus fund—and includes such indicators as alumni participation levels, reunion gifts, Benjamin Franklin Society membership, and number of gifts greater than \$25,000. Some specific baseline indicators:

Total subscriptions, new commitments by all donors, reached \$222.9 million, a gain of 98 percent over the previous year's record of \$112.4 million, while **total receipts**, payments on new and previous commitments, were \$122.1 million, an increase of 15 percent over last year's record of \$105.7 million.

Annual Giving set a new record of \$14.95 million, 11 percent above the previous year's record level. **Planned Giving** soared to \$31.7 million, more than six times its level of four years ago.

Total Donors rose in number to 69,042 from their previous record of 67,197, and **Alumni participation** rose to 40 percent from the earlier high of 35 percent.

Receipts and Subscriptions of \$1 million or more numbered 45, compared to the previous record of 27.

Endowed Chairs established in 1988-89 numbered 33, or three times the previous record.

Seven Chairs in the Wharton School

The Wharton School has announced appointments to seven named chairs—including the first visiting executive professorship in the program created last year to bring leading practitioners of business into the classroom. The first holder of the Walter C. Bladstrom Executive Professorship in Entrepreneurial Management is Bruce Merrifield, former Assistant Secretary of Commerce for Productivity, Technology, and Innovation, who developed legislation that paved the way for R & D consortia and protection of U.S. technology.

Dr. Michael R. Gibbons of Stanford joins the faculty as Drexel Burnham Lambert Professor of Investment Banking, taking a chair that honors the alumnus and trustee I. W. Burnham II. Dr. Gibbons's research tests portfolio efficiency and the Capital Asset Pricing

Model, as well as studies the volatility of bond prices. He is editor of the *Review of Financial Studies*, and has been a director of the American Finance Association.

Five current Wharton faculty members were awarded endowed chairs in recognition of achievements in their respective fields:

—Dr. Andrew Abel as the Robert Morris Professor of Banking;

—Dr. John Kimberly as the Henry Bower Professor of Entrepreneurial Studies;

—Dr. Howard Kunreuther as the Meshulam Riklis Professor in Practice of Creative Management;

—Dr. Peter Linneman as the Albert Sussman Professor of Real Estate; and

—Dr. Robert Stambaugh as the Ronald O. Perelman Professor of Finance.



Two new arrivals holding chairs at Wharton are Mr. Merrifield and Dr. Gibbons, just above. To the right of them are Dr. Abel and Dr. Kimberly. Immediate right are Dr. Kunreuther, Dr. Linneman and Dr. Stambaugh.



Settlement for Meera Ananthkrishnan: A Trust in India

Counsel for the University and for L.K. Ananthkrishnan, the father of the Penn graduate student killed by an intruder in the Graduate Towers in 1985, have confirmed that settlement has been made in Mr. Ananthkrishnan's suit against the University, at a figure not disclosed by court order. Funds will be used to establish a trust in India to assist Indian students in theoretical physics and related fields to study at Saint Stephen's College in New Delhi and the Indian Institute of Technology at Madras. On the anniversary of Meera Ananthkrishnan's death, November 29, the trust will distribute gifts to the poor and to single women.

At Penn, where Ms. Ananthkrishnan was a highly regarded young physicist and popular teaching assistant, a memorial service has been held every year since her death, under the aegis of the Women's Center and with participation from the physics department, International Programs, Residential Living and other parts of the University. This year's service will be November 16.

Ms. Ananthkrishnan's assailant, George Stump of Harrisburg, was traced through stolen goods, pleaded guilty and was sentenced to life imprisonment; a companion was acquitted. In the wake of the tragedy Penn installed card readers to limit access to dormitories, channeled all entry routes through monitored points, and increased safety orientation programming. Following the 1988 death of Cyril Leung, an economics graduate student from Hong Kong who died after a gang assault in Clark Park, the University also established a special task force on international student safety. The task force will issue an interim report next week.

SENATE

From the Senate Office

The following statement is published in accordance with the Senate Rules. Among other purposes, the publication of SEC actions is intended to stimulate discussion between the constituencies and their representatives. We would be pleased to hear suggestions from members of the Faculty Senate. Please communicate your comments to Senate Chair Robert E. Davies or Faculty Senate Staff Assistant Carolyn Burdon, 15 College Hall/6303, Ext. 6943.

Actions Taken by the Senate Executive Committee

Wednesday, October 5, 1989

1. **CREF Payout at Retirement.** The following motion was adopted unanimously for forwarding to the Provost: "The Senate Executive Committee strongly urges the administration to make available to all retiring faculty the option of taking CREF as cash in a lump sum upon retirement."
2. **Consideration of Scheduled Meetings of the Faculty Senate.** The Chair was instructed to write to all academic deans and the organizer of the annual 25-Year Club Dinner to respectfully request that they try to avoid scheduling meetings during the academic year involving members of the standing faculty that would conflict with those of the Senate Executive Committee (the first Wednesday of the month, except September and January, 3-5:30 p.m.) and with those of the University Council (the second Wednesday of the month, 4-6 p.m.).
3. **Judicial Administrator.** The Chair was asked to meet with the Judicial Administrator and review the University judicial procedures.
4. **Nominations to Senate ad hoc Committee to Review University Council.** The draft of nominations was reviewed and it was decided that the review committee membership would be seven faculty members. The nominations will be circulated by mail ballot to SEC members and appointments made thereafter.
5. **Nominations to Senate Nominating Committee.** The deadline for receipt of nominations by Senate Executive Committee members was extended to noon on Tuesday, October 10.
6. **Discussion with the Provost.** SEC members discussed with Provost Aiken a wide range of issues, including current plans for the 250th Anniversary celebration, progress of the Provost's ten working group reports which are due to be published next month, the need to reaffirm academic integrity at the University, problems inherent in the national trend of spiraling inflated salaries to attract faculty "stars" and the desirability of building among the existing faculty, the need to share budget information with department faculty members, and the University's concern and commitment to address the security issue on and off campus in the neighboring community.
7. **Vacancies on SEC and the Economic Status Committee.** The Chair was authorized to fill the recently vacated at-large position on SEC and the recently vacated position on the Senate Committee on Economic Status of the Faculty from the rank-ordered list voted on by SEC last week.
8. **President's Task Force Report on Archival Policy.** SEC reviewed the report with Task Force Chair Professor Walter Licht, Professor Martin Pring, and Archivist Mark Frazer Lloyd. Following extended discussion towards clarification of the access procedure, SEC approved publication of the report in *Almanac* under the heading "For Comment." (See pages 5-6 of this issue.)

To: Members of the Faculty Senate
From: Robert E. Davies, Chair
Subject: Senate Nomination for Secretary-elect 1989-90

The Senate Nominating Committee was reconvened to fill a vacancy in the post of Secretary-elect and the following nomination is the result.

1. In accordance with the requirements of Sec. 11(b)(i) of the Senate Rules, official notice is hereby given of the Senate Nominating Committee's nominee. The nominee, who has indicated his willingness to serve, is:

Secretary-elect: Gary Hatfield
(associate professor philosophy)

2. Again pursuant to the Senate Rules Sec. 11(b)(i) you are invited to submit "additional nominations, which shall be accomplished via petitions containing at least twenty-five valid names and the signed approval of the candidate. All such petitions must be received no later than fourteen days subsequent to the circulation of the nominees of the Nominating Committee. Nominations will automatically be closed fourteen days after circulation of the slate of the Nominating Committee." Pursuant to this provision, petitions must be received at the Faculty Senate Office, 15 College Hall/6303, by 5 p.m., Tuesday, October 24, 1989.

3. Under the same provision of the Senate Rules, if no additional nominations are received, the person nominated by the Nominating Committee will be declared elected. Should additional nominations be received, an election will thereafter be held by mail ballot.

COUNCIL

Summary of Report on Child Care

(Full report to be discussed at Council October 11. Summary is by the chair of the Personnel Benefits Subcommittee; members included Graduate Student Marcia Chapman, Marketing's Business Administrator Marcia Longworth, Annenberg School Assistant Dean Catherine Schifter, and Business Services' Marie Witt.)

Following are the major recommendations proposed:

Maternity and child-rearing leave policies: A separate maternity leave policy allowing 6-8 weeks of unpaid leave after delivery should be written. Paternity leave should be defined within the policy.

Leave prior to delivery and time in excess of 6-8 weeks after delivery should be certified by a physician.

A separate family/child-rearing policy should also be written. This should include right to return to same position at same salary.

Sick leave and short-term disability: Additional short-term disability days for A3 employees (similar to bank for A1 staff) should be provided. Increase number of sick days for household from 3 to 6.

Flexible work schedules: University should define and publish definitions and guidelines for flexible work scheduling and appointments. Guidelines should cover reduced hours following a period of disability or leave, at-home work, job-sharing, flexible hours, and part-time status.

Insure that all policies and guidelines are published, disseminated, explained and marketed to the entire University.

Support services: Combine University family and child-care sup-

port services into one central location. Included should be reference library, coordinated training and support programs and workshops, newsletter, as well as an in-house child-care coordinator to handle legislative participation, referrals, counseling etc.

On-site child-care facility: University needs to make a decision to invest in good quality, affordable child care for its employees in attractive quarters. Care should be for infants through and including kindergarten age.

Short-term objective: modify current University space. Long-term objective: provide a facility designed specifically for infants through and including kindergarten age in either new or renovated space.

The University needs to decide whether to run its own program or contract with an outside vendor or management firm.

Affiliated Relationships: The University should continue its cooperative relationship with other West Philadelphia area centers. In particular, should explore the possibility of merging with the Parent Infant Center housed in University-owned property; this would then provide the infant care component currently not provided by the Penn Children's Center.

Coordination of services should be explored with HUP.

Conclusion: The history and commitment of the University to child-care issues suggests a pattern of forced involvement, crisis intervention and reluctant paternalism. A strong statement of philosophy and appropriate policy and procedures can arrest that unfortunate process and move the University into constructive, planned and cost-effective activity.

—Elsa L. Ramsden, Subcommittee Chair

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Council October 11: Child Care, Research Misconduct, Other Issues for Discussion

At its first fall meeting—moved to Bodek Lounge in Houston Hall—the University Council will act on an amendment to bring the Bylaws in line with last year's changes in the Guidelines on Open Expression. The rest of the agenda items are for discussion, including:

—Proposed amendments to Bylaws to add the *Director of Human Resources* to the Personnel Benefits Committee, the *Chaplain* to the Student Affairs Committee, the *Director of the Black Resources Center* to two committees (Safety/Security and Community Relations) and a *second graduate student* to the Committee on Recreation and Intercollegiate Athletics.

—A Facilities Committee resolution that "...endorses the policy of keeping Steinberg Hall-Dietrich Hall open on a 24-hour-a-day basis for student study and meeting space, and recommends that the Provost or other administrative officers identify a source of funding..."

—GAPSA's resolution calling upon the administration to "...ensure the continued well-being of House of Our Own bookstore" (text similar to GAPSA's Speaking Out letter in *Almanac* September 26).

—A Report on Child Care by a subcommittee of the Personnel Benefits Committee. (See the subcommittee chair's summary, page 2 of this issue. The body of the report, scheduled for publication in a future issue, contains studies of child care practices nationally, regionally and in the Ivy League, and includes utilization data for the Penn Children's Center. See also *Almanac* March 29, 1988, for an earlier report and a survey done by the Student Affairs Committee.)

—A draft policy on Misconduct in Research (below), developed by the Council Committee on Research under the chairmanship of Dr. Terry L. Friesz of transportation, since succeeded by Dr. Haim Bau of mechanical engineering. (See also *Almanac* September 26.)

FOR COMMENT

Draft of Procedures Regarding Misconduct in Research

For discussion at Council October 11, presented by the Research Committee which includes Dr. Haim Bau of mechanical engineering, chair; Dr. Steven Douglas, pediatrics; Dr. Terry L. Friesz, systems; Dr. Shiv Gupta, marketing; Dr. Alan M. Kelly, pathobiology/Vet; Dr. Paul Korshin, English; Dr. Barbara J. Lowery, Nursing; Dr. Ponzy Lu, chemistry; Dr. Jane Menken, sociology; Dr. Frank Pepe, anatomy/Med; Dr. Chiaho Shih, biochemistry/biophysics/Med; four students and an administrator to be named; and ex-officio members Vice Provost for Research Barry Cooperman and Director of Research Administration Anthony Merritt. Comment may be sent to Dr. Cooperman at 106 College Hall/6303.

Introduction

The University relies on its faculty to establish and maintain the highest standards of ethical practices in academic work including research. Misconduct is forbidden and represents a serious breach of both the rules of the University and the customs of scholarly communities.

Recent public disclosures of instances of misconduct in research, while relatively rare in relation to the total research enterprise, have raised concerns about academe's ability to detect such misconduct and to handle such cases effectively. While the primary responsibility for maintaining integrity in research must rest with those who perform it, the University must establish standards for its faculty to assure a healthy environment for research. These include procedures for dealing with alleged misconduct in research.

For the purpose of these procedures, misconduct is defined as fabrication, falsification, plagiarism, or other serious deviation from accepted practices in proposing, carrying out, or reporting results from research. Some forms of misconduct such as failure to adhere to requirements for the protection of human subjects or to ensure the welfare of laboratory animals are governed by specific federal regulations and are subject to the oversight of established University committees. However, such violations may be covered by these procedures when so determined by such committees or by responsible institutional officials.

The University condemns misconduct in research and is obligated to establish procedures to investigate allegations of misconduct in light of the following:

1. The University expects each faculty member to maintain and further the highest standards of ethical practices in research. Especially important are integrity in recording and reporting results, care in execution of research procedures, and fairness in recognition of the work of all others involved.

2. Improper limitations on access to information are encroachments on the free pursuit of new knowledge within the scholarly community, are unacceptable, and should not be tolerated.

3. Committees on Appointments and Promotions at all levels are encouraged to evaluate in detail the quality of published work in assessing the scholarly productivity of candidates for appointments and promotions. The most specialized internal peer review should take place at the department level. Faculty who make recommendations concerning appointments and promotions should acquire as deep an understanding as possible of the research of the individual under consideration, thereby minimizing the possibility of research misconduct and promoting the highest standards of research.

4. The University expects faculty members to be responsible for the integrity of the research carried out under their supervision, no matter who actually performs the work or under what circumstances.

5. While there is no institutional policy stating who should be named

as authors of reported work, authorship implies a definable major contribution to the work and an acceptance of responsibility for the methods and findings of the work.

6. Investigators are expected to keep thorough and verifiable records and to insure that exact copies of these records are preserved for use by the unit in which the work is done.

7. Part of the maintenance and perpetuation of high ethical standards includes the responsibility to report research misconduct. If University colleagues and those elsewhere observe behavior they consider misconduct, they are expected to report it.

8. Charges of misconduct must be resolved expeditiously in a fair and objective manner, protecting the rights of the person or persons against whom a complaint has been filed (the respondent) and the person or persons filing the complaint (the complainant). The making of knowingly false or malicious accusations violates acceptable norms of behavior for members of the University community.

Procedures for Handling Alleged Research Misconduct by Standing and Associated Faculty

The procedures which follow recognize the need to protect the rights and reputations of all individuals, including those who are alleged to have engaged in misconduct and those who report the alleged misconduct. These procedures also recognize that ethical standards are not only an individual obligation but represent a responsibility to the institution and to the public and scientific communities as well.

All committees and parties to an inquiry or investigation have the obligation to maintain maximum confidentiality throughout the proceedings. All persons concerned have the obligation to cooperate and furnish all requested information. If any party refuses to do so, the committees of inquiry and investigation will consider this in their reports to the dean.

1. Preliminary Inquiry

- 1.1 Before filing a complaint, an individual is encouraged to review the matter with his or her department chair, dean, and/or University ombudsman, to seek advice from individuals he or she trusts, and through such consultation to determine whether the matter should be pursued. Inquiry into misconduct in research should be initiated by written complaint from any individual, whether or not affiliated with the University, filed with the dean who will notify the Provost and the Chair of the Faculty Senate. The complaint must be detailed and specific, and accompanied by appropriate documentation.

- 1.2 Upon receipt of a properly documented complaint, the dean shall appoint a preliminary inquiry committee consisting of at least two individuals who are not members of the same department as, or collaborators with, the complainant or respondent. The members of the committee should be unbiased and have appropriate backgrounds to judge the issues being raised. They may but need not be members of the faculty

of the University. Upon appointment of the preliminary inquiry committee, the dean will notify the complainant and the respondent of the names of the committee members. The dean will also inform the respondent of the nature of the charges but, at the request of the complainant, will endeavor to avoid identifying the complainant. The appointment of the preliminary inquiry committee will ordinarily be completed within two weeks of the receipt of a properly documented complaint.

1.3 The preliminary inquiry committee shall gather information and determine whether the allegation warrants a formal investigation. The committee shall then submit a written report of its findings to the dean with a copy to the Provost, the complainant and the respondent. This report shall be submitted ordinarily within 30 days of receipt of the written complaint by the dean.

1.4 If the report of the preliminary inquiry committee finds that a formal investigation is not warranted, the dean may propose to drop the matter. This decision shall be reviewed by the Provost. The review by the dean and Provost will ordinarily be completed within 10 days after receipt of the preliminary inquiry report. If the Provost agrees with the dean, the matter shall be dropped, and the concerned parties shall be informed. In this event, sufficient documentation shall be maintained, for at least 3 years following the inquiry, to permit a later assessment of the reasons that a formal investigation was not deemed warranted. The dean and the Provost have the responsibility to take an active role to repair any damage done to the reputation of the respondent.

1.5 If the Provost disagrees with the dean's decision to drop the matter, the dean shall initiate a formal investigation as provided in section 1.6.

1.6 If the report of the preliminary inquiry committee finds that a formal investigation is warranted or the dean or Provost decides the matter should be pursued, the dean shall:

- a) notify the complainant and respondent;
- b) identify the complainant to the respondent;
- c) initiate a formal investigation as provided in section 2.

The Provost shall then inform both agencies funding the research and the Senate Consultation Subcommittee that a formal investigation has been initiated.

2. Formal Investigation

2.1 To initiate a formal investigation, the dean shall appoint a formal investigation committee of not less than three individuals who shall not have been members of the preliminary inquiry committee but whose appointment shall be subject to the same provisions for appointment of the preliminary inquiry committee as described in section 1.2.

2.2 The formal investigation committee shall undertake a thorough examination of the charges. During its proceedings the committee shall have access to and consult legal counsel. The respondent and the complainant may each be accompanied by an adviser, who may be a lawyer but who may not participate in the proceedings. Except in unusual cases, the respondent and the complainant should not appear before the committee at the same time.

2.3 Following the completion of its investigation the committee shall submit a written report with full documentation of its finding of fact to the dean with copies to the Provost, the complainant, and the respondent. This report shall ordinarily be sent within 90 days of the decision to conduct a formal investigation. The respondent shall be permitted to make a written reply to the Provost within 21 days of the sending of the report. Such reply shall be incorporated as an appendix to the report of the formal investigation committee. The Provost shall then report the outcome of the investigation to agencies funding the research and the Senate Consultation Committee. The Provost shall also provide a copy of the report to the funding agency, as required.

3. Resolution

3.1 If the report of the formal investigation committee finds the charges unfounded, the matter shall be dropped and the concerned parties shall be informed. The dean and the Provost have the responsibility to take an active role to repair any damage done to the reputation of the respondent.

3.2 If the report of the formal investigation committee finds the charges against a faculty member to be substantiated, the dean shall proceed to impose penalties which are appropriate to the seriousness of the offense and in accordance with University procedures and which take into consideration the previous record of complaints against the respondent. For major offenses by standing faculty, the dean shall consult with members of the faculty concerned to aid in determining whether there

is substantial reason to believe that just cause exists for suspension or termination, and shall take other steps as may be appropriate under the University's procedure for Suspension or Termination of Faculty for Just Cause. For less serious offenses which do not warrant suspension or termination, possible penalties include removal from a particular project, a letter of reprimand, special monitoring of future work, probation, reduction of salary raise, and reduction in rank.*

3.3 The respondent has access to all established University grievance and appeal procedures in accordance with the stated jurisdiction of such procedures.

3.4 When charges have been substantiated, the Provost shall take appropriate steps to correct any misrepresentations resulting from the misconduct in question. Collaborators, professional societies, and other affected institutions and individuals should be informed. If misrepresented results have been submitted for publication, already published, or otherwise disseminated into the public domain, appropriate journals and other sponsors should be notified.

4. Procedures

4.1 All committees and parties to an inquiry or investigation have the obligation to maintain maximum confidentiality throughout the proceedings. All persons concerned have the obligation to cooperate and furnish all requested information. If any party refuses to do so, the committees of inquiry and investigation will consider this in their reports to the dean.

4.2 The complainant or respondent may challenge for cause the appointment of any member of the preliminary inquiry committee or formal investigation committee. If the challenge cannot be resolved to the mutual satisfaction of the dean and the complainant or the respondent, the dean shall consult with the Provost. Prior to reaching a final decision, the Provost shall also discuss the challenge with the members of the Senate Consultation Committee.

4.3 If the dean is the complainant, he or she shall file the complaint in writing with the Provost and the matter shall proceed directly to the formal investigation stage. The Provost shall (a) inform the respondent of the complaint, (b) take responsibility for conducting the formal investigation according to the provisions of section 2, and (c) inform agencies funding the research that a formal investigation has been initiated. In carrying out the formal investigation the Provost shall assume the role specified for the dean and the President that specified for the Provost. Resolution of the complaint shall be carried out according to the procedures of section 3 with the dean and Provost resuming their specified roles.

4.4 In the event of a conflict of interest or the appearance of a conflict of interest on the part of the dean, he or she is obligated to remove him- or herself from the case during the preliminary inquiry and formal investigation and to transfer to the Provost responsibility for carrying out these procedures. In carrying out the latter the Provost shall assume the role specified for the dean and the President that specified for the Provost. Resolution of the complaint shall be carried out according to the procedures of section 3 with the dean and Provost resuming their specified roles and with the proviso that any penalties imposed by the dean for less serious offenses, i.e., those that do not warrant suspension or termination, shall be subject to review and approval by the Provost.

4.5 Complete records of all relevant documentation on cases treated under the provisions of this policy shall be preserved in the offices of the dean and the Provost. The records of cases which are dropped under the provisions of sections 1.4 or 3.1 shall be preserved for at least three years following the initial inquiry, but not as part of the personnel record of the respondent.

4.6 The University may act under these procedures irrespective of possible civil or criminal claims arising out of the same or other events. The dean, with the concurrence of the Provost, after consulting with the general counsel, shall determine whether the University shall, in fact, proceed against a respondent who also faces related charges in a civil or criminal tribunal. If the University defers proceedings, it may subsequently proceed irrespective of the time provisions set forth in these procedures.

* These examples have been cited in the document "Framework for Institutional Policies and Procedures to Deal with Fraud in Research" by the Association of American Universities, the National Association of State Universities and Land-Grant Colleges, and the Council of Graduate Schools, November, 1988.

The following protocols have been proposed by the President's Committee on Archival Policy, chaired by Dr. Walter Licht of history, with Dr. Jacob Abel of SEAS, Dr. Robert Engs and Dr. Drew Faust of SAS, Dr. Joan E. Lynaugh of Nursing, Dr. Martin Pring of Medicine, and Mark Frazier Lloyd, director of the University Archives and Records Center, as members. They were discussed by the Senate Executive Committee October 4, 1989, and recommended for publication for comment by the University community. Written views are invited by President Sheldon Hackney, 100 College Hall/6303.

Protocols for the University Archives and Records Center

I: Mission

The University of Pennsylvania, acting through its University Archives and Records Center, recognizes its responsibility to the academic community and to the public for the orderly retention and disposition of all University records, both active and inactive, and for the timeless preservation of historically significant documents and other materials which reflect the University's origins and development and the activities and achievements of its officers, faculty, students, alumni, and benefactors.

In order to meet this obligation the University Archives and Records Center has been designated the official repository of all inactive and historical records of the University's administrative offices, academic departments, committees, and student groups. Documentation is sought for all aspects of University life. The Director of the Archives and Records Center organizes and supervises the deposit and servicing of inactive records in the Records Center and the eventual permanent conveyance of historical materials to the Archives. The purpose of the records management program is to provide records retention and retrieval services which assist the faculty and administrative staff in the ongoing operation of the University. The purpose of the archives program is to collect, preserve and make accessible materials of historical value. Thus it serves scholars interested in the history of the University, institutions of higher learning in the United States, American intellectual life, and the Philadelphia community in which the University lives. In addition to the University's administrative records, the Archives and Records Center shall also collect the personal and professional papers of University officers, faculty, students, alumni, and benefactors and the papers of individuals and organizations where the subject matter of the collection is particularly relevant to University history.

The Archives and Records Center shall provide appropriate facilities for the retention, preservation and servicing of its holdings. Inactive records remain the property of the office of their origin and are made accessible only to authorized representatives of that office. Historical materials are the property of the Archives and Records Center and are made accessible to scholars and the community at large in accordance with University access policy. By making its historical collections accessible, by encouraging their use for historical research and scholarship and by entering into cooperative relationships with other archival and records management agencies and institutions, the Archives and Records Center shall serve as an educational resource center within the University of Pennsylvania, a place to stimulate and nourish creative teaching and learning.

II: Administrative Mandate

The Trustees of the University of Pennsylvania, recognizing the need for formal archival and records management policy, hereby adopt the following policy and procedures for the collection, retention, preservation, and servicing of University records:

1) Responsibility for assuring that historically significant materials shall be preserved and permanently retained at the University of Pennsylvania lies with a single administrative unit, the University Archives and Records Center. The successful collection of all such records requires that one office, with University-wide purview, manage their progression through the several stages—active, inactive and archival—of their life cycle. In general, active records are those in use in the office in which they were created; inactive records are those placed

under finite-term retention at a records center facility, and archival records are those of historical significance retained permanently in a repository open to research.

2) Any papers or other records generated or received by the administrative and academic offices of the University in the conduct of their business—including all official printed material, reports, record books, minutes, committee files, financial records, correspondence, and associated papers—are the property of the University and may become archival material. The definition of University records shall also extend to forms other than paper, such as prints, photographs, microfilm, motion picture film, audio and video tape, and machine-readable records.

3) All administrative officers of the University, including those members of the Faculty who, by virtue of administrative responsibilities either of a continuing or occasional nature, possess University records relating to their official duties, are to observe the following policy and procedures:

a) Provision shall be made for efficient and economic records control by all University administrative offices and the University Archives and Records Center. Records shall be regularly surveyed, inventoried and appraised to determine retention value. Active records shall be retained by the office of origin; inactive records will be transferred to the Records Center and placed on finite-term retention schedules. The officer in charge of each administrative or academic office, in consultation with the Director of the University Archives and Records Center, shall be responsible for deciding how long both active and inactive papers shall be retained in and under the direct control of the office of origin. Inactive records transferred to the Records Center shall remain the property of the office of origin and shall be accessible only to authorized representatives of that office.

b) University records may not be destroyed or placed in inactive storage at a site other than the Records Center without the joint approval of the senior officer in the office of origin and the Director of the University Archives and Records Center. Should these individuals be unable to agree on retention value, disposition shall be stayed pending review and final determination by the Advisory Committee on the University Archives and Records Center, as defined in paragraph seven below.

4) The Director of the University Archives and Records Center, in accordance with prevailing collections and access policies, shall be responsible for the appraisal of inactive University records for their historical significance. The Director shall determine which such materials shall be permanently retained by the Archives, shall grant and limit access to the collections and shall establish and administer other public service policies and procedures as necessary. Historically significant records transferred to the University Archives for permanent retention shall become the property of the University Archives and Records Center.

5) In order to facilitate archives and records management service to the entire University community and allow for effective coordination with other University offices, the University Archives and Records Center shall be an administrative department within the Office of the President and the Director shall be an officer of the University reporting directly to the President. Acting upon the advice of an appropriately representative search committee, the President shall appoint the Director. The President shall delegate to the Director sufficient authority to

enable the department to fulfill its responsibilities. The Director is responsible for long-range planning, the preparation and administration of departmental budgets, and hiring, training and supervising of departmental staff. The Director is accountable for the successful performance of all departmental services: records management, development of archival collections, cataloguing and other technical services, access, and other public services. He or she shall review and have decision making power over University records which may be offered to or found in any of the multiple archival repositories at the University. He or she shall establish intellectual access to all such repositories through the maintenance of shared collection catalogues and finding aids.

6) The University Archives and Records Center, as the official repository for all University records, including confidential records, shall provide appropriate facilities for their retention and preservation. The University Archives and Records Center shall be provided financial and personnel resources sufficient to maintain services at the level of comparable university archives and records management operations.

7) In order to facilitate these protocols an independent Advisory Committee on the University Archives and Records Center shall be established and shall have the following responsibilities:

- a) to advise the President on institutional support and initiatives required to fulfill archival and records management policy;
- b) to advise the Director on the implementation of this policy; and
- c) in particular, to resolve substantive issues which may arise regarding access and collections policy and when necessary, to advise the President on the modification of these policies.

The Committee shall be composed of ten members: one representative each from the offices of the President, the Secretary of the University, the Provost, and the General Counsel; three members of the standing faculty appointed by the Senate Executive Committee to serve overlapping three-year terms; and three members of the standing faculty appointed by the President, also to serve overlapping three-year terms. The President shall appoint the Committee Chair.

The Committee shall meet at the call of the President, the Director or the Chair. It shall meet a minimum of once per semester.

III: Collections Policy

The Director and staff of the University Archives and Records Center shall actively seek, identify and acquire historically significant materials in the following categories:

1) University administrative records, including, but not limited to: correspondence, memoranda, minutes, summary financial records, academic research, curriculum, contracts, reports, subject files, published materials, photographs, and any other material generated or received by the administrative and academic offices of the University in the conduct of their business. These records shall be collected in accordance with the University-wide archives and records management program, in which all records pass through active and inactive phases prior to appraisal for historical significance.

2) Materials which document the life of the University community, including student activities, alumni organizations, organizations of faculty and administrators, and other University related groups. Such materials are essential complements to official University records. They may take a variety of forms, including books, news clippings, manuscripts, maps and posters, motion picture films, audio and video tape, and artifacts and objects.

3) The personal and professional papers of prominent people associated with the University, including University officers, faculty, students, alumni, and benefactors. These manuscript collections may include materials relating to issues of historical significance outside higher education as well as professional academic activities, research and teaching, and educational theories and practices during the lifetime of the University. This collecting mandate shall also extend to the papers of individuals and organizations where the subject matter of the collection is particularly relevant to the history of the University, institutions of higher learning in the United States, American intellectual life, and the Philadelphia community in which the University lives.

The deposit, transfer or donation of records and other materials to the Archives and Records Center shall follow specific procedures established by the Director. In the case of deposit of University records at the Records Center, the office or individual of origin does not relinquish control of the materials. In the case of transfer of University records for permanent retention at the Archives, the office or individual of origin

relinquishes all rights to the materials. In cases where the materials are donated to the University, the donor usually relinquishes all rights, including copyright and literary rights. Donor restrictions are acceptable in special cases.

IV: Access Policy

The historical collections of the University Archives and Records Center are open for research to all members of the University community, to visiting scholars and to the scholarly public. The University encourages the use of these collections through the dissemination of descriptive catalogues and the provision of public services at the Archives.

Access to certain classes of records, however, is restricted. Access to restricted records may be requested by written appeal to the Director of the University Archives and Records Center.

The following types of records generally will be closed:

- 1) all administrative records of the University for twenty-five years from the date of their creation, with certain exceptions, such as those which must be open in conformance with law;
- 2) records of a sitting administration;
- 3) records the disclosure of which might expose the University to legal liability.

The following types of records will be absolutely closed:

- 1) individual education records of living students or living former students, as defined by the Family Educational Rights and Privacy Act of 1974, as amended, unless the student or former student grants access in writing (in accordance with the University "Guidelines on the Confidentiality of Student Records" as published in the undergraduate and graduate *Academic Bulletin*);
- 2) individual employment records of living current or former faculty members, administrators or other staff members, including records which concern hiring, appointment, promotion, tenure, salary, performance, termination or other circumstances of employment, unless the faculty member, administrator, or staff member grants access in writing (in accordance with University Personnel Policy Manual Policy No. 101);
- 3) other records where usage might constitute an invasion of privacy;
- 4) records the use of which has been restricted by Deed of Gift.

Requests to photocopy or otherwise reproduce restricted records generally will be denied.

Appeals to gain access to restricted records shall be conducted in the following manner:

- 1) a researcher seeking access to restricted records shall complete a "Restricted Records Access Request" form;
- 2) the Director shall review each request with the Advisory Committee on the University Archives and Records Center; the Advisory Committee is composed of ten members: one representative each from the offices of the President, the Secretary of the University, the Provost and the General Counsel; and six members of the standing faculty;
- 3) the Advisory Committee shall base its decisions on the merits of each case, weighing the needs of scholarship against the privacy rights of individuals and the legal interests of the University; the Committee must be satisfied that a researcher seeking access to restricted records has demonstrated that the records are required to carry out a legitimate scholarly research project or for other appropriate use; in all cases, the decision of the Committee shall be fair and reasonable, permitting the greatest possible access, given the limitations imposed by legal and ethical considerations;
- 4) in order to come to such a decision, the Advisory Committee shall meet, review the research proposal of the scholar petitioning for access, examine the materials to which he or she is requesting access and discuss the case; in cases where the materials are voluminous, the Director shall review them and summarize their nature and content for the Committee, presenting individual documents of particular concern; in cases of requests for innocuous materials, a less formal review process may be invoked, consisting of a telephone poll by the Director;
- 5) the Advisory Committee may act as a whole in its review and decision making or may delegate to a subcommittee of its own members the power to implement this policy; the decisions of the Advisory Committee shall be final.



ICA and NEA Funding

Emerging barely scratched from Washington D.C.'s battle of the arts, the Institute of Contemporary Art expects record attendance at its next show, "Success is a Job in New York" ... *The Early Art and Business of Andy Warhol*, the first major Warhol retrospective since he died. The controversial appropriations bill for the National Endowment for the Arts (see *Almanac* September 5 and August 29) came out of the U.S. House of Representatives minus its proposal to blacklist the ICA for five years, albeit (according to news reports) with a provision for the NEA to notify Congress 30 days before awarding a grant to the ICA. That would be in effect for a year while a newly created commission studies endowment procedures and considers whether permanent standards should be imposed. A remnant of the broadly written Helms Amendment restricts NEA from funding exhibitions "that may be considered ob-

scene" but adds that NEA must also have determined that the work lacks "serious literary, artistic, political or scientific value." ICA's Acting Director Judith Tannenbaum said, "It's a reasonable compromise considering the dangerous punitive actions that had been proposed. We're greatly relieved and encouraged that basic freedoms will be ensured." More than 1,000 Penn students, staff and faculty signed a petition opposing the denial of funds to ICA or legislation that "...would lead to artistic mediocrity and a McCarthyism of the arts." The campus drive was organized by Wharton senior Judy Tso.

The Warhol retrospective, already in preparation when controversy broke out in Washington over Robert Mapplethorpe's photographs, contains more than 200 nontraditional artworks produced between 1949 and 1963 while Warhol was a thriving commercial artist--and before he became a successful pop artist. Included are early drawings and paintings, advertising illustrations, limited-edition books, magazine covers, fabric designs, Christmas cards, department-store window installations, rubber stamps, and window awnings.

Above: a 1962 Harper's Bazaar cover from the upcoming show at ICA, where Andy Warhol's first museum exhibition was presented in 1965. The exhibit opens with a reception October 18, 5-7 p.m., and runs through December 3.

DEATHS

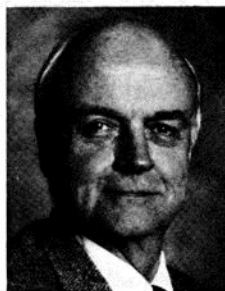
Dr. William J. Erdman II, emeritus professor of physical medicine and rehabilitation, died September 27 at the age of 68. Dr. Erdman was a graduate from Penn's School of Medicine and a professor and chairman of the department of physical medicine and rehabilitation at Penn for 34 years.

During this time, Dr. Erdman cared for thousands of patients and supervised the training of hundreds of residents. About 25% of the Chiefs in major medical centers and 10% of the physiatrists in the United States were trained at Penn under Dr. Erdman. In addition, he wrote many professional papers, was a pioneer in electromyography, and perfected the use of modalities in patient care.

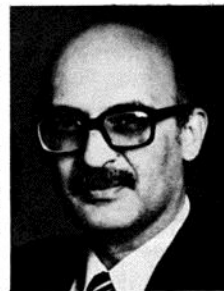
Dr. Erdman also held concurrent positions as the hospital's medical director and as assistant dean of Penn's medical school. Among his many positions, he held leadership posts in many national and international organizations of physical medicine and rehabilitation. He was also medical director of the Frederick Erdman Association and was medical director and vice president of the Presbyterian Ministers' Fund. In 1981, which was declared by the United Nations as the Year of the Disabled Person, he was recognized by the Department of Health and Human Services.

Surviving are his wife of 32 years, Betty Frick Erdman; daughters, Mary Belle Patton and Jane Elizabeth Erdman; two grandchildren, and a brother.

Dr. Iraj Kormi, 45, a former adjunct assistant professor in the systems department of the Engineering School, died October 3. He received his M.S. in civil and urban engineering at Penn in 1972 and received his Ph.D from the department of civil engineering in 1976.



Dr. Erdman



Dr. Kormi

Dr. Kormi held positions at Penn's Engineering School for a brief span of time as a part-time lab instructor, research associate, and adjunct assistant professor. Previously, he was the deputy director of Atomic Energy Organization of Iran, a consultant to the United Nations Development Program, and a consultant for the Division of Planning and Research of Philadelphia. Most recently, Dr. Kormi worked for the Chester County Solid Waste Authority concerning the technical support for landfill operations.

He is survived by his wife, Dr. Latiseh Amini Sereshki, research assistant professor at Penn's School of Nursing; two daughters, Nagin and Nushin, and two brothers.

Dr. Oscar S. Nelson, an emeritus professor of accounting at the Wharton School, died September 29 at the age of 93.

Dr. Nelson earned his bachelor's, master's, and doctorate degrees at Penn. He taught at Wharton for 44 years before retiring in 1967.

Surviving are his wife, Sara Howe Nelson; sons, G. Kenneth and David A.; a daughter, Esther R.; five grandchildren and six great-grandchildren.

Update

OCTOBER AT PENN

CONFERENCES

14 Moors, Giants, Saints and Fools: Festival Drama from Around the World; folklore experts examine dramatic folk performances from Germany to Trinidad during a one-day symposium; 9 a.m.-5 p.m. \$35, \$25 students and senior citizens. Registration: Ext. 8-3447 (University Museum).

FITNESS/LEARNING

Every Wednesday: Faculty/Staff One-Mile Run, Franklin Field, noon. Call Alan Myers, at Ext. 8-7078 for more information.

11 How to Get the Most Out of the University Libraries; 10 a.m.-noon, Room 502, Van Pelt Library. To register, call Ext. 8-7091 (University Libraries).

12 Training for the Personnel Payroll System; 3-5 p.m., Human Resources Conference Room, 5th floor, 3401 Walnut Street. Registration: Ext. 8-1323 (Office of Human Resources Information Management).

14 Franchising for Growth; for those who have a business or an idea for a business that has the potential to grow regionally or nationally; 9 a.m.-5 p.m., Harrison Auditorium, University Museum; cost of seminar, including luncheon is \$150 or \$135 for Greater Philadelphia Chamber of Commerce members. Information or preregistration: Ext. 8-4861 (Wharton Small Business Development Center).

16 Training for Online Personnel Processing; 9 a.m.-noon, UMIS Training Room, 2nd floor, 3401 Walnut Street (Office of Human Resources Information Management).

17 Eating Outside of Hunger: Compulsive Overeating; Harin Feibish, private practitioner; noon-1 p.m., Room 303, Houston Hall (Faculty/Staff Assistance Program).

18 How to Get the Most Out of the Biomedical Library; how to use PennLIN and other computer search services; 10:30 a.m.-noon, Conference Room, Biomedical Library. To register, call Ext. 8-4223 (Biomedical Library).

SPECIAL EVENTS

11 Come Back to Penn: Association of Alumnae Colloquium; (choose one, 4-5 p.m.) *Changing Gender Roles*, Demie Kurz, co-director of Women's Studies; *The Stories in Our Bones*, Janet Monge, keeper of collections in physical anthropology; (choose one, 5:15-6:15 p.m.) *Business Ethics: International Perspectives*, Joanne B. Ciulla, legal studies and management lecturer; *Educating for Leadership: Soviet Style*, Alexander Riasanovsky, professor of history; dinner at the Faculty Club, followed by a *How To Get Anyone To Do Anything You Want*, Charles E. Dwyer, educational leadership division chair. Fee: \$35, includes dinner. Registration for the program: Ext. 8-7811 (Alumni Relations).

(Continued on page 8)

Department of Public Safety

This report contains tallies of part 1 crimes, a listing of part 1 crimes against persons, and summaries of part 1 crime in the five busiest sectors on campus where two or more incidents were reported between **October 2, 1989 and October 8, 1989.**

**Total: Crimes Against Persons—0, Thefts—34, Burglaries—4
Thefts of Auto—0, Attempted Thefts of Auto—1**

Date	Time Reported	Location	Incident
32nd to 33rd; South to Walnut			
10/02/89	3:11PM	Hutchinson Gym	Wallet taken from secured locker.
10/02/89	8:44PM	Hutchinson Gym	Wallet taken from secured locker.
10/03/89	3:15PM	Hutchinson Gym	Wallet, ring taken from secured locker.
10/03/89	9:00PM	Lot #5	Radar detector taken from auto.
10/04/89	9:47AM	Lot #5	Arrest/males attempting to steal car.
10/04/89	12:24PM	Rittenhouse Lab	Cash & credit card taken.
10/07/89	7:10PM	Lot #5	Auto window broken/bag & cd taken.
36th to 37th; Locust to Walnut			
10/02/89	4:27AM	Hillel Foundation	Person in building/windows forced.
10/03/89	4:41PM	Theta Xi	Equipment taken / forced entry.
10/06/89	9:54AM	Annenberg School	Computer printer taken from room.
10/08/89	2:28AM	Phi Sigma Kappa	Arrest/unauthorized male in building.
34th to 36th; Locust to Walnut			
10/04/89	3:43PM	Alpha Chi Rho	Unattended bag taken from lobby.
10/05/89	11:45AM	Meyerson Hall	Compact disc taken from room.
10/08/89	1:14PM	Meyerson Hall	Wallet & contents taken from room.
10/08/89	3:20PM	Meyerson Hall	Calculator, sunglasses taken.
30th to 34th; Walnut to Market			
10/03/89	4:14PM	Hill House	Answering machine taken from room.
10/05/89	11:09AM	Hill House	Wallet taken from room.
10/05/89	3:00PM	Hill House	Wallet taken from unsecured room.
10/08/89	6:31PM	Hill House	Knapsack & wallet taken.
34th to 36th; Spruce to Locust			
10/02/89	1:52PM	Houston Hall	Unattended backpack taken.
10/04/89	9:49AM	Furness Building	Art supplies taken from room.
10/04/89	11:17PM	Logan Hall	Secured bike taken from rack.

Safety Tip: To avoid being the victim of an attack or robbery keep alert for the unexpected and do not take unnecessary chances. If you are a victim act with common sense and cooperate with authorities.

18th District Crimes Against Persons

Schuylkill River to 49th Street; Market Street to Woodland Avenue

Reported crimes against persons from **12:01AM September 25, 1989 to 11:59PM October 1, 1989**

Total: 24 Incidents, 5 Arrests

Date	Location/ Time Reported	Offense/ Weapon	Arrest
9/25/89	4100 Pine, 9:30PM	Robbery/gun	No
9/26/89	4000 Chestnut, 12:59AM	Robbery/gun	No
9/26/89	3300 Market, 12:00PM	Robbery/strongarm	No
9/26/89	4101 Walnut, 2:20PM	Robbery/strongarm	Yes
9/26/89	4301 Walnut, 11:30PM	Robbery/strongarm	Yes
9/27/89	3700 Spruce, 7:00PM	Purse Snatch	No
9/27/89	4100 Pine, 7:43PM	Robbery/gun	No
9/27/89	4100 Baltimore, 10:00PM	Robbery/gun	No
9/28/89	900 S47th, 12:00AM	Robbery/gun	No
9/28/89	300 S.40th, 1:11AM	Robbery/gun	No
9/28/89	4800 Regent, 12:00 AM	Robbery/gun	No
9/28/89	4700 Springfield	Robbery gun	No
9/28/89	3900 Delancey	Robbery/strongarm	No
9/28/89	4500 Baltimore, 3:10AM	Robbery/strongarm	No
9/28/89	210 S.34th, 4:07AM	Burglary	Yes
9/28/89	4107 Baltimore, 5:24AM	Robbery/gun	No
9/28/89	3800 Spruce, 5:39AM	Robbery/hammer	No
9/29/89	4300 Larchwood, 5:50PM	Robbery/strongarm	No
9/29/89	4501 Chester, 6:50PM	Robbery/knife	Yes
9/29/89	4300 Pine, 8:00PM	Robbery/gun	No
9/29/89	4300 Regent, 9:26PM	Robbery/gun	No
9/29/89	4600 Woodland, 11:30PM	Robbery/strongarm	No
9/30/89	34 S.48th, 10:00AM	Rape	No
10/01/89	4000 Locust, 4:21AM	Robbery/strongarm	Yes

Update begins on page 7

TALKS

Cancelled: The talk by Dr. Ann Benson listed in October AT PENN for *October 16*, has been cancelled by the Department of Pharmacology.

11 Paperback Movies; Andrew Lippman, associate director of Media Laboratory, MIT; 11 a.m.-noon, 235 Houston Hall (Center for Communications & Info Science and Policy).

Medical Students and HIV Infection: Risks, Precautions, and Policies at HUP and Penn; Frederic Berg, vice dean for education; Marjanne Collins, director of Student Health; Rob Roy MacGregor, chief of infectious diseases, Department of Internal Medicine; and David Ness, Medical School AIDS Education Committee; 5-6:30 p.m., Dunlop Auditorium, HUP.

Modulation of Cardiac Excitability by the Inhibitory G Protein-Coupled Receptors; Bruce Liang, department of medicine and pharmacology; noon, Pharmacology Seminar Room, Mezzanine Suite 100-101, John Morgan Building (Department of Pharmacology).

12 Studies of the Cross-Bridge Interaction in Smooth Muscle; Anders Amer, physiology and biophysics department, University of LUND, Sweden; 4 p.m., Department of Physiology Library, 4th floor, Richards Building (Muscle Institute and Department of Physiology).

17 Mechanisms of Autoantibody Production in MRL/lpr Autoimmune Mice; Jan Erikson, Institute for Cancer Research, Fox Chase; 4 p.m., Wistar Auditorium (Wistar Institute).

18 The Neural Basis for Motor Learning in the Vestibulo-Ocular Reflex; Stephen Lisberger, department of physiology, University of California at San Francisco; 4:15 p.m., Neuroscience Conference Room, 140 John Morgan Building (David Mahoney Institute of Neurological Sciences).

19 Islam and African Oral Tradition: the Epic of Sundiata and its Meanings; John Johnson, University of Indiana; 4 p.m., Rainey Auditorium, University Museum (PATHS Series on Islam in Sub-Saharan Africa).

Corrections: In the September 26 story on Dr. Ann Kennedy's appointment, *Almanac* was out-of-date in reporting that Dr. Mildred Cohn is at Fox Chase; she has returned to campus and does her research at biochemistry/biophysics.

The clothbound price of *Building the City Beautiful: The Benjamin Franklin Parkway and the Philadelphia Museum of Art* is \$39.95, not \$33.95, as listed in the October Calendar.

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