

Almanac

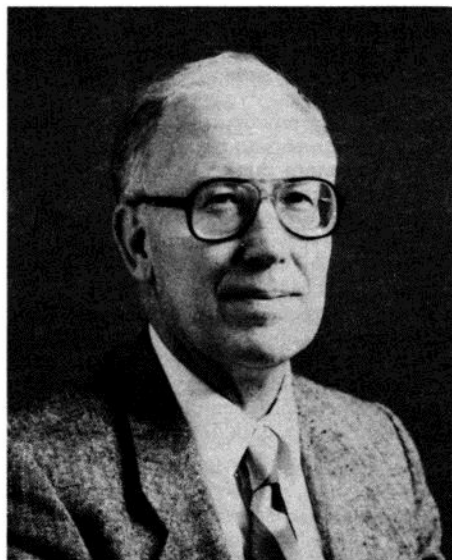
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Arriving April 1: Dr. Patton

Vice Provost/ InfoSystems & Computing: Peter Patton

The two-year search for a Vice Provost for Information Systems and Computing ended this week as Provost Michael Aiken and Senior Vice President Marna Whittington announced the selection of Dr. Peter C. Patton, a longtime member of the University of Minnesota who is now chief scientist and director of the communications and systems division of the National Technology Transfer Center in West Virginia.

Dr. Patton will take office April 1 to succeed Dr. Ronald L. Arenson, who has been acting vice provost since Dr. David Stonehill left late in 1988 for a White House post. Dr. Arenson returns to full-time teaching and research at the School of Medicine, where he is professor and associate chair of radiology and head of the Medical Board for HUP.

"Ron Arenson has been not just an acting vice provost but a very active one," Provost Aiken said. "He strengthened the organization and services of the all-University computing efforts, and brought the student registration system online. We owe much to his energy and skill in strategic planning, both within the

Information Systems and Computing structure and across the University.

"Peter Patton will be a very important asset to Penn," the Provost continued. "He has great experience and expertise, and will provide outstanding leadership in the computing field. He is a wonderful person with wide-ranging intellectual interests who will have the confidence of both faculty and administrative users here. We are very fortunate to have attracted someone of his background and ability."

Dr. Patton took his A.B. at Harvard in engineering and applied physics in 1957, his M.A. in mathematics at Kansas in 1959, and his doctorate in aerospace engineering at Germany's University of Stuttgart in 1966.

From 1971 to 1983 he was director of the University of Minnesota Computer Center and associate professor of aerospace engineering and mechanics, computer science, and ancient studies. During 1979-82 he was also director of Minnesota's Center for Ancient Studies, an interdisciplinary graduate research program developing ways to apply technology to the study of the ancient world.

In 1983-85 Dr. Patton was a principal scientist at the Microelectronic and Computer Technology Consortium in Austin, Texas, where he also directed the Parallel Processing Research Program. He returned to Minnesota, 1985-87, as founding director of the Minnesota Supercomputer Institute, an interdisciplinary computational science research program. After two years as a principal of SCS, Inc., a consulting practice in parallel processing technology and distributed information system design, he took his current post at the National Technology Transfer Center, which is funded by NASA as the single entry for over 1000 federal technology transfer data bases.

Dr. Patton is author/editor of five books including *Computing in the Humanities* (D.C. Heath, 1981) and *Data Structures and Computer Architecture: Design Issues at the Hardware/Software Interface* (Lexington Books, 1976). He also has written some 80 articles and papers, and holds patents on a computer method for the automatic generation of COBOL programs for business applications.

New Wharton Teaching Award: \$30,000 to Split Two Ways

Wharton alumnus David Hauck ('60) has established an annual award at Wharton in which \$30,000 will be divided equally between the most outstanding tenured and tenure-track faculty members teaching undergraduates. Dean Thomas Gerrity along with the deputy dean, vice dean of the undergraduate division, chair of the Wharton Undergraduate Student Advisory Board, and two previous teaching award winners, will seek nominations from all Wharton students and faculty in April, with details of the process to be announced shortly. "I continue to believe that excellence in business gives us a combination of outstanding teachers and intelligent students," the donor said. "I hope this award will stimulate both." Mr. Hauck is CEO of Complete Concepts, Ltd., an Atlanta-based holding company, and serves on the Wharton Undergraduate Executive Board.

Victim Support: Emergency Funding, Stepped-Up Planning

Responding to a joint statement of GAPSA, UA and STAAR on the needs of survivors of sexual assaults, President Sheldon Hackney told Council Wednesday that planning will be expedited, with a view to concluding the process in the spring—and meanwhile:

— An additional woman University Police officer has been assigned to victim support; other female officers willing to provide such services have been identified and will be available.

— Commissioner John Kuprevich is assessing long-term needs and may propose training all officers to assist in supporting survivors of violence.

— The VPUL has located emergency funds for counseling services provided by the Women's Center to survivors of sexual assaults, and for additional administrative support of the health educator in Student Health.

"Let me emphasize that these are *interim* steps, aimed at meeting urgent needs while we plan," the President said. "We are committed to doing more... to ensure prompt, efficient and caring response to members of the community who suffer violence."

Mandated OSHA Seminars on Viruses and Chemicals

Two seminars mandated by the Occupational Safety and Health Administration (OSHA) will be presented by the Office of Environmental Health and Safety.

The first, "Occupational Exposure to Bloodborne Pathogens," is designed to help protect personnel from occupational exposure to bloodborne pathogens such as the Hepatitis B Virus and the Human Immunodeficiency Virus. Information pertaining to the safe handling of infectious agents will be presented as well as information regarding free Hepatitis B vaccinations for all eligible personnel. This seminar will be held *February 26*, 10:15-11:45 a.m., in Lecture Hall B of the John Morgan Building. The second seminar, "Hazard Communication Standard," will provide information to personnel concerning the safe handling of chemicals in the workplace. It will be held *March 7*, 2-3 p.m., in Room D-210 of the Medical Education Building.

For information and registration, call Barbara at Ext. 8-4453.

—Barbara J. Moran, Training Specialist

Forum on Safety: February 28

A forum on Safety and Security at Penn featuring the University's Commissioner of Police John A. Kuprevich is being sponsored by the A-1 Assembly next week. All administrative and professional staff, including those in research posts, are invited to attend Thursday, February 28, noon-1:30 p.m. in the Annenberg Center's Studio Theatre. The forum is the second in a series on *Current Health and Safety Issues at Penn*; the first one focused on environmental impact on the workplace.

Further Observations on Faculty Salary Policies

Any department chair worthy of the position has to do everything possible to improve the academic stature of his or her department. Perhaps the most important part of this responsibility is the recruitment of outstanding new people and the retention of those already here. Failure to attract and maintain a faculty of international renown dooms a department to mediocrity. It is clear, nonetheless, that with limited budgets one consequence of paying market salaries to those with stellar academic reputations is that inadequate attention is paid to providing rewards for other important contributions to the University. Among the latter are salary increases for those performing exceptionally well in teaching.

In an editorial in *Science* (January 18, 1991, p. 249), Daniel E. Koshland, Jr., observed that, while "scientists are usually 'made' in the elementary schools," they "can be 'lost' by poor teaching at the college and graduate school levels." The editorial proposes that the "title of professor should be given only to those who profess"; those "reluctant to teach can be called 'distinguished research investigators' or something else . . ." Despite the strength of this suggestion, the editorial does nothing to clarify how a university should delineate between those who perform exceptionally well as teachers and those who do not.

The Provost, it is clear, is hardly in a position to determine who within a particular department merits pay increases. The Provost knows this and, further, recognizes that were he to attempt to do so he would be widely criticized for interfering with what is in most respects a proper function of the department and the school. This does not mean that the Provost is powerless, however. At one level, the Provost can announce that a certain fraction of the salary budget be allocated to salary

adjustments made specifically for outstanding teaching. In addition, the Provost can require that the several schools and departments develop criteria for evaluating teaching in their own disciplines. These criteria would then have to be used in making salary, promotion, and, where possible, appointment recommendations. A Subcommittee on Teaching Evaluation of the SAS Committee on Undergraduate Education is making strides in just this direction. I am told that one or two other schools have similar studies underway. There is no reason why all schools cannot learn from these examples.

Note at once that the adoption of such procedures will not relieve the need for the same schools and departments to pay market salaries to attract and to hold the stars. We cannot think of compensation for teaching quality as being a trade-off for pay for research excellence. The University could hardly make a greater error than to sacrifice academic excellence in a misplaced effort to achieve better teaching. It follows that any arrangement to reward good teaching must appear as an increment to the budget for faculty salaries if it is to be successful.

The University is left with the unpleasant reality that it must pay for both research excellence and teaching excellence. It need not follow that simultaneously rewarding both facets of faculty work will add to the overall costs of instruction, however. There are many ways to improve the productivity of the faculty and the facilities employed in the educational process. I hope to discuss productivity in *Almanac* in yet further observations on faculty salary policies.

The annual meeting of the Faculty Senate will be held on April 17, 1991, at 3 p.m. in 200 College Hall. All members of the standing faculty are urged to attend. An agenda will be published in advance of the meeting.

Speaking Out

United Way Phone Survey

I appreciate the discussion in the campus press about charitable giving at Penn. However, I did not appreciate the telephone survey to the University community conducted on behalf of the United Way. As a donor to United Way I was disturbed by the cost of this attempt to influence opinion on campus. While I support the health and human service agencies under the United Way umbrella, I also want other federated charities like Women's Way and United Negro College Fund to have the opportunity to solicit on campus without a portion of the donor's money going to a United Way administrative charge.

—Kristin Davidson, Asst. Dean for Administration, School of Nursing

Response to Ms. Davidson

The phone survey conducted of Penn employees is greatly misunderstood, as is the cost of running a charitable fundraising campaign at the workplace.

First, the survey was conducted to assess the impact of two years of misinformation and politicking by the organizations seeking an alternative

combined campaign at Penn, and to determine what facts people needed to make an informed decision. No one was forced to answer any questions; in fact, only four out of 300 people interviewed registered a complaint to the survey takers.

Second, whatever type of campaign Penn runs in the future, there will be a fund-raising charge for all organizations receiving support. The alternative campaign advocates admit as much. And it will be the same or more as running a United Way combined campaign. In other words, there is no free lunch.

In an alternative campaign, the cost is strictly fund-raising.

In a United Way campaign, the 11 percent cost is not only for fund-raising, but supports community services like United Way's "First Call for Help" information and referral hotline, our volunteer centers dedicated to linking individuals with agency volunteer opportunities, and programs like our Youth Council and Hispanic Leadership Development Program.

—Ted L. Moore, President, United Way of Southeastern Pennsylvania

More for All

Among the questions posed by Dean Austin in the February 5 issue of *Almanac* is a fundamental one that should be uppermost in all of our minds as we decide which model to select for a workplace charitable campaign. He asks: "If we approve a change in how our campaign is operated, which agencies are expected to gain, and which agencies might lose contributors?"

If we look at our own combined campaign this year, when, for the first time, faculty and staff could give directly to United Way and/or four other federations, we find that *every one* of the five umbrella groups gained, in that all received substantially more money. United Way alone received over \$320,000, up from \$270,000 last year. Since all groups raised significantly more money, each should have more to distribute to their member agencies, who do so much important and necessary work in the Delaware Valley.

The number of people who got involved in the campaign also increased this year. Almost 1100 more faculty and staff contributed in 1991, which is all the more remarkable given that our economy

is falling into recession.

Our experience with the combined campaign model mirrors that of other employers (several major universities, the City of Philadelphia), who have for the last few years opened up their campaigns to additional federations or funds. In each case, every fund has won, and no fund has lost. No individual agency is at risk with a combined campaign.

Given strong evidence that combined campaigns produce more money and more contributors across the board, I can

only conclude that people, when given a broad range of federations from which to choose, are more likely to contribute than if they are limited to the United Way/Donor Option model.

During the March referendum, the Combined Campaign will get my vote, and I hope the votes of all who want to see continued growth in the Penn's Way Campaign and its support for essential community services.

—Patricia Rose, Director
Career Planning & Placement

Balloting in March

At Council Wednesday, President Sheldon Hackney said his March ballots will ask faculty and staff for "Yes/No" advice on two basic questions: to have or not to have workplace campaigning, and then which of two forms is preferred. "This is not a popularity contest between United Way and other umbrella funds," he said. "It's about the structure Penn donors want." More on *Almanac* pp. 6-7, and coming in Thursday's *Compass*; other presentations have appeared in these papers and the *D.P.* since the week of January 22. Views of faculty/staff are welcome.—Ed.

From College Hall

Numbers of Standing Faculty at Penn by School, Tenure Status, Gender and Minority Status

For several years, the Office of the Deputy Provost has been publishing data showing the gender and tenure composition of the standing faculty by school. This year we are expanding the report to include similar data on minority status. These data are as of October 1, 1990. Since the data for October 1989 were published, a decision was made to count the tenure-of-title faculty, who number 38, as part of the standing faculty rather than as members of the associated faculty. Thus the 1989 and 1990 data for the Medical and Veterinary Schools are not directly comparable in terms of standing faculty but are directly comparable in terms of tenured faculty—where tenure-of-title appointments have not been included in either year.

The data show that last October the composition of the standing faculty was 18.1% Women, 2.6% Black, 1.4% Hispanic, 4.8% Asian and 74.6% White Male. The composition of the tenured faculty was 12.9% Women, 1.9% Black, 1.3% Hispanic, 2.9% Asian and 81.5% White Male.

—Richard Clelland, Deputy Provost

—Patricia Wilson, Assistant to the Deputy Provost

Numbers of Standing Faculty at Penn by School, Gender and Ethnicity October 1, 1990

School	Total Faculty	White		Black		Hispanic		Asian		Native American	
		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Annenberg	11	8	2	1	0	0	0	0	0	0	0
SAS	496	380	79	9	3	6	0	18	1	0	0
Dental	52	44	2	3	1	1	0	1	0	0	0
Education	27	18	6	0	3	0	0	0	0	0	0
SEAS	106	80	6	1	0	3	1	15	0	0	0
GSFA	32	29	3	0	0	0	0	0	0	0	0
Law	29	21	4	1	2	0	0	0	0	0	1
Medicine	826	628	133	11	6	11	1	28	8	0	0
Nursing	47	0	45	0	2	0	0	0	0	0	0
Social Work	18	7	6	4	0	0	1	0	0	0	0
Veterinary	103	83	14	0	1	2	0	3	0	0	0
Wharton	174	137	16	2	0	0	0	19	0	0	0
Provost	3	1	2	0	0	0	0	0	0	0	0
Totals	1,924	1,436	318	32	18	23	3	84	9	0	1

Numbers of Tenured Faculty at Penn by School, Gender and Ethnicity October 1, 1990

School	Total Faculty	White		Black		Hispanic		Asian		Native American	
		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Annenberg	11	8	2	1	0	0	0	0	0	0	0
SAS	387	311	54	5	1	4	0	11	1	0	0
Dental	40	36	1	2	0	1	0	0	0	0	0
Education	19	16	3	0	0	0	0	0	0	0	0
SEAS	83	71	3	0	0	2	0	7	0	0	0
GSFA	25	23	2	0	0	0	0	0	0	0	0
Law	22	18	1	1	1	0	0	0	0	0	1
Medicine	229	195	22	2	0	4	0	5	1	0	0
Nursing	21	0	19	0	2	0	0	0	0	0	0
Social Work	13	5	4	4	0	0	0	0	0	0	0
Veterinary	69	59	6	0	0	2	0	2	0	0	0
Wharton	113	101	8	1	0	0	0	3	0	0	0
Provost	3	1	2	0	0	0	0	0	0	0	0
Totals	1,035	844	127	16	4	13	0	28	2	0	1

Announcement and Response in the HTLV-1 Virus Case

Following is the complete text of a news release issued February 13 by the University News Bureau. Starting on page 5 are three other related texts—a response by the Principal Investigator in the case, a letter from the campus AAUP Board, and the Provost's response to the AAUP letter.

TRACES OF VIRUS IN TWO SHEEP, BUT EXPERTS CONCLUDE NO INCREASED RISK; ALL HUMANS TEST NEGATIVE; UNIVERSITY COMPLETES INVESTIGATION OF NEW BOLTON CENTER

The University of Pennsylvania has received additional results of tests on lambs that were involved in an incident last April that resulted in preschoolers, veterinary students and others possibly being exposed to a human virus that can cause adult T-cell leukemia. The possible exposure occurred when 14 lambs that were inoculated with the virus were not segregated from their flock as the research protocol required.

Two of the inoculated sheep showed traces of the virus after undergoing a follow-up lab test in October, but subsequent efforts to duplicate the positive results through re-tests in November and December have been unsuccessful. Several virus experts, however, say that this sequence of test results does not increase the likelihood that anyone who had contact with the sheep now faces increased health risk. Veterinary students, faculty and staff who had worked with the sheep were also re-tested, and all tests were negative.

In the same matter, the University of Pennsylvania has completed an investigation into the incident. The investigating committee concluded there was no misconduct in research. However, the committee determined that primary responsibility of the incident rested with the scientist who was principal investigator for the project. The dean has imposed penalties accordingly.

The New Bolton incident

The tests were conducted as the result of an incident last April. The 14 sheep, then newborn lambs that were being used in a research project, were injected while part of a flock of about 150 sheep at New Bolton Center. The project was directed toward developing a method to prevent the virus from causing disease.

Every researcher at Penn whose project involves animals must agree to follow certain guidelines regarding use of the animals. After discovering that the lambs and their mothers were not separated from the flock—as the project's protocol required—the University suspended the research project and segregated the animals.

The HTLV-1 virus

The human T-cell lymphotropic virus type-1 (HTLV-1) was discovered in 1980. This virus has been found to cause adult T-cell leukemia, a relatively rare disease in the United States.

Most people infected with HTLV-1 continue to test positive during their lifetime, but only about one in several hundred eventually develop leukemia, and that may take between 20 and 30 years. The disease is fatal. A debilitating neurological disorder termed TSP (tropical spastic paraparesis) has also been associated with HTLV-1 infection. As with leukemia, TSP appears to develop in a small propor-

tion of infected individuals, years or decades after infection.

Parents notified

Results of the newest tests and the University investigation have been relayed to parents of preschoolers who visited the sheep a few weeks after they had been inoculated at New Bolton Center, a facility of Penn's School of Veterinary Medicine in Chester County. Penn faculty, students and staff who worked with the sheep have also been notified.

Experts assess risks

"The fact that two of the sheep have shown traces of the virus at one time does not at all change our original assessment that it is extremely unlikely that the virus could be transmitted to the people who came in contact with the animals," said James Hoxie, M.D., a viral specialist at Penn's School of Medicine. "Back in June, we predicted that some of the sheep might have become infected. We do not consider that the people are now at any increased risk."

The virus is believed to be transmitted primarily through sexual contact, blood transfusions, intravenous drug use and breast milk.

The University will continue to test the sheep at intervals.

In July, the University tested 30 Penn faculty, students and staff who had worked with the sheep, and the 14 sheep that had been inoculated with the virus. All tests were negative. The University also tested one preschool child whose family requested it, and that test was also negative.

Explanation of results

The latest results were obtained through the polymerase chain reaction (PCR) test, a highly sensitive test used to detect an infection in its earliest stages. In humans, the PCR test can give a positive reading when only the slightest trace of infection is found. This sensitivity can also occasionally cause the test to yield a positive result that turns out to be false. For that reason, two re-tests were done on the sheep to clarify the results. The first re-test proved inconclusive; the second was negative.

Scientists concluded that the first re-test did not detect a sufficient number of infected cells to be considered a positive result; however, some evidence of infectious material, which was not clearly identifiable, was detected.

According to Francisco Gonzalez-Scarano, M.D., associate professor of neurology at Penn, there may be two reasons why the positive result could not be duplicated. First, since the tests are influenced by the number of cells that may have been infected, that number may have diminished shortly after the positive test result was obtained, thereby yielding an inconclusive reading.

Another factor, he said, is that the PCR test has been standardized for human testing, and could perform differently when administered to animals.

"There is much experience with this test in

humans and we can be comfortable with those results," he said. "But we cannot be sure how it will behave in animals."

PCR and antibody tests

PCR is a test for the presence of a particular virus's DNA, the molecules that contain all the organism's genetic information. PCR is a much more sensitive and specific test for infection than the antibody test that has also been used with the sheep. It can detect a more recent infection, according to Gonzalez-Scarano. The test is used to detect numerous chronic disorders, including genetic disorders—such as cystic fibrosis—and most viral and parasitic infections, and it is considered highly reliable for humans.

An antibody test works by detecting the presence of proteins produced in the bloodstream by the cells of the immune system when a virus or other foreign matter enters the body. The test looks for the specific protein that has been targeted by the body to fight a particular infectious agent, in this case the HTLV-1 virus. The test's limitation is a potential delay between exposure and the body's detectable response to the virus. This delay may be as long as several months.

Committee finding: "lapses of judgment"

The investigating committee concluded that the incident did not constitute "misconduct in research" as defined in the University's Procedures Concerning Misconduct in Research. However, the committee concluded that there were "lapses of judgement and failures of communication," and that principal responsibility for the incident rested with Jorge Ferrer, M.D., professor of microbiology at the School of Veterinary Medicine, who was principal investigator for the project.

Sanctions imposed

In light of these lapses of judgment, sanctions have been imposed, effective immediately and continuing until June 1992, including:

- The University's restrictions on the principal investigator's ability to conduct animal research, imposed last June, will continue.

- The principal investigator will not be permitted to conduct or supervise any studies on the virus involved (HTLV-1) or other known or suspected human pathogens.

- The principal investigator's laboratory will be monitored by the University's Office of Environmental Health and Safety on an unannounced, periodic basis.

- The scientist will be required to successfully complete an approved course on the handling of biohazardous agents within the next two years.

The sanctions were imposed by Edwin J. Andrews, dean of the School of Veterinary Medicine, with the concurrence of Provost Michael Aiken.

Responses, next page

The following responds to the News Release published on page 4.

On the HTLV-I/Sheep Incident

This concerns the investigation by the University of Pennsylvania of the incident that arose in connection with an experiment in which I injected lambs with HTLV-I.

The investigation was conducted under University's official *Procedures Concerning Misconduct in Research* (copy enclosed*). The *Procedures* require confidentiality in order to protect the identity of the parties involved while an investigation is ongoing (paragraph 1.1*). Honoring this requirement, and despite the premature, injudicious and potentially prejudicial statements made to the press by University officials prior to and during the investigation, I have refrained until now from making public comments on the incident.

The central allegation leading to the investigation was that in deciding the location of the injected lambs I did not follow the biosafety level 2 requirements stipulated by the University's Office of Environmental Health and Safety. The formal investigative committee concluded that I am not guilty of misconduct, but that I made an error in judgment which was of "low order" and "not severe in degree or intent." Despite the fact, as agreed by experts in the field and by members of the formal investigative committee, that the risk of transmission by the inoculated lambs was exceedingly low, and despite the fact that my decision to leave the lambs in the flock with their dams temporarily, i.e. until they could be weaned, was based on a scientific judgment, I have acknowledged from the beginning that my error in interpretation of the stipulated biosafety level 2 requirements was mainly responsible for the incident.

The report of the formal investigative committee, as well as the report of a preliminary investigative committee, refer to the fact that University offices, including the Office of Environmental Health and Safety, failed to follow established procedures, and that this, together with failures in communications and contradictions on the part of these offices, contributed to the incident.

A factor which contributed to my error in interpreting the biosafety level 2 requirements was the fact that the animal holding facilities assigned, reviewed and/or approved by University committees and the Office of Environmental Health and Safety, are open, lack containment and therefore do not meet the biosafety level 2 standards described in the Biosafety Manual, the only biosafety guide provided by the University to the faculty. This led me to believe that the biosafety level 2 standards stipulated by the Office of Environmental Health and Safety applied to the phase of the experiment to be carried out in the laboratory, where the risk of transmission was real, and not necessarily to the animal phase of the experiment where, as agreed by experts in the field and members of the investigative committee, the risk of transmission was exceedingly low.

The report of the preliminary investigative committee, which was validated by the formal investigative committee, further refers to the fact that an independent error in judgment by the veterinarian in charge of the sheep flock

who, without my knowledge and knowing that the lambs had been inoculated with the leukemia virus, allowed several students and a technician to conduct invasive procedures on the lambs involving the risk of exposure to the animal's blood.

The above mentioned facts, which are essential for an accurate evaluation of the incident, are conspicuously absent from the communications by University officials, including the February 13, 1991 press release.

The University's official *Procedures Concerning Misconduct in Research* stipulate that if the formal investigative committee finds that the charges of misconduct are unfounded, "the matter should be dropped," and "The Dean and the Provost have the responsibility to take an active role to repair any damage done to the reputation of the respondent..." (paragraph 3.1*). From paragraph 3.2 *of the *Procedures*, it is also clear that the University Administration is entitled to impose sanctions only if the formal investigative committee finds the misconduct to be substantiated. Yet despite the fact that the formal investigative committee exonerated me from misconduct in research, the University Administration has imposed sanctions which violate not only the University's *Procedures*, but also the principle of academic freedom. Because of their nature these punitive sanctions will destroy a research program which, as judged by leading scientists in the field, has made fundamental contributions to leukemia and retrovirus research for more than 25 years, and which has in place important ongoing research projects.

On February 1, 1991, the Dean informed me that he had intercepted my grant application to the National Institutes of Health, which was due on the same day, and which had been approved and signed only a few days earlier by the Dean (or his designee) and the Department Chairman. The reason given by the Dean for intercepting this application was his impression that some aspect of the work did not seem to be consistent with the restrictions he had imposed on my work. Aside from the fact that the restrictions were inappropriate and arbitrary, the work proposed in the grant application did not necessarily conflict with the restrictions. By intercepting my grant application the same day it was due at NIH, the Dean denied me the opportunity to make the clarifications and/or corrections that would have allowed the application to meet the deadline. Furthermore, the Dean had the option of allowing the grant to be submitted on February 1 with the proviso of withdrawing it if, after giving me an adequate opportunity to make the clarifications and/or corrections, he still considered the grant application to be inconsistent with the restrictions.

Thus, by intercepting the grant application on the basis of restrictions that are arbitrary and unjustified to begin with—and by not giving me an adequate opportunity to make the required clarifications, the Dean, with the concurrence of Vice Provost for Research Barry Cooperman, has prevented my grant application from meeting the deadline and has, therefore, put in serious jeopardy an exceptional opportunity to obtain, in the time frame re-

quired by our circumstances, the funding (more than 1.5 million) required to preserve the research program of this Unit.

Corrective measures to avoid the repetition of the errors made by all parties involved in this incident are obviously needed. The University's eagerness to protect its public image is understandable. However, I do not believe that in an academic institution this can be accomplished by imposing punitive sanctions that violate the University's own rules as well as the principles of academic freedom, and by presenting to the public a version of the incident which omits contributing factors, including deficiencies on the part of the University's offices.

Since the sanctions imposed by the Dean violate the University's procedures applied to this case, I intend to file a grievance according to established faculty rules. Furthermore, I reserve the right to make public, if necessary, further information which, I believe, is also essential for an objective and fair evaluation of the incident.

—Jorge F. Ferrer, Professor of Microbiology/Clinical Studies, School of Veterinary Medicine

Protest by Penn AAUP

(Sent to Dean Andrews February 12)

The Board of Directors of the University of Pennsylvania Chapter of the American Association of University Professors has met to discuss issues raised by Dr. Jorge Ferrer. Based on our investigation to date, with review of materials available, including the report of the review committee which explicitly states that "...none of the parties in this incident...are guilty of misconduct of research," we believe there has been serious violation on your part of the *Procedures Concerning Misconduct in Research* in direct breach of paragraph 3.1, as well as the Just Cause Procedures. Not only does it appear you have violated these procedures, it also appears that you have failed to discharge your responsibilities as specified in paragraph 1.2 and 3.1.

It would be outrageous for the Administration to circumvent the established procedures of the University intended to ensure academic freedom. We urge that you take no action which will in any way harm Dr. Ferrer, as the evidence indicates that he already has been, until you have complied with established procedures.

—Elsa L. Ramsden, President on behalf of the members of the Board (Erling Boe, Ira Cohen, Marten Estey, Peter Freyd, Reuben Kron, Karin McGowan, Morris Mendelson, and Barbara Munro)

Provost's Response to AAUP

(Sent to Dr. Ramsden February 15)

This is in reply to your letter of February 12, 1991 addressed to Dean Andrews. Proper procedures have been followed in Dr. Ferrer's case, and only reasonable penalties have been imposed.

The investigating committee was asked to conduct its business under the guidelines of the University's Misconduct in Research Policy. The Committee was also asked to determine whether Dr. Ferrer's actions constituted misconduct in research as defined by that policy. While the committee did not find "misconduct in research" had occurred, it did not conclude that the charges were "unfounded." Rather, the

* *Almanac* December 12, 1989.

committee stated:

Dr. Ferrer, as the [Principal Investigator], bears the primary responsibility for knowing and adhering to the restrictive conditions which apply to his research. In this respect, we conclude that carrying out the animal experiments outside the Leukemia E Barn was an error of judgement and breach of protocol on the part of Dr. Ferrer.

Because the charges were not "unfounded," section 3.1 of the misconduct procedures is inapplicable.

Dean Andrews and I consider the possible exposure of faculty, staff, students, and young children to a deadly human virus to be an extremely serious matter, no matter how small the probability of infection. It is quite clear that if Dr. Ferrer had followed the protocol to which he had agreed, the incident would not have occurred. His own experience and customary research precautions in experiments of this kind should alone have caused Dr. Ferrer not to behave as he did. Therefore, it is apparent that some sanction is in order.

How serious a sanction is appropriate? Given the committee's report, the Dean did not act under the Suspension or Termination for Just Cause procedures. Instead, the Dean imposed penalties less severe than suspension. Such penalties lie within his normal authority and were supported by me.

It is clear that Dean Andrews did not exceed his authority. The section "Suspension or Termination of Faculty for Just Cause" (1989 *Handbook*, pp.47-51) addresses only the "severe" or "major" penalties of suspension or termination. These penalties do require adjudication through the Just Cause Procedures. "Less severe" or "minor" penalties do not require that process. In the past, Deans have indeed imposed

a variety of restrictions such as the monitoring of laboratories, giving no salary raise, and requiring participation in certain learning experiences as a response to faculty misbehavior. The restrictions imposed here by Dean Andrews are similar to what has been done in other situations.

The Misconduct in Research Policy, both in its current form and the revised form now making its way through the Faculty Senate, recognizes the Dean's right to impose penalties less severe than suspension and, in particular, sanctions that restrict research activity. For example, the proposed revision states (Paragraph 3.2):

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 take action which is appropriate to the seriousness of the offense and in accordance with University procedures and which considers the previous record of the respondent. For major offenses by members of the standing or research faculties, 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, the dean may impose penalties including, but not limited to, removal from a particular project, a letter of reprimand, special monitoring of future work, probation, or below average salary raise including zero salary raise.

This language was discussed last Spring by both the Senate Committee on the Faculty and the Senate Committee on Academic Freedom and Responsibility. It is my understanding that the members of both committees recognized the

practice and accepted the principle that sanctions short of suspension and termination are on occasion warranted. The sense of the above paragraph will be a part of the revised misconduct policy when it is issued. In any case, it is undesirable to have Deans unable to impose minor penalties upon researchers, particularly in cases like this one in which the health and safety of all members of the community are at issue.

The procedures used by the administration in this case were adopted only after consultation with the Chair, Past-chair, and Chair-elect of the Faculty Senate. They have concurred with all of the procedural decisions taken through my office, including my advice to Dean Andrews that sanctions could be imposed in light of the findings of the investigating committee. If Dr. Ferrer feels that the penalties imposed were too harsh or that the procedures were improper, he is free to file a grievance with the Faculty Grievance Commission. Not only is this step open to him under University procedures, it is also clearly in keeping with paragraph 7b of the national AAUP's 1976 Recommended Institutional Regulations on Academic Freedom and Tenure.

I hope the AAUP Board in addressing this matter has considered the worry and possible harm that the incident—for which Dr. Ferrer bears "principal responsibility"—has caused to so many people, including preschool children, veterinary students, other members of the faculty of the School of Veterinary Medicine, New Bolton Center staff, members of their families, and members of the University community at large.

—Michael Aiken, Provost

Penn's Way/ United Way/Combined Campaign: Some Questions and Answers

In preparation for the March referendum in which faculty and staff will be asked to advise the president on charitable campaigning at Penn and its preferred form, questions are being forwarded to the leaders of the Campus Committee for a Combined Campaign and to the United Way's Philadelphia headquarters. Jane Combrinck-Graham of Risk Management furnished the answers starting immediately below, and Ned Montgomery of United Way contributed those in the next section, opposite page.

I. Q & A: The Campus Committee

1. *What would a pledge card for a combined campaign look like? Would people be able to make just one gift divided among two or more federations? Could they, say, split a gift between one federation and one specific United Way agency or targeted care area?*

The pledge card for Penn's Combined Campaign should be designed by the University's campaign committee. The card would list the participating umbrella funds next to lines for the amount a donor wishes to give. Below the line for United Way, the card would provide blank lines for alternative or additional selection of United Way's Donor Choice and/or Targeted Care programs.

A code number would be assigned to each participating umbrella fund. United Way provides a code number for each Donor Choice organization. The campaign materials would list these numbers. Donors would locate the numbers and write them on the pledge cards next to the organizations to which they wish to contribute and in the blank spaces provided for Donor Choice selections.

Donors would be able to select as many funds and/or Donor Choice organizations as the University's computer system can handle. As

an example, the City of Philadelphia's Combined Campaign pledge card provides spaces for selecting among the eleven participating umbrella organizations and/or Donor Choice options. Donor Choice contributions are forwarded to United Way for administration. The City's system can handle up to five selections made by each donor.

2. *What kinds of information do you envision being sent out? Who would control that? Would each federation (treating United Way as one of five) control its own message, or do you envision minimum disclosure requirements of some kind, such as their member agencies' missions, number served and in what geographic area—and other questions such as overhead costs of the umbrellas/agencies under each?*

The University's campaign committee would design the materials to be distributed to donors, as well as the publicity information about the campaign. The University would direct the participating umbrella funds to prepare material for distribution to donors according to the committee's specifications. These specifications could include design, number of pages, layout of each page, and content items such as statements of organization mission, members and funding re-

cipients, geographical area served and disclosures regarding numbers served, overhead costs, etc.

Each organization could be asked to supply copies of its own brochure (with code numbers) which would be put in folders for each donor. Alternatively, the participating umbrella funds could be asked to prepare a single booklet describing each organization and its programs. The descriptions would fit within the guidelines set by the University campaign committee.

3. *Would additional costs/workloads be incurred for Penn's Way? How would these be covered?*

Campaign costs would not change. As part of this past year's modified "Penn's Way/United Way" Campaign, the University already made the computer conversion to handle multiple payroll deductions. This was a one-time expense. The University has always expended a small amount of money for materials, such as the pledge card and training materials, as well as for events such as the Kick-Off and Thank You events. These costs would not change.

The participating umbrella funds would contribute to other costs in proportion to the amount of contributions they receive in the University's

campaign. These costs would include charges for printing brochures or a single booklet and other materials which the University's campaign committee asks them to provide. In addition, the participants would commit staff to assist the campaign committee in distribution of materials, solicitor training and events coordination.

4. *What would be the criteria for adding new federations? Would there be a waiting period? Who would decide whether a federation has met the requirements to solicit at Penn? Would there be a process for disaffiliating a federation, and if so on what grounds?*

We recommend that criteria for selection and participation of umbrella funds in Penn's workplace charitable campaign be modeled closely on those designed by the City of Philadelphia. Included in those criteria is the employer's statement of policy, standards for eligibility of

participating charitable organizations, procedure for qualification of charitable organizations, and procedures for their cooperation and participation in the campaign.

The standards for eligibility define organizations which are eligible and enumerate the materials which each applicant must submit, including certification of non-profit status, registration with the Pennsylvania Commission on Charitable Organizations, information regarding the nature and extent of the services or programs funded, and financial statements which evidence financial responsibility over some period of time. A recommended definition of an eligible organization is as follows:

one which is either (1) a fund-raising organization disbursing funds to five or more constituent organizations providing health or human services primarily in the eight county Philadelphia Metropolitan area (with counties including

those in South Jersey listed) or, (2) a joint fund-raising organization which is a federation of five or more constituent organizations each of which is providing health or human services primarily in the same geographical area.

In order to maintain a manageable program, the City has added the policy that no fund-raising organization is eligible for inclusion as a participating umbrella fund if it is a constituent member of another organization applying for inclusion.

The criteria may be as detailed as appropriate to meet the policy objectives of the University. Application review and eligibility assessment would be performed by an advisory committee appointed by the President, and, as in other combined campaigns, a statement of campaign objectives and guidelines would be developed to assist the advisory committee.

—Jane Combrinck-Graham for the Campus Committee

II. Q & A: The United Way

1. *What federations are now partners with United Way? Federation of Jewish Agencies and the Catholic Federation of the Archdiocese of Philadelphia are often mentioned; are there others? Were such federations originally independent and if so how did they become partners?*

Two Federations are partners of United Way. In 1931, the Federation of Jewish Agencies helped form the "United Campaign," the forerunner of today's United Way. In 1975, the Catholic Federation of the Archdiocese of Philadelphia merged its business and industry drives with United Way's. These are the only two federations in the United Way Campaign.

2. *Are the non-member federations (Black United Way, Bread and Roses, United Negro College Fund, Women's Way) under discussion at this time eligible or ineligible for membership in United Way? If ineligible, what makes them so? If eligible, why are they not members? If not members by choice was there an active effort to persuade them to join, and what reasons do they give for not joining?*

The Black United Fund has a national policy against joining their efforts with United Way's. We initiated membership discussion with The United Negro College Fund recently and they declined our invitation because they feel they are raising sufficient funds through our Donor Choice Program. Women's Way has not applied for membership in the last 12 years and Bread and Roses has never applied.

The four organizations collectively received a total of \$548,000 by participating in last year's United Way campaign in our community.

United Way would welcome membership applications from these groups and believes that their membership in United Way would be beneficial to the community.

3. *Are there audited figures on your overhead (as distinct from noncollectibles)? Do the federations now members of United Way also carry overhead of their own that are subtracted before their member agencies see the funds, and if so what are those rates?*

Our overhead costs and those of the four organizations promoting an alternative combined campaign are published annually in the Combined Federal Campaign Contributor's brochure. The 1990 figures are:

Black United Fund	31.5%
Bread and Roses	30%
United Negro College Fund	23.8%
United Way	11%
Women's Way	9.95%

In United Way's 11% figure are the costs for many important community services like "First Call for Help," which provides information and referral to thousands in need of service who do not know where to turn, a volunteer action center, and programs such as the United Way Youth Council and the Hispanic Leadership Development Program.

All fund-raising organizations face noncollectible pledges due to job changes, retirement, death, etc. On average, the annual rate of noncollectibles for United Way's campaign is 9%. This means 9% of the dollars pledged overall are not paid. All organizations supported through United Way share in this pledge loss. In short, United Way distributes 100% of the pledges paid less our 11% cost.

4. *If proceeds have been shown to go up when there are combined campaigns—and to go up for the United Way as well as for the added federations—what does United Way stand to lose if more employees take the combined campaign route? Have you tracked the figures in cities and/or local institutions that have adopted combined campaigning, and do you see any long-term pattern that would hurt charitable giving as a whole or threaten your member agencies/federations in some way?*

The table below shows the fund-raising results of the combined campaigns in Philadelphia, the University of Pennsylvania and the United Way Campaign at the Hospital of Pennsylvania for the past four years. This table shows that it is not the form of the campaign that raises funds but the volunteer effort and the campaign organization. The United Way has been and is an effective fund-raising organization for all health and human services organizations in the Delaware Valley. It is difficult to obtain comparable figures for other cities because the United Way of Southeastern Pennsylvania has for the past 10 years been by far the most open, all inclusive campaign in the United States. No other fund-raising organization in the country supports as many organizations as our United

Way. An ancillary question is the campaign fund raising costs per employee. The following charts are comparable costs for 1989.

City	\$4.15	(non-United Way managed)
Federal	2.76	(United Way managed)
U of P	2.30*	(United Way managed)

*The 1989 non-Penn equivalent campaign costs (distribution of funds to designated agencies not included in all the above per employee costs).

The major way combined campaigns hurt others is that federations and hundreds of agencies under the United Way lose considerable share of dollars over a period of time. FACT, in four existing combined campaigns (Federal, State, City, and School) that raise almost \$4 million, the percent going to our federations and organizations under United Way receive less than 38% of the dollars raised.

For survival, more and more groups will be forced to form federations. Children's services and health organizations are already discussing the formation of federations in order to compete for funding. There will be umbrella groups for every need and segment of the community. The proliferation of federations will drain dollars away from vital services and into fund raising expenses.

In this year's Penn campaign, the four federations increased their contributions as follows:

1989 to 1990

Womens Way, up 76% over last year
Black United Fund, up 78% over last year
United Negro College Fund, up 277%
Bread and Roses, up 693%

The 400 other organizations designated through the United Way by Penn donors increased collectively by 20%.

No, combined campaigns do not raise more dollars.

Yes, special federation positioning benefits those organizations at the expense of others.

—Ned Montgomery for United Way of Southeastern Pennsylvania

Four-Year History (See Text Above)

		1987	1988	1989	1990	Growth*
Combined Campaigns :	CFC	\$2,132,539	\$2,209,511	\$2,323,564	\$2,596,502	6.78
	State	222,167	227,641	238,305	281,768	8.24
	City	947,487	1,008,054	1,227,285	1,270,000	10.3**
	School	238,229	257,834	312,641	284,632	6.11
United Way Campaigns	Penn	239,948	255,598	289,326	371,489	15.7
	HUP	66,379	70,023	80,503	141,074	28.6

* Compound Annual Growth Rate

**Unofficial

February: The Gulf Crisis

20 Drop-in Support Group for Persons Concerned About the War in the Persian Gulf; 11:30 a.m.-1 p.m., HUP. Call Social Work and Community Health Services, 662-2375, for locations and other times (HUP). *Wednesdays.*
21 The Gulf Crisis: How Is It Affecting You?; weekly faculty/staff support group; noon-1 p.m., Houston Hall. Call Ext. 8-7910 for exact room (F/SAP). *Through February 28.*

Update

FEBRUARY AT PENN

FILM

20 Tong Tana: A Journey To the Heart of Borneo; 7 p.m. and 8:45 p.m., International House; also *February 21* at 7 and 8:45 p.m., *February 23* at 2, 6, 7:45, and 9:30 p.m., and *February 24* at 2, 6, and 7:45 p.m.; \$5 adults, \$4 students, members, and seniors (Neighborhood Film/Video Project).

University of Pennsylvania Police Department

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 **February 11, 1991 and February 17, 1991.**

Totals: Crimes against persons—0, Thefts—22
 Burglaries—3, Thefts of auto—1 Attempted thefts of auto—1

34th to 36th; Spruce to Locust

02/11/91	9:02 AM	Furness Building	Purse taken/male stopped w/purse
02/12/91	1:36 PM	Houston Hall	Unattended wallet & contents taken
02/14/91	6:35 PM	Houston Hall	Unattended jacket taken from chair
02/16/91	10:08 PM	Houston Hall	Wallet taken from unattended backpack

Expressway to 32nd; University to Walnut

02/11/91	3:09 PM	Ice rink	Skates taken from locker room
02/11/91	3:59 PM	Hollenback Center	Watch taken from unsecured locker
02/11/91	9:13 PM	Lot # 45	Clothing taken from auto/driver
02/13/91	8:35 PM	Lot # 29	Auto taken

34th to 36th; Locust to Walnut

02/11/91	8:32 AM	Van Pelt Library	\$59 taken
02/15/91	8:02 PM	Van Pelt Library	Credit cards taken from knapsack
02/17/91	8:00 PM	Van Pelt Library	Wallet & contents & walkman taken

32nd to 33rd; South to Walnut

02/13/91	8:40 PM	Lot # 5	Attempted auto theft/some damage
02/16/91	3:30 PM	Hutchinson gym	Wallet taken from locker room
02/17/91	5:00 PM	Lot # 5	Garment bag & wallet taken from auto

36th to 37th; Locust to Walnut

02/15/91	2:55 AM	Phi Gamma Delta	Cash and items taken from room
02/17/91	8:11 AM	Delta Psi	Suede coat taken

Safety tip: Lock the door to your room when you are sleeping or out. Locking your door whenever you are gone or asleep is the single most effective action you can take to reduce theft. Most thefts reported in the past year have involved unlocked doors.

The 18th District Crimes Against Persons

Schuylkill River to 49th Street, Market Street to Woodland Avenue
 12:01 AM February 2, 1991, to 11:59 PM February 10, 1991.

Totals: Incidents—11, Arrests—0

Date	Time	Location	Offense/Weapon	Arrest
02/04/91	11:50 AM	4000 Market	Robbery/strong-arm	No
02/04/91	7:00 PM	328 S. 45	Robbery/strong-arm	No
02/04/91	7:00 PM	4600 Pine	Robbery/unknown object	No
02/04/91	9:50 PM	323 S. 46	Robbery/gun	No
02/05/91	4:30 PM	4000 Market	Robbery/gun	No
02/07/91	12:35 PM	4240 Chestnut	Robbery/strong-arm	No
02/08/91	12:00 AM	4229 Baltimore	Robbery/gun	No
02/08/91	11:14 PM	4500 Baltimore	Robbery/gun	No
02/08/91	11:32 PM	138 S. 48	Robbery/knife	No
02/09/91	2:32 AM	4000 Baltimore	Robbery/gun	No
02/09/91	8:15 PM	3300 Market	Robbery/strong-arm	No

FITNESS/LEARNING

26 Academic Career Conference—Part II: A Program for Graduate Students; 4-7 p.m., Benjamin Franklin Room, Houston Hall. Registration: Ext. 8-7530. (Career Planning and Placement Service).

ON STAGE

21 Step Right Up!—The Great Carney Caper; Penn Glee Club's 129th production; 8 p.m., Zellbach Theater, Annenberg Center. Tickets: \$8. *February 22* show features on-stage reception with student performers and Director Bruce Montgomery; tickets: \$10. Reservations: Ext. 8-7811 (Alumni Relations). *Through February 23.*

Women's Theatre Festival at Penn

Tickets for all shows \$5 in advance \$7 at the door. Season pass: \$25, \$20 for students.

23 Are You Ready to Rock?; Sapphire, New York City's acclaimed poet and performance artist; 8 p.m., Rooftop Lounge, High Rise East.

24 Give Me Grace, Redress, and Lady M; performed by Anna Brown and Julie Laffin, perform-

ance artists from Chicago, and student troupe directed by Colin Campbell, a senior at the University; 8 p.m., Rooftop Lounge, High Rise East.

27 Voyage to Lesbos; performed by the Five Lesbian Brothers from NYC; *Zora;* performed by Cathy Simpson; and *But Only if Things Get Hot Enough;* created by the University's Coalition Theatre Company; 8 p.m., Dunlop Auditorium, HUP.

SPECIAL EVENTS

23 Second Annual African-American Celebration; in honor of the newly renovated African Gallery, which will feature new presentations and artifacts not seen by the public for years. *African Tales;* Linda Gross, story teller; 10:30 a.m., Rainey Auditorium; *JAASU Ballet;* traditional African dance ensemble; 3 p.m., Harrison Auditorium; *The Women Sekere Ensemble;* rhythms and tones of the sekere, a traditional percussion instrument; afternoon; and a *Public Tour of the Gallery;* 1:15 p.m. (University Museum).

27 Guide Training; guide trainees learn about plant collections, wildlife, research, and guide techniques; 10 a.m.-noon, Morris Arboretum; Registration: 247-5777. Cost of 8 sessions: \$40 (Morris Arboretum). *Through April 17.*

Seafood Buffet; 5-7:30 p.m., Faculty Club. Cost: \$16.75. Reservations: Ext. 8-4618.

TALKS

25 Research Conference; Steven Zatz; noon, 2nd Floor Conference Room, Ralston House (SGIM).

27 Diagnosis and Treatment of Severe Neutropenia: The Role of Colony Stimulating Factors; David Dale, medicine, University of Washington; 11 a.m., Medical Alumni Hall, 1 Maloney (SGIM).

Contemporary Ecuador: Caught in the Crossfire of World Politics; slide and video presentation about contemporary Ecuador and internship possibilities; Thomas Richards, Brookdale Community College; 6 p.m., Room 321, Logan Hall (Undergraduate International Relations).

Entering the Workshop; Daniel Hoffman, Program in Architecture, Cranbrook Academy of Art; 6:30 p.m., Room B-3, Meyerson Hall (GSFA Student Lecture Series).

28 Clinical Conference; noon, General Medicine Conference Room, 3 Silverstein (SGIM).

Freedom of Expression in China Today; Judith Shapiro, Foreign Policy Research Institute; 4 p.m., Ben Franklin Room, Houston Hall (International Relations Colloquia Series).

Crested Kimono: The Making of an Asian American Ethnography; Mathews Hamabata, dean, Haverford College; 4:30 p.m., Gates Room, Van Pelt Library (East Asia Colloquium Series).

Almanac

3601 Locust Walk Philadelphia, PA 19104-6224
 (215) 898-5274 or 5275 FAX 898-9137
 E-Mail ALMANAC@A1.QUAKER

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