

# Almanac

Tuesday, December 3, 1991

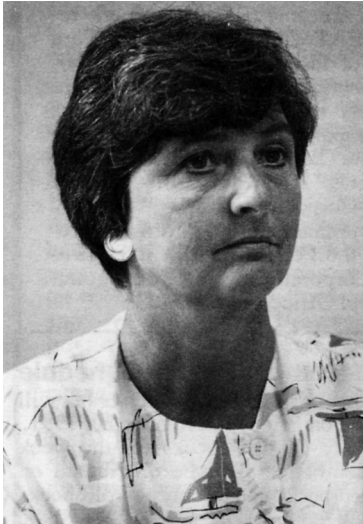
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Dr. Barbara Lowery

## Independence Professor: Dr. Lowery of Nursing

Dr. Barbara J. Lowery of the School of Nursing, a Lindback Award-winning teacher who served as University Ombudsman in 1984-86, has been appointed the first Independence Foundation Professor of Nursing Education, Dean Claire Fagin announced this week. Her appointment to the newly-established chair was made on the basis of "superb teaching skills, a continuous record of research accomplishments, and a record of service to the School of Nursing, the University as a whole, and the nursing profession," Dean Fagin said, and is for a five-year renewable term.

Dr. Lowery, now associate dean for research and director of two of its prestigious programs (the Center for Nursing Research and the Robert Wood Johnson Clinical Nurse Scholars Program), began her career as an R.N. at Danville State Hospital. While earning her bachelor's degree *magna cum laude* at Villanova, she practiced and taught at Norristown State Hospital. After taking her master's at Penn in 1968, she served as director of nursing education at Eastern Pennsylvania Psychiatric Institute, and as an instructor and then as associate

in the School of Nursing. She took her doctorate in education from Temple in 1973, and was named assistant professor of nursing that year and was promoted to associate professor the following year. The 1979 Lindback winner then served as program director and chair of psychiatric mental health nursing, and was named full professor in 1987.

Author of some 40 papers, member of several editorial boards and participant in over 20 funded research and training projects, Dr. Lowery has also been active in the Penn community on the President's Task Force on Women, Council Steering Committee, Senate Advisory [Executive] Committee, Educational Planning Committee and, most recently, Academic Planning and Budget Committee.

Dr. Lowery has also chaired the National Council of Nurse Researchers and has served on the Mayor's Commission on Mental Health in Philadelphia. She is a longtime fellow of the American Academy of Nursing and the College of Physicians of Philadelphia, and was elected this year to the National Academy of Sciences' Institute of Medicine.



Dr. Neil Shubin

## SAS Young Faculty Award: Dr. Shubin of Biology

Dr. Neil H. Shubin, assistant professor of biology, has been awarded the Young Faculty Award of the Natural Science Association of SAS. He is the twelfth recipient of the award, which provides \$10,000 a year for three years to aid in the research and professional activities of outstanding assistant professors in the natural sciences in the School of Arts and Sciences.

Dr. Shubin, a graduate of Columbia and Harvard, was a Miller Research Fellow at Berkeley before joining Penn in 1989. He is also a research associate at the Philadelphia Academy of Natural Sciences and a member of the Geology Graduate Group here.

Dr. Shubin's primary research interest is evolutionary biology. His work concerns the evolution of vertebrate animals, particularly the evolution of the limbs of four-legged animals, said Dr. Dennis DeTurck of the Science Board. "His novel theories on this subject have been supported by embryological studies as well as by fossil findings. These developments were the subject of an editorial in the

prestigious journal *Nature* in late 1990. Shubin's other work concerns the first appearance of mammals in the late Triassic/early Jurassic period." Previous winners of the award are:

Dorothy Cheyney (Anthropology),  
Robert Seyfarth (Psychology),  
Ted Chinburg (Mathematics),  
Marsha Lester (Chemistry),  
Hai-Lung Dai (Chemistry),  
Andre Scedrov (Mathematics),  
Philip Nelson (Physics),  
Donald Berry (Chemistry),  
Charles Epstein (Mathematics),  
Michael Kelly (Psychology), and  
Adele Diamond (Psychology).

The Natural Science Association is made up of the seven natural science departments of SAS—Astronomy, Biology, Chemistry, Geology, Mathematics, Physics and Psychology—and its goal is to promote research and other activities in the natural sciences.

## Harrisburg Freeze: A \$200,000 Impact on Educational Equipment

Governor Robert Casey's action last week in freezing \$130 million of the Commonwealth budget has one direct impact on Penn's budget, according to James E. Shada, associate vice president for Commonwealth relation: it freezes \$200,000 of the funds Penn expected for educational equipment.

An indirect impact is that among the funds the Governor placed in reserve is the \$4 million appropriation to the Ben Franklin Partnership, a consortium of institutions seeking to stimulate the state's economy through research and technology.

The \$200,000 now on reserve is not a line item itself in the state budget, but is part of Penn's share in an educational equipment appropriation of \$4

million spread among various aided institutions. Penn would normally receive up to \$425,000 from this fund, which provides for classroom computers and other teaching equipment.

Mr. Shada said the University is expected to remain in the "watchful" posture adopted last January after the mid-year abatement of over \$1.3 million in the FY1991 allocation, followed by proposals to halve or eliminate state support altogether in FY1992. The final decision was a zero-increase appropriation (*Almanac* September 3).

Mr. Shada viewed the Governor as responding to fear of sluggishness in the economy by taking action earlier in the cycle than last year.

## Lindback Nominations

The Office of the Vice Provost for University Life is now accepting nominations for the Lindback Awards for Outstanding Teaching (open to faculty members as described on page 8 of this issue) and for the Provost's Award for outstanding teaching by full-time associated faculty and academic support staff. See page 8 for procedures and criteria.

# SENATE

## From the Senate Office

The following agenda is published in accordance with the Senate Rules.

### Agenda of Senate Executive Committee Meeting Wednesday, December 4, 1991, 3-5:30 p.m.

1. Approval of the minutes of November 6, 1991
2. Chair's Report
3. Report on activities of the Academic Planning and Budget Committee
4. Selection of Chair of the Senate Nominating Committee
5. Report on Policy on Misconduct in Research
6. Harassment policy
  - a. Sexual Harassment Policy
  - b. Racial Harassment Policy
  - c. Proposed extension of Harassment Policy to all legally protected categories of persons
7. University non-discrimination policy and ROTC
8. Informal discussion with President Hackney and Provost Aiken
9. Other new business
10. Adjournment by 5:30 p.m.

Questions can be directed to Carolyn Burdon, Executive Assistant to the Chair of the Faculty Senate, Ext. 8-6943.



### New Service on PennNet

PennInfo, a new online campus-wide information system, is now active and available at no charge to all members of the Penn community. As a service on PennNet, the University's data communications network, PennInfo includes information for faculty, staff, students as well as anyone world-wide who has access to the Internet.

The information posted to PennInfo is contributed and maintained by schools and offices throughout Penn. To date, there are over 1400 documents online, posted by approximately 40 participating information providers, according to Al D'Souza, director of program management, data communications & publications at DCCS. Topics include information about the University, the Schools, calendars and events, services and activities, and policies.

The main menu lists 12 areas, each of them in turn have secondary menus:

- 1) About PennInfo,
- 2) About the University of Pennsylvania,
- 3) Academic Support Information,
- 4) Calendars and Events,
- 5) Computing,
- 6) Faculty & Staff Facilities and Services,
- 7) Libraries,
- 8) Policies and Procedures,
- 9) Schools,
- 10) Student Activities and Services,
- 11) University Life Information,
- 12) What's New on PennInfo.

For example, Calendars and Events contains a Read Me First file, the 1991-92 Academic Calendar, Almanac Calendar listings—the

weekly updates and monthly calendars, Computing Calendar, CRC Training Calendar, School of Medicine Events Calendars, Super User Group Meeting Schedule for Fall 1991, Wharton Calendar of Events, and University Life Calendars & Announcements.

Thus far the schools that are participating are: College of Arts and Sciences, School of Engineering & Applied Science, School of Medicine and Wharton.

Dr. Peter Patton, vice provost for information systems and computing, called PennInfo a "harbinger of the kinds of things we will be doing in the future." Dr. Carl Abramson, associate vice provost for information systems and computing, cited the human side of PennInfo and noted the cooperation and participation of numerous offices. The logo (above) was designed by the Design Group.

Daniel Updegrove, assistant vice provost for data administration/planning, said it is important to listen to the end-users and to protect the end-users' privacy.

**Access:** PennInfo can be accessed, via PennNet, from a VT100 terminal or terminal emulator such as ProComm on a PC, or MicroPhone or RedRyder on a Macintosh.

To connect from the PennNet **DIAL:** prompt, type

**penninfo** <return>

To connect from the PennNet **annex:** prompt, type

**t penninfo** <return>

PennInfo has a set of online help screens, found in the menu item "About PennInfo." Copies of PennInfo end-user documentation for both the Macintosh and the PC will soon be available at the Computing Resource Center (CRC) on Locust Walk, across from the Bookstore.

**Providers:** Mr. D'Souza said all schools, offices and student groups are encouraged to participate in PennInfo as information providers. They can contact PennInfo Administration at DCCS, Ext. 8-3424 (e-mail penninfo-admin@dccs) for additional information.

### Change in AT&T Calling Card

On December 31, 1991, the University will discontinue its old AT&T Corporate Calling Card Program. The old program has been replaced by a new Penn/American Express—AT&T Corporate Calling Card joint billing program which was implemented this fall. The previously announced deadline for the old program of October 30, 1991, has been extended in order to allow for the complete transition to the new program.

In September, all Penn/American Express Corporate Cardmembers received an AT&T Corporate Calling Card as part of the new program. All new Penn/American Express Corporate Card applicants will receive both corporate cards in separate mailings with the AT&T Corporate Calling Card mailed three to four weeks after the Penn/American Express Corporate Card.

For applications and information regarding the Penn/American Express—AT&T Corporate Calling Card Program: the Travel Office, Ext. 8-3307.

### Special December Payroll Schedule

Paychecks for monthly paid personnel will be distributed on Friday, December 20, 1991.

The weekly payroll checks for the week ending December 15 will be distributed on Friday, December 20 and weekly payroll checks for the week ending December 22 will be distributed on Monday, December 23. The weekly payroll checks for the week ending December 29 will be distributed January 3.

### Expiring Tax Provisions

The House Ways and Means Committee and the Senate Finance Committee on November 25 approved a plan (H.R. 3909) to extend 12 expiring tax provisions, generally for six months, through June 30, 1992. The package's \$3 billion cost would be offset by temporarily increasing the estimated tax threshold for corporations with more than \$1 million in taxable income from 90% of the current year's tax liability to 93% of the liability for tax years beginning in 1992, to 94% for tax years beginning in 1993 or 1994, and to 95% for tax years beginning in 1995 or 1996. SFC Chairman Lloyd Bentsen and Ways and Means Chairman Dan Rostenkowski both warned that attempts to amend the plan would cause the legislation to be put aside, deferring action on the expiring provisions until next year.

The extensions apply to the following provisions: (1) the credit for increasing research activities; (2) source allocation for research expenditures (this provision expired as of August 1, 1991, so the extension would be for 10 months); (3) the exclusion for employer-provided educational assistance; (4) the 25% deduction for health insurance costs of self-employed individuals; (5) authority for the issuance of qualified mortgage bonds; (6) authority for the issuance of qualified small-issue bonds; (7) the targeted jobs credit; (8) the low-income housing credit; (9) the energy investment credit for solar and geothermal property; (10) the tax credit for clinical testing of orphan drugs; and (11) the alternative minimum tax exception for charitable contributions of appreciated tangible personal property.

—John Butler, Tax Manager

# Speaking Out

## Again, Misconduct in Research

Deputy Provost Clelland (*Almanac*, November 5) makes several assertions that, once more, skirt around the issues.

A) He again dismisses the finding by SCAFR (Senate Committee on Academic Freedom and Responsibility) that the administration's Research Misconduct Guidelines violate academic freedom and due process. He justifies the dismissal by the fact that the administration had consulted other faculty bodies. I suggest that the Deputy Provost also consult the University Statutes (see p. 20 of *Handbook for Faculty and Academic Administrators*, 1989), which specifically state that the Academic Freedom Committee "shall have power to make investigations, reports, and recommendations on any matter relating to academic freedom and responsibility within the University." In brief, SCAFR was doing its job—which the Deputy Provost defines, amazingly enough, as "exercising its powers for rhetoric."

B) The Deputy Provost suggests that SCAFR's objections can be legitimately dismissed because they were not given in writing but orally, at a two-hour meeting with the Provost, the Deputy Provost, and the Vice-Provost for Research. This objection would make sense only if all three were deaf, or had very short-term memories, or were unable to write notes.

C) Dr. Clelland labels my own expressed concerns about the Research Misconduct Guidelines "apocalyptic." Alas, they rest on experience. In a separate case, SCAFR found last year that the administration's very first use of the Guidelines was seriously flawed and its subsequent actions unacceptable. In response, the administration has—surprise! surprise!—sent the report back to SCAFR for reconsideration, whatever that means. Perhaps the Deputy Provost might give us an advance estimate of the number of years the administration proposes to shop around for ever-new committees.

D) Except for the fact that SCAFR's finding on the Research Misconduct Guideline's was not to the administration's liking, it is quite unclear what exactly makes it "an exercise in rhetoric." It would help us all to understand the administration's definition of rhetoric if we knew, for example, which of the other findings by SCAFR are rhetorical and which are not. What, for example, of its finding last year (also published in *Almanac* September 17, 1991) about the faculty's right of the privacy of their offices? Was it also a rhetorical impulse that made SCAFR remind administrators that breaking into faculty offices and rifling through files is an academic No-No?

E) I would be delighted to stop being "apocalyptic" if the Deputy Provost will assure the faculty directly, in no uncertain terms, and preferably in one sentence, that

the faculty of this university can assume the administration does not consider it to be its right to enter faculty offices and rifle through faculty files whenever it decides it is necessary to do so. If he cannot do it, then this university is indeed in serious trouble. At the very least, faculty should start buying extra locks.

—Igor Kopytoff Professor of Anthropology

## Dr. Clelland responds:

"Who is this that darkeneth counsel by words without knowledge?" Professor Kopytoff continues to feel that the Provost erred in accepting the advice of the Faculty Senate in the matter of the Procedures Concerning Misconduct in Research. Let me reply to the points made in his current letter in considerable detail.

A) Dr. Kopytoff has referred to the Statutes of the University and correctly states that the Senate Committee on Academic Freedom and Responsibility (SCAFR) "shall have power to make investigations, reports, and recommendations on any matter relating to academic freedom and responsibility within the University." What the statutes do not say is that this committee has any authority to make decisions concerning what is University policy and what is not. Like any other Senate Committee, its role is an advisory one. Thus it is clear that when this committee writes concerning the Misconduct Procedures, "therefore, they are null and void and their use is unacceptable until key changes are made," it has exercised its powers of rhetoric rather than made a substantive decision. The administration and, I believe, the Faculty Senate do not agree that these procedures are unacceptable. It is certainly not true that "they allow deans to do anything they want to a person accused of misconduct." Such a statement is hardly an accurate representation of the thrust of the Misconduct Procedures which base a dean's decision upon the reports of two successive investigations by faculty members.

B) The administration is not deaf, but neither is it dumb. The administration did not follow SCAFR's advice not only because it was given orally and in generalities but also because it felt that the advice lacked merit.

C) Far from being a "separate" case, in my judgement Professor Kopytoff's concerns with the Procedures Concerning Misconduct in Research arose specifically in correction with the particular case in question. SCAFR's advice to the administration in that case certainly was based in criticism of the Misconduct Policy and upon interpretation of that policy that seemed idiosyncratic, to say the least. "Reconsideration" means that SCAFR was asked to take another look at the policy to see if it wished to modify its previous position in any way in view of a consider-

able explanatory document prepared by the administration. The report has not been sent elsewhere. "Ever-new committees" is simply empty verbiage.

D) I hope that in my response to (A) I have made it clear why SCAFR's finding was "an exercise in rhetoric." As to which other findings of last year's SCAFR were largely rhetorical, none comes to mind except that the committee referred to some of its recommendations as "rulings", thus giving the impression that they were other than recommendations.

E) It is a common debating strategy, when one is losing an argument, to launch an attack in another quarter. Hence we have talk about "breaking into faculty offices and rifling through files" as a diversionary tactic launched with considerable linguistic skill but with little respect for the facts. Let me explain. Last year, upon the issuance of a new version of the Human Resources Policy Manual, both the Senate leadership and the Provost's office became aware of a policy governing the actions of the Internal Audit Department in cases where University employees (including faculty members) were suspected of misappropriating University funds for their private use or otherwise mishandling University resources. Such charges rarely involve faculty. However, since this policy had not been discussed with the Senate, Professor Phillips and I agreed to create a needed dialogue. After many conversations within the administration, I have recently sent to the Senate leadership a revised draft policy for discussion. I expect that it will be studied carefully within the Senate's committee structure and that serious discussions will take place during the remainder of the academic year. It is unlikely that Professor Kopytoff's highly charged but inaccurate characterization will contribute to the eventual policy revision.

Academic freedom is a vital concept. Originally it pertained to a faculty member's absolute right to express opinions in the areas of his or her expertise without fear of retaliation. As the years go on, it acquires broader interpretations. However, no one would argue that academic freedom involves the right to misappropriate funds, to give out fraudulent tax information in the name of the University, to endanger the lives of students, to assault one's colleagues, to conduct for-profit business from one's office, to falsify one's research results or to vilify one's secretary. These rare events do happen, however, and fair processes for response are needed when they do occur. Academic responsibility must go in tandem with academic freedom.

I am willing to assure Professor Kopytoff that at the present time I have no intention of attacking his office door with either an ax or a crowbar.

—Richard Clelland, Deputy Provost



*The University of Pennsylvania Statement on Stewardship of Human and Financial Resources was published in the Spring of 1991. The statement describes the fundamental responsibilities of those individuals who function in any kind of administrative capacity as stewards of Penn's institutional well-being. It is both a statement of philosophy and a guide to other resources regarding Penn's policies and procedures.*

*The idea of producing a written statement and guide about stewardship responsibilities was conceived in 1989. It grew out of a series of presentations given by senior-level University managers regarding the responsible discharge of administrative duties at Penn.*

*The Division of Human Resources coordinated the development of the statement which was reviewed over the course of eighteen months by many representatives from across the campus. Some University resource offices, constituency groups and an advisory committee derived from the Human Resources Council greatly improved the statement with dozens of insightful suggestions that were subsequently incorporated. The Office of the General Counsel provided ongoing legal advice. Copies of the Statement on Stewardship may be obtained by submitting a written request to the Division of Human Resources, the Office of the Vice President or the Office of the Provost.*

*—Division of Human Resources*

## University of Pennsylvania Statement on Stewardship of Human and Financial Resources

### Stewardship of Human and Financial Resources

Faculty and staff serve the University and advance its mission of research, teaching, and public service by the appropriate performance of their academic and administrative roles. Every University officer, dean, senior manager, department chair, graduate group chair, sponsored project administrator, principal investigator, director, manager, supervisor, and budget administrator shares responsibility with the faculty and staff for stewardship of the University's resources and future.

As a steward, you have a responsibility to support and enhance the mission of the University, to ensure that Penn fulfills its legal and financial obligations to internal and external constituencies, to safeguard the University's financial, human, and physical assets, and to create an atmosphere that encourages all members of the Penn community to contribute to the overall excellence of the University. Your actions as a steward of University resources have a profound effect on Penn's capacity to confront the challenges of its mission so that the University maintains, and indeed amplifies, its national and international reputation.

This statement outlines the fundamental responsibilities that are inherent in functioning as a steward of the University. It is intended to introduce these responsibilities to faculty and administrators who are new to the University or their administrative roles and to guide seasoned managers and their staff. It refers you to University publications and offices where you will find assistance regarding specific policies and procedures. You also should be aware that each school and major administrative unit also has its own policies and procedures, which are consistent with and supplement those that apply throughout the campus.

### Stewardship of Human Resources

It is vital that the University develop and maintain a campus atmosphere that is conducive to the free and vigorous exchange of ideas not only in the classroom, but also throughout the working environment. Stewardship of the University's human resources means creating an atmosphere in which people treat each other with respect and dignity, regardless of their differences.

*As a steward, your fundamental responsibilities include:*

Maintaining an effective and efficient organization that supports the decentralized structure of the University without needlessly duplicating functions and services performed elsewhere in the University.

Reviewing and enforcing all University policies and procedures—including those that pertain to affirmative action, equal opportunity, and racial and sexual harassment—that help to foster a pluralistic, civil, and ethical work environment.

Fostering an atmosphere of teamwork and mutual respect so that each employee may productively contribute to the University's mission.

Creating written job descriptions, in collaboration with the Division of Human Resources, that accurately describe the duties and responsibilities of positions within your jurisdiction.

Seeking out applicants from diverse sources and hiring fully competitive people for positions without regard to race, color, sex, sexual orientation, religion, national or ethnic origin, age, disability, or status as a disabled or Vietnam Era veteran.

Offering appropriate compensation, in consultation with the Division of Human Resources, to prospective and current employees, including payment of overtime as defined by the Fair Labor Standards Act, that is consistent with University policies and procedures, as well as all federal and state requirements.

Expecting all employees under your supervision to meet equivalent introductory and continuing performance standards, based upon written job descriptions, in accordance with University policies and procedures.

Providing opportunities for employees to obtain orientation, skills training, and professional development so that employees and the University can mutually advance.

Acknowledging employees' performance, with guidance from the Division of Human Resources, through a combination of positive and constructive feedback, financial recognition, or remedial action as appropriate.

Upholding provisions of contracts the University negotiates with unions representing employees at Penn.

Maintaining the confidentiality of employee records and the privacy of coworkers, particularly with regard to their personal and financial circumstances.

### For Further Information...

*Division of Human Resources*

*Almanac* (weekly publication of record)

*Handbook for Faculty and Academic Administrators* (from the Office of the Secretary of the University)

*Human Resources Policy Manual* (from the Staff Relations Department or via PennNet)

*Training and Development Opportunities for Staff and Faculty* (from the Training and Organization Development Department)

*Statutes of the Trustees* (from the Office of the Secretary of the University)

*University Policies and Procedures* (from the Office of the Vice Provost for University Life)

*(continued next page)*

## Stewardship of Financial Resources

The University of Pennsylvania receives certain distinct tax advantages as a 501(c)3 corporation. Stewardship of the University's financial resources includes protecting that status by developing, implementing, and maintaining proper administrative and accounting controls, as well as complying with various governmental regulations.

*As a steward, your fundamental responsibilities include:*

Informing your staff of financial policies, established by the University and published in the Financial Policy Manual, and strictly enforcing these policies.

Developing and following written internal administrative and accounting procedures, and making them available to current staff and new personnel.

Maintaining accurate and complete financial documents in accordance with record-keeping requirements established by the University and external regulatory agencies, as applicable.

Expending funds according to the terms and conditions set forth in restricted gifts, agreements for sponsored projects, and the University's financial and administrative policies.

Monitoring your current revenue and expenditures regularly for accountability purposes.

Constructing budgets that are based on a thorough analysis of needs and that conform with University budgetary guidelines.

Establishing basic internal controls, including the segregation of responsibilities, in order to ensure that transactions are appropriately executed.

Being alert to control weaknesses that can lead to waste, misuse, misappropriation, or destruction of assets, and taking action to correct such weaknesses.

Reporting to an appropriate University authority all suspected or known misappropriations, misuses, destruction of assets, and conflicts of interest.

Maintaining the confidentiality of University financial information as required.

Performing periodic internal reviews to ensure continued compliance with University financial policies and administrative and accounting procedures.

### For Further Information...

*Office of the Comptroller*

*Office of Internal Audit*

*Almanac* (weekly publication of record)

*Financial Policy Manual* (from the Office of the Vice President for Finance)

*Handbook for Faculty and Academic Administrator* (from the Office of the Secretary of the University)

*Research Investigators' Handbook* (from the Office of Research Administration)

*Statement of Internal Audit Policy* (from the Office of Internal Audit)

*Statutes of the Trustees* (from the Office of the Secretary of the University)

*University Policies and Procedures* (from the Office of the Vice Provost for University Life)

## Compliance With Legal Obligations

The University of Pennsylvania has substantial legal and financial responsibilities in its capacities as a major employer, property owner, nonprofit corporation, and recipient of external funding. Stewardship of the University's financial and human resources also entails heeding policies and procedures designed to comply with the University's legal requirements.

*As a steward, your fundamental responsibilities include:*

Reviewing and observing all University-wide policies and procedures, as well as those specifically governing your school or administrative unit.

Becoming familiar with and observing all policies, procedures, and legal requirements imposed on the University as the result of having accepted external funds for research, training, or other projects.

Maintaining accurate and complete documents, as required by the University and regulatory agencies, in order to comply with fiduciary and legal requirements.

Reporting to an appropriate University authority all possible infractions or incidents that may create possible liability for the University or its representatives.

Refraining from acting or speaking as an official spokesperson or accepting obligations on behalf of the University unless specifically authorized to do so, and making similar restraints clear to employees within your unit.

Advising the Office of the General Counsel of any communication

relating to the University from lawyers who do not represent the University.

### For Further Information...

*Office of the General Counsel*

*Office of Risk Management*

*Financial Policy Manual* (from the Office of the Vice President for Finance)

*Handbook for Faculty and Academic Administrators* (from the Office of the Secretary of the University)

*Human Resources Policy Manual* (from the Staff Relations Department or via PennNet)

*Research Investigators' Handbook* (from the Office of Research Administration)

*Statutes of the Trustees* (from the Office of the Secretary of the University)

*University Policies and Procedures* (from the Office of the Vice Provost for University Life)

## Protection and Assistance Afforded by the University

While every situation must be evaluated on its own merits, in general the University provides faculty and staff who act in good faith and within the scope of their employment with indemnification and defense from and against claims arising from their employment. The Policy on Indemnification is set forth in a standing resolution under Article 12 of the *Statutes of the Trustees of the University of Pennsylvania*, copies of which are available from the Office of the Secretary. Questions regarding the policy should be directed to the Office of the General Counsel.

Faculty and staff who fail to adhere to the University's standards and policies compromise the institution and their colleagues, as well as themselves. Some of the procedures for responding to infractions of University standards and policies exist in various policy statements, including the *Handbook for Faculty and Academic Administrators*, the *Financial Policy Manual*, the *Human Resources Policy Manual*, and other sources listed in this document. Additionally, stewards should consult the sources listed on the following page, as appropriate, to help them properly fulfill their stewardship responsibilities.

## Stewardship Assistance Offices

The following offices offer guidance, publications, and various kinds of training opportunities.

Affirmative Action	8-6993
Comptroller	
Accounts Payable	8-7263
Federal Compliance Group	8-4600
Field Communications & Training	8-1733
Financial Reporting	8-4580
General Accounting	8-2364
Investment Accounting	8-9064
Payroll	8-1443
Research Accounting	8-7269
Tax Office	8-8967
Travel Program	8-3307
Faculty/Staff Assistance Program	8-7910
General Counsel	8-7660
Human Resources	
Benefits	8-7281
Compensation	8-3503
Employment	8-7285
Information Management	8-1323
Labor Relations	8-6019
Staff Relations	8-6093
Training and Organization Development	8-3400
Internal Audit	8-7260
Office of the Ombudsman	8-8261
Purchasing Department	8-7216
Research Administration	8-7293
Resource Planning & Budget	8-6651
Risk Management	8-4327
Secretary of the University	8-7005
Student Financial Services	8-1988
Treasurer	8-9844
Vice Provost for University Life	8-6081



## Once Again, A Winter Wonderland: December 9

Penn's 250th Anniversary is over, but the University is carrying one of its highlights over into this year: Winter Wonderland II. On Monday, December 9, from noon to 7 p.m., Blanche Levy Park will be magically transformed into a holiday festival of sights, sounds and aromas. The site—stretching from the Furness Building to the E. Craig Sweeten Center, from Van Pelt Library to College Hall—will be the focus of activities and merriment throughout the afternoon and evening.

The event will begin with the opening of Ben's Enchanted Village, a tent adjacent to the Sweeten Center, where artisans will present holiday crafts including jewelry, pottery, dried flowers, stained glass, wooden toys, country wood, candy, silk scarves and wearables. The Association of Alumnae will be there selling bulbs for colorful plants such as amaryllis, calla lily, hybrid lily, paperwhite narcissi and crocuses.

College Green will come alive with light-laced trees, sleighs, colorful bows, ice sculptures and blankets of snow (real and/or artificial). College Hall, as well as the Furness Building, will be adorned with colored lights.

At 4:30 p.m. musical groups from both Penn and the greater community will provide entertainment. The Glee Club will stroll through the Village singing Winter favorites, and the Festival Chorus and Penn Brass Ensemble will offer seasonal numbers at intervals.

Gradually, Dickensian characters will mingle with the crowd, spreading a '90s version of holiday spirit. Hot chocolate, cider, and coffee will be given out from 4 to 6:30 p.m. to complement toasted marshmallows, roasted chestnuts, cakes and cookies, candies and assorted other sweets.

All members of the faculty, staff, and student body are invited to attend this event and partake in its gifts. In this spirit of giving, each person is asked to bring a small present—a toy, a book, canned food, an item of warm clothing, like mittens or socks. The wrapped or unwrapped items can be placed in the Victorian sleigh that will be drawn up in front of Ben Franklin's statue. Later they will be distributed to Philadelphia's homeless shelters.

The community benefited greatly from last year's overwhelming response of giving, and the University hopes for similar generosity at this year's celebration, according to Joanna Vogel, one of the event's coordinators.





This year's festival has added another surprise, "dancing water." Colored fountains will perform to music three times during the celebration—the first time as part of the lighting-up ceremony for of College Hall and Furness, when President Sheldon Hackney welcomes the crowd and throws the switch at 5:15.



### Treelighting: December 11

The Faculty Club's annual treelighting this year is Wednesday, December 11. During the 5 to 7:30 p.m. buffet framed around prime rib and assorted grilled seafoods will be served. Reservations are needed for the buffet, \$15.25 (\$8 for children under 10) plus service charge; to make them, call 898-4618. Treelighting is but a prelude this year. As a feast for the eye the Club will have a gingerbread house display (this in addition to its Burrison Gallery exhibit of the work of Charles Lee and Bruce Montgomery). And for three days running—Monday through Wednesday, December 16-18—the Club will have holiday luncheon buffets, 11:30 a.m. to 1:30 p.m., featuring steamship round, grilled swordfish and chicken marsala (\$11.50 plus service charge; 898-4618 for reservations).



-  **REFRESHMENTS**
-  **ENTERTAINMENT**
-  **GIFT DROP AREA**
-  **BEN'S ENCHANTED VILLAGE**



## Planning a Party?

The Faculty Club announces catering services available for the holiday season or any special occasion. Private parties, department get-togethers, receptions, etc., can be catered at the Faculty Club, Wharton Sinkler Estate, or location of choice. Ellen Iannarella, Catering Sales Manager at the Club, or Joan Bomba at the Sinkler Estate will assist in planning and arranging the affair by suggesting menus, room arrangements, and decorating ideas. Reservations can be made by calling Ext. 8-3464.

Those planning a party may hold it at 1920 Commons or at any other dining service facility such as Hill House or Stouffer Dining. All parties booked for the December holidays will include a free champagne reception.

Another option is buying a prepared party tray from the catering service to be picked up. For more information contact Joan Shaughnessy, the Catering Manager, at Ext. 8-4213 or Sondra B. Siegel, Special Events and Conference Coordinator, at Ext. 8-9457.



## Holiday Hours

**Annenberg Center Box Office** Closed December 25. Open December 27-30, noon-8 p.m. Closed December 31 and January 1.

**Bookstore** December 21, 10 a.m.-5 p.m., December 22, 11 a.m.-4 p.m., December 23, 8:30 a.m.-6:30 p.m., December 24, 8:30 a.m.-3 p.m., December 26, 27, 30, 31, 10 a.m.-5 p.m., December 25, 28, 29, January 1 & 5, Closed, January 2 & 3, 8:30 a.m.-5 p.m., January 4, 10 a.m.-5 p.m., January 6-9, 8:30 a.m.-6:30 p.m. For more information, 898-7595.

**Christian Association** Closed December 24 thru January 1.

**Class of 1923 Ice Rink** Open everyday except December 25 and January 1.

**Escort Service/PennBus/Handivan** Service ends December 20 and resumes on January 2.

**Faculty Club** Closed December 25 thru January 1.

**Gimbel Gym** Closed December 20 at 4:45 p.m. thru January 1.

**Hillel** Closed December 25 and January 1. Open 10 a.m.-4 p.m. all other days.

**Houston Hall** Open December 20. Closed December 21-22. Open December 23 from 7:30 a.m. to 5:30 p.m. Closed from December 24 thru January 1. Open Monday thru Friday from January 2-10 from 7:30 a.m. to 5:30 p.m. Closed January 11. Open January 12 from 9:00 a.m. to midnite. Normal hours resume January 13.

**Houston Hall Mall** Open December 20 from 7:30 to 9:00 p.m. Closed December 21-22. Open December 23 from 7:30 a.m. to 7:00 p.m. Closed December 24 thru January 1. Open January 2-10 from 7:30 a.m. to 7:00 p.m. Normal hours resume January 13.

**Hutchinson Gym** Closed December 20 at 4:45. Reopens January 2 at noon. Open January 2-10 from noon to 6:45 p.m., Monday thru Friday.

**ICA** Closed December 24, 25, & January 1.

**Morris Arboretum** Closed December 24 thru January 1.

**Residence Halls** All residence halls are closed noon, December 21 to January 9 with the exception of Graduate Towers, Low Rise North, Mayer Hall, and all of the High Rises.

**University Museum:** Closed December 25 and January 1. Normal hours are Tuesday thru Saturday 10 a.m.-4:30 p.m. Open Sundays 1:00-5:00. Closed Mondays.

**Van Pelt/Lippincott Libraries and Rosengarten Reserve** Open December 20, 23-24, 26-27, 30-31 from 8:30-5:00. Closed December 21-22, 25, 28-29 and January 1. Open January 2-3 and 6-12 from 8:30 a.m. to 5:00 p.m. Normal hours resume on January 13.

## Holiday Hours for University Offices

**Accounts Payable** Closed December 25 and January 1. Open December 26-27 and December 30-31 from 9 a.m. to 3 p.m.

**Cashier's Office** Closing December 24 at 2 p.m. thru January 1.

**Student Information and Systems (Registrar's Office)** Closed December 25 thru January 1. Grade sheets can be dropped in mail slot.

**Student Financial Services** Closed December 25 thru January 1.

## Overall Schedule

Fall semester ends Friday, December 20. Spring semester classes begin January 13. The University will be officially closed December 25 through January 1.

## Mortgage Seminars

Over 400 hundred people attended last month's Housing Fair. The Treasurer's Office has invited several banks and realtors to further discuss the mortgage process.

One-hour seminars, opened to all University/HUP employees, will be held in 720 Franklin Building beginning at noon to answer questions on the mortgage process. They are as follows:

—Mellon Bank representatives will discuss the PENN/PHFA Program on December 6. It allows 95% financing of properties located in West and Southwest Philadelphia and a fixed interest rate of 8.35%.

—Urban and Bye Realtors will discuss the available properties, local schools, taxes, etc., in West Philadelphia/University City on December 13. Penn offers the Mortgage Program which offers 100% financing on the price of property purchased in University City (some restrictions apply).

—Programs on Center City and the Germantown/Chestnut Hill/Mount Airy sections of the city will be coming soon.

Beverages will be available at these brown-bag seminars. Call Jean Crescenzo at Ext. 8-7256 to reserve a seat.

## Volunteers for Tooth Study

The Tooth Sensitivity Study at the School of Dental Medicine needs individuals with sensitive teeth. Men or women who have gum recession and surfaces of teeth that are sensitive to touch and/or cold air may qualify. Financial compensation and free treatment are available. For more information contact the Tooth Hypersensitivity Study at 898-5963.

## Teens for Mood and Sleep Study

Philadelphia Child Guidance Center (PCGC) needs teenagers ages 12-16 to participate in a mood and sleep study. Teens can be reimbursed up to \$150 for their time commitment.

For the first three months, participants would complete a mood diary twice daily and be called once a week for brief telephone interviews. During the second month, a small motion sensor would be worn on the wrist, and the participant would have to visit PCGC weekly for re-programming.

The initial step for interested adolescents and their parents is a 3 and 1/2 hour interview in which data would be gathered for a general family history, and questionnaires would be completed. Potential study participants and their parents will be paid \$15 (\$30 total) for the interview.

Selected participants will be reimbursed for transportation and parking for each visit made, in addition to their payment for participation in the study.

For more information on the sleep and mood study, call Heidi Heindrickx at 243-2770.

# Lindback Awards for Distinguished Teaching, 1991-1992

Nominations are once again being solicited for the Lindback Awards presented annually to eight members of the University of Pennsylvania faculty in recognition of their distinguished contributions to teaching. They are open to teachers of undergraduates and graduate students in both the professional schools and the arts and sciences.

## Non-Health Areas

For Lindback Awards in the non-health areas a separate Committee on Distinguished Teaching, appointed by the Vice Provost for University Life on behalf of the Provost, is charged with presenting the Provost's Staff Conference with eight candidates from which the four non-health area winners are chosen.

The Committee is drawn from the non-health schools and is composed of five Lindback Award recipients, three graduate and professional students, and two undergraduates. The Chairperson is one of the faculty members and is appointed by the Vice Provost.

Nominations should be submitted to the Committee on Distinguished Teaching, 200 Houston Hall/6306, to the attention of Terry Conn. They should be in the form of a letter, citing those qualities that make the nominee an outstanding teacher. It is particularly important to include the nominee's full name, department and rank; how you know the nominee; and your name, address and phone number. Additional supporting evidence, in the form of statistical surveys, curricula vitae, lists of courses taught, etc., will also be helpful to the Committee in its selection process.

*Nominations will close Friday, December 9, 1991*

## Health Areas

For Lindback Awards in health areas, an internal nominating process is carried out in each school, using procedures developed in that school. The respective school committees shall submit their nominations to the Vice Provost for University Life in February. These will be reviewed by a Committee on Distinguished Teaching in the Health Areas, appointed by the Provost on the recommendations of the Deans, who will then develop a rank-ordered list of the candidates for submission to the

Provost's Staff Conference. The dossiers of those nominated must include a current curriculum vitae, teaching evaluations with instructions for interpreting them; letters of comments and/or support from students, faculty colleagues, deans, directors or department chairs.

## Provost Awards, 1991-1992

The Provost Awards are presented annually to recognize distinguished teaching by full-time associated faculty or full-time academic support staff. One award will be given in the health schools and one in the non-health schools.

The Lindback Committee on Distinguished Teaching from the health and non-health areas also will evaluate nominations for these two awards. The Committee will present the Provost's Staff Conference with two final candidates in ranked order. From these, two winners will be chosen, one from each area.

The criteria for selection of Provost Award recipients are the same as those used in selection of Lindback Awardees.

With these criteria in mind, the Committee on Distinguished Teaching now welcomes nominations for these awards from schools or departments, individual students, student groups, faculty members or alumni. Nominations should be submitted to the Committee on Distinguished Teaching, 200 Houston Hall/6306, to the attention of Terry Conn. The nomination should be in the form of a letter, citing those qualities that make the nominee an outstanding teacher. It is particularly important to include the nominee's full name, department, and rank; how you know the nominee, and your name, address and telephone number. Additional supporting evidence, in the form of statistical surveys, curriculum vitae, lists of courses taught, etc., will also be helpful to the committee in its selection process.

*Nominations will close Friday, December 9, 1991.*

## Criteria and Guidelines for Lindback Awards

1. The Lindback Awards are given in recognition of distinguished teaching. "Distinguished" teaching is teaching that is intellectually demanding, unusually coherent, and permanent in its effect. The distinguished teacher has the capability of changing the way in which students view the subject they are studying. The distinguished teacher provides the basis for students to look with critical and informed perception at the fundamentals of a discipline, and he/she relates this discipline to other disciplines and to the world view of the student. The distinguished teacher is accessible to students and open to new ideas, but also expresses his/her own views with articulate conviction and is willing to lead students, with a combination of clarity and challenge, to an informed understanding of an academic field. The distinguished teacher is fair, free from prejudice, and single-minded in the pursuit of truth.

2. Distinguished teaching means different things in different fields. While the distinguished teacher should be versatile, as much at home in large groups as in small, and in beginning classes as in advanced, he or she may have skills of special importance to his/her area of specialization. Skillful direction of dissertation students, effective supervision of student researchers, ability to organize a large course of many sections, skill in leading seminars, special talent with large classes, ability to handle discussions or to structure lectures—these are all relevant attributes, although it is unlikely that anyone will excel in all of them.

3. Distinguished teaching is recognized and recorded in many ways; evaluation must also take several forms. It is not enough to look solely at letters of recommendation from students. It is not enough to consider "objective" evaluations of particular classes in tabulated form; a faculty member's influence extends beyond the classroom and beyond individual classes. Nor is it enough to look only at a candidate's most recent semester or at opinions expressed immediately after a course is over; the influence

of the best teachers lasts while that of others may be great at first but lessen over time. It is not enough merely to gauge student adulation, for its basis is superficial; but neither should such feelings be discounted as unworthy of investigation. Rather, all of these factors and more, should enter into the identification and assessment of distinguished teaching.

4. The Lindback Awards have a symbolic importance that transcends the recognition of individual merit. They should be used to advance effective teaching by serving as reminders to as wide a spectrum of the University community as possible of the expectations of the University for the quality of its mission.

5. Distinguished teaching occurs in all parts of the University and therefore faculty members from all schools are eligible for consideration. An excellent teacher who does not receive an award in a given year may be re-nominated in some future year and receive the award then.

6. The Lindback Awards may be awarded to faculty members who have many years of service remaining, or they may recognize many years of distinguished service already expended. *No faculty member may be considered for the Lindback Award in a year in which the member is considered for tenure. All nominees should be members of the standing faculty.* The teaching activities for which the awards are granted must be components of the degree programs of the University of Pennsylvania.

7. The awards should recognize excellence in either undergraduate or graduate/professional teaching or both.

8. The recipient of a Lindback Award should be a teacher/scholar. While a long bibliography is not necessarily the mark of a fine mind, nor the lack of one a sign of mediocrity, it is legitimate to look for an active relationship between a candidate's teaching and the current state of scholarship in his/her field.



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# OF RECORD

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*Over the past two years faculty-student committees have worked to revise the University's Guidelines on Open Expression, along with the Charter of the Student Judicial System and the Code of Academic Integrity. The Judicial Charter and the Code require action by the individual schools or their faculties before they can take effect. However, the proposed Guidelines on Open Expression require only the President's approval. The Guidelines on Open Expression were published "For Comment" in Almanac on October 15, 1991. They have been reviewed by the University Committee on Open Expression, and the University Council recommended their adoption at its November 13, 1991 meeting. I have therefore decided to adopt the new Guidelines as printed below, and they shall be effective as of the date of their publication in Almanac (12/3/91). —Sheldon Hackney, President*

## University of Pennsylvania Guidelines on Open Expression

### I. Principles

A. The University of Pennsylvania, as a community of scholars, affirms, supports and cherishes the concepts of freedom of thought, inquiry, speech, and lawful assembly. The freedom to experiment, to present and examine alternative data and theories; the freedom to hear, express, and debate various views; and the freedom to voice criticism of existing practices and values are fundamental rights that must be upheld and practiced by the University in a free society.

B. Recognizing that the educational processes can include meetings, demonstrations, and other forms of collective expression, the University affirms the right of members of the University community to assemble and demonstrate peaceably in University locations within the limits of these Guidelines and undertakes to ensure that such rights shall not be infringed. In keeping with the rights outlined in I.A. above, the University affirms that the substance or the nature of the views expressed is not an appropriate basis for any restriction upon or encouragement of an assembly or a demonstration. The University also affirms the right of others to pursue their normal activities within the University and to be protected from physical injury or property damage. The University shall attempt to ensure that, at any meeting, event or demonstration likely to be attended by non-University law enforcement authorities, the rights provided by these Guidelines are not infringed.

C. The University shall be vigilant to ensure the continuing openness and effectiveness of channels of communication among members of the University community on questions of common interest. To further this purpose, a Committee on Open Expression has been established as a standing Committee of the University Council. The Committee on Open Expression has as its major tasks: participating in the resolution of conflicts that may arise from incidents or disturbances implicating these Guidelines; mediating among the parties to prevent conflicts and violations of these Guidelines; interpreting these Guidelines; advising administrative officers when appropriate; and recommending policies and procedures for the improvement of all levels of communication.

D. In case of conflict between the principles of the Guidelines on Open Expression and other University policies, the principles of the Guidelines shall take precedence.

### II. Definitions

A. For the purposes of these guidelines, the "University community" shall mean the following individuals:

1. Persons who are registered as students or who are on an unexpired official leave of absence.
2. All persons who are employed by the University.
3. Trustees and associate trustees of the University and members of Boards of Overseers or other bodies advisory to the University.

B. For the purposes of these Guidelines, "meeting" and "event" designate a gathering of persons in a University location previously reserved for that purpose. Unless designated as public, meetings are considered to be private. Events are considered to be public. "Demonstration" designates the presence of one or more persons in a University location with the intent to express a particular point of view in a manner that attracts attention, as in protest, rallies, sit-ins, vigils, or similar forms of expression. "University location" designates:

1. The campus of the University;
2. Any location owned, leased or used by the University, when used by members of the University community; and
3. Areas immediately adjacent thereto.

### III. Standards

A. The University, through the President, the Provost, and the Vice Provost for University Life, shall act to encourage and facilitate free and open expression within these Guidelines.

1. The University shall publish these Guidelines at least once each academic year in a manner that brings them to the attention of members of the University community. The University shall publish the rules adopted pursuant to IV.B.1 by the Committee on Open Expression at least once each

academic year in a manner that brings them to the attention of members of the University community.

2. The University shall establish standards for the scheduling of meetings and events. This shall involve:

a. Publishing policies and procedures whereby members of the University community, upon suitable request, can reserve and use designated spaces within University buildings for public or private meetings or events;

b. Publishing policies and procedures whereby members of the University community, upon suitable request, can reserve and use designated outdoor spaces on the University campus for public meetings or events;

c. Publishing policies and procedures that specifically address requests involving groups composed entirely or predominantly of persons who are not members of the University community (see Section VI);

d. Consulting with the Committee on Open Expression with regard to the substance of the policies and procedures and the manner of their publication; and, if practicable, consulting with the Committee on Open Expression before denying a request for use of a room, facility, or space by an organization recognized by the University for a reason other than prior assignment of the room, facility, or space. In any event, any such denial must be reported promptly to the Committee.

B. Each member of the University community is expected to know and follow the Guidelines on Open Expression. A person whose conduct violates the following Standards may be held accountable for that conduct, whether or not the Vice Provost or delegate has given an instruction regarding the conduct in question. Any member of the University community who is in doubt as to the propriety of planned conduct may obtain an advisory opinion from the Committee on Open Expression in advance of the event.

1. Individuals or groups violate these Guidelines if:

a. They interfere unreasonably with the activities of other persons. The time of day, size, noise level, and general tenor of a meeting, event or demonstration are factors that may be considered in determining whether conduct is reasonable;

b. They cause injury to persons or property or threaten to cause such injury;

c. They hold meetings, events or demonstrations under circumstances where health or safety is endangered; or

d. They knowingly interfere with unimpeded movement in a University location.

2. Individuals or groups violate these Guidelines if they hold a demonstration in the following locations:

a. Private offices, research laboratories and associated facilities, and computer centers; or

b. Offices, museums, libraries, and other facilities that normally contain valuable or sensitive materials, collections, equipment, records protected by law or by existing University policy such as educational records, student-related or personnel-related records, or financial records; or

c. Classrooms, seminar rooms, auditoriums or meeting rooms in which classes or private meetings are being held or are immediately scheduled; or

d. Hospitals, emergency facilities, communication systems, utilities, or other facilities or services vital to the continued functioning of the University.

3. a. Individuals or groups violate these Guidelines if they continue to engage in conduct after the Vice Provost for University Life or a delegate has declared that the conduct is in violation of the Guidelines and has instructed the participants to modify or terminate their behavior. Prompt compliance with the instructions shall be a mitigating factor in any disciplinary proceedings based upon the immediate conduct to which the instructions refer, unless the violators are found to have caused or intended to cause injury to person

or property or to have demonstrated willfully in an impermissible location.

b. If the individuals or groups refuse to comply with the Vice Provost's or delegate's order, they may challenge the appropriateness of the order to the judicial system. If the judiciary finds that the conduct was protected by the Guidelines, all charges shall be dismissed.

c. Individuals or groups complying with the Vice Provost's or delegate's order may request that the Committee on Open Expression determine if the Guidelines were properly interpreted and applied to their conduct.

## **IV. Committee on Open Expression**

### **A. Composition**

1. The Committee on Open Expression consists of thirteen members: five students, five faculty members, two representatives of the administration, and one A3 representative.

2. Members of the Committee are appointed by the steering committee in the following manner:

a. Student members shall be nominated from undergraduate students, graduate students, and graduate professional students through existing mechanisms for each student body. Undergraduate and graduate and professional students shall rotate majority representation each year. Three undergraduate and two graduate and professional student members shall alternate with two undergraduate and three graduate and professional students every other year.

b. Faculty members shall be nominated by the Senate Executive Committee.

c. The administration members shall be nominated by the President.

d. The A3 representative shall be nominated by the A3 Assembly.

e. Each member shall be selected for a term of one year beginning the day after Labor Day each year. Any individual may not serve for more than two consecutive terms. Before Commencement, the Committee shall inform the Vice Provost and the University community which of its members will be available during the summer for mediation and advising.

f. Vacancies shall be filled for the unexpired term by the appropriate nominating body or persons.

3. The chair of the Committee shall be selected by the steering committee from among the members of the Committee on Open Expression.

### **B. Jurisdiction**

The Committee has competence to act in issues and controversies involving open expression in accordance with these Guidelines. The Committee's responsibilities are the following:

1. Issuing rules to interpret or give more specific meaning to the Guidelines. Before adopting a rule, the Committee must hold an open hearing on the proposed rule and receive the views of individuals or groups. An affirmative vote of eight members is required for adoption, modification or rescission of a rule to be effective.

2. Recommending to the University Council proposals to amend or repeal the Guidelines. An affirmative vote of seven members is required to make such recommendations.

3. Giving advisory opinions interpreting the Guidelines at the request of a member of the University community for the purpose of advising that person or the University community. Such advice is provided to guide future action. If the Committee does not give a requested opinion, it must indicate its reasons for not doing so.

4. The Committee must respond to such requests as soon as feasible but, in any event, not later than within one month of the receipt by the Chair of the Committee. Giving advisory opinions interpreting the Guidelines at the request of administrative officials with responsibilities affecting freedom of expression and communication. Such advice is provided for the purpose of guiding future action.

5. Mediating in situations that involve possible violations of the Guidelines. Those Committee members available at the time may act on behalf of the Committee. In carrying out the mediation function, the Committee or those members present may advise the responsible administrative officials and any other person with respect to the implementation of the Guidelines. Those Committee members who have acted on behalf of the Committee must report on their activities to the full Committee.

6. Reviewing the following administrative decisions for the purpose of providing advice on future actions.

a. At the discretion of the Committee, administrative decisions involving these Guidelines made without consultation with the full Committee.

b. All instructions by the Vice Provost or delegate to modify or

terminate behavior under Section III.B.3 of these Guidelines.

7. Investigating incidents involving the application of these Guidelines to aid the Committee in its functions of rulemaking, recommending changes in the Guidelines or issuing advisory opinions. Such functions provide guidance to the University community for future action. The results of Committee investigations for these purposes shall not be a part of the initiation, consideration or disposition of disciplinary proceedings, if any, arising from the incidents.

8. Adopting procedures for the functions of the Committee, varied to suit its several functions, consistent with these Guidelines. Procedures that are not wholly matters of internal Committee practice must be made public in advance of implementation. Except as otherwise provided, the Committee may determine its own voting procedures.

9. Submitting an annual report to the Council and the University on the status of the Committee's work in the University journal of record.

### **C. Procedures**

1. Except as provided with respect to the mediation function in Section IV.B.5, seven members of the Committee constitute a quorum.

2. The Committee can authorize subcommittees, selected from its own members, to act for the Committee in any matter except the issuance of rules interpreting or implementing the Guidelines or the making of recommendations to amend or repeal the Guidelines.

3. The Committee shall respect the privacy of individuals as its general policy and shall maintain the right to declare the confidentiality of its proceedings.

a. If a person appearing before the Committee requests that his or her testimony or information be kept confidential, the Committee shall consider such a request. The Committee then shall determine whether to honor that request and shall inform that person of its decision before testimony is given.

b. Minutes of particular Committee meetings may be declared confidential by the Committee or be so declared at the discretion of the chair subject to review by the Committee.

c. All Committee documents containing confidential material, as determined by the chair, shall be clearly marked "confidential" and shall carry a warning against unauthorized disclosure.

## **V. Responsibilities for Enforcement**

A. It is the responsibility of the Vice Provost for University Life (hereafter referred to simply as the "Vice Provost") to protect and maintain the right of open expression under these Guidelines.

B. Observation of meetings, events or demonstrations, when deemed necessary by the Vice Provost to protect and maintain open expression, shall be the responsibility of the Vice Provost, who may delegate such responsibility. This delegate shall have full authority to act in the name of the Vice Provost under these Guidelines.

1. The observer (Vice Provost or delegate) shall identify himself or herself to those responsible for the meeting or event or to the leaders of the demonstration.

2. The Vice Provost shall attempt to inform the chair of the Committee on Open Expression of meetings, events or demonstrations to which an observer will be sent. The chair may designate a member or members of the Committee to accompany and advise the observer. Such a Committee representative shall also be identified to those responsible for the meeting or event or to the leaders of the demonstration.

3. Except in emergencies, the Vice Provost's authority under these Guidelines shall not be delegated to employees of the University's Division of Public Safety. The role of public safety personnel at a meeting, event or demonstration is defined below, in Section V.C.3.

4. Any observer or Committee representative who attends a meeting, event or demonstration shall respect the privacy of those involved. If there has been no violation of these Guidelines, other University regulations, or applicable laws, an observer, committee representative, or public safety employee who attends a meeting, event or demonstration shall not report on the presence of any person at such meeting, event or demonstration.

C. The Vice Provost or delegate is responsible for enforcing Section III.B and may instruct anyone whose behavior is violating or threatens to violate these Guidelines to modify or terminate such behavior. The instruction shall include notice that failure or refusal to comply is a further violation according to Section III.B. of these Guidelines. However, an instruction or warning by the Vice Provost or delegate is not a prerequisite for a finding that a violation has occurred.

1. When the Vice Provost or delegate declares that an individual or a group has violated the Guidelines, he or she may request to examine their University identification.

a. Failure to comply with this request is in violation of the Guidelines.

b. If an individual declared to have committed a violation re-



fuses the request of the Vice Provost or delegate to show University identification, the Vice Provost or delegate may direct a University employee other than a member of the University of Pennsylvania Police Department, to photograph or videotape the individual. The Vice Provost or delegate must warn the individual that this will occur unless identification is presented. Photographs and videotapes obtained without such warning may not be used as evidence in disciplinary proceedings. The Vice Provost must obtain and hold such photographs and videotapes, share them with others only for purposes related to the Guidelines, and assure their destruction after the purpose for which they have been taken has been accomplished.

2. In carrying out this responsibility for safeguarding the right of open expression, the Vice Provost shall obtain the advice and recommendation of the representatives of the Committee on Open Expression whenever feasible.

3. The Vice Provost or delegate may request members of the University Police to attend meetings, events or demonstrations to help protect the open expression of those involved.

a. Any person acting as an agent of the Division of Public Safety who attends a meeting, event or demonstration in a University location shall be clearly identifiable as such and in normal duty uniform. (Arms may be carried if they are part of "normal duty uniform.")

b. Public safety personnel also may attend meetings, events or demonstrations when requested to do so by the person or group responsible for the event, when prominent public figures are involved, or when the Commissioner of Public Safety or delegate determines that there exists an imminent danger of violence at the event.

4. Terminating a meeting, event or demonstration by force is a most serious step, as this action may exacerbate existing tensions and may lead to personal injury and property damage.

a. Avoidance of injury to persons by the continuation of a meeting, event or demonstration is a key factor in determining whether it should be forcibly terminated. Property damage and significant interference with educational processes are also factors to be considered and may be of sufficient magnitude to warrant forcible termination.

b. Whenever possible, the Vice Provost or delegate should consult with the Committee on Open Expression before seeking a court injunction against those involved in a meeting, event or demonstration or

calling for police action.

c. The Vice Provost or delegate shall inform those involved that he or she intends to seek an injunction or call for police intervention before he or she does so.

d. When a meeting, event or demonstration is forcibly terminated, a full statement of the circumstances leading to the incident shall be publicized by the Vice Provost within the University.

D. 1. Cases involving undergraduate students are referred to the Judicial Inquiry Officer who investigates the event and decides what disciplinary proceedings, if any, to pursue.

2. Cases involving graduate or professional students are referred to the Judicial Inquiry officer or to the established disciplinary body of the school in which the student is enrolled.

3. Cases involving faculty are referred to the appropriate Dean or to the Provost.

4. Cases involving University staff or administrators are referred to that individual's supervisor or any other person with supervisory responsibility over that individual.

5. Cases involving trustees and associate trustees of the University and members of the Boards of Overseers or other bodies advisory to the University are referred to the Executive Committee of the Trustees.

E. The Division of Public Safety shall not collect or maintain information about members of the University community, except in connection with alleged crimes, violations of University regulations, or as specifically authorized in writing by the President. This regulation shall not affect personnel information concerning current, past or prospective employees of the Division of Public Safety.

## VI. Non-University Persons

These Guidelines address themselves explicitly to forms of individual and collective expression in a University location by members of the University community. The extent to which the privileges and obligations of these Guidelines may be made applicable in particular circumstances to individuals who are not members of the University community shall be determined by the Vice Provost or delegate. Participants in meetings, events and demonstrations in a University location are required to comply with the instructions of the Vice Provost or delegate. (See III.A.2.c.)

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# OF RECORD

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*The following document has been prepared to assist investigators in determining those recombinant DNA experiments which should be registered with the Institutional Biosafety Committee. Registration documents and copies of the NIH "Guidelines for Research Involving Recombinant DNA Molecules" are available through the Office of Environmental Health and Safety (OEHS), 1408 Blockley Hall/6021. Investigators wishing to work with biohazardous materials must be given written approval by OEHS prior to their use. For more information, please call Harriet Izenberg at 898-4453.*

## Recombinant DNA Guidelines—Simplified

The following simplified (and much needed) guide was written by Debbie Wilson of NIH. Since it was originally prepared for the NIH, some editorial changes were made so that it may be used at our institution.

### Recombinant DNA Guidelines

The National Institutes of Health (NIH) Guidelines for Research Involving Recombinant DNA Molecules is the definitive reference document for recombinant DNA research in the United States. Classification of experiments can be found in the Guidelines. The remainder of the document contains information on administrative topics including the responsibilities of individuals and institutions involved in recombinant DNA research. The Guidelines appendices provide additional information relating to experimental protocol.

Unfortunately, interpretation of the Guidelines is a difficult task for even the most experienced scientist. Therefore, in an attempt to simplify the classification of experiments and aid in complying with the recommended practices, the following has been abstracted from the Guidelines (Federal Register Vol. 51, No. 88, May 7, 1986, updated March 1990) and is listed below.

Experiments which must be registered and approved by the Institutional Biosafety Committee (IBC):

- Cloning of DNA encoding molecules toxic to vertebrates at an LD50 of less than 100 nanograms per kilogram.
- Cloning of DNA from all Class 2, 3, 4 or 5 human or animal pathogens; including HIV and related viruses and human tumor viruses. (If you are uncertain of an agent's Class, call the Office of Environmental Health and Safety at 8-4453.)
- Experiments using as vectors more than two-thirds of the genome of infectious animal or plant viruses or defective recombinant viruses grown in the presence of helper virus.

- Cloning using human or animal pathogens as host-vector systems.
- All recombinant DNA experiments involving whole animals and plants.

Experiments requiring registration with the IBC simultaneously with initiation of experiments:

- Experiments using as vectors less than two-thirds of the genome of defective animal or plant viruses, free of helper virus.

Experiments exempt from the Guidelines and do not require registration with the IBC:

- Cloning of all other DNA in *E. coli* K12, *S. cerevisiae* and *B. subtilis*, as well as other host-vector systems listed by the RAC; with the exception of DNA from Class 2, 3, 4 or 5 human pathogens.
- Introduction into cultured cells of any recombinant DNA containing less than half of a eukaryotic viral genome (with the exception of Class 2, 3, 4 or 5 pathogens).

There are experiments which are not covered by the above categories but do require review by the Recombinant Advisory Committee (RAC) as well as NIH approval before initiation or funding. However, these experiments are not generally associated with biomedical research but rather are more common in the agricultural and environmental sciences. If the experimental protocol is not covered by any of the above listed categories, the Biosafety Officer must be contacted at 8-4453 for determination of further review.

If you have any specific questions about a particular host-vector system not covered by the guidelines, you may call the Office of Recombinant DNA Activities, National Institutes of Health at (301) 496-9838 or FAX (301) 496-9839.

Updates to the NIH Recombinant DNA Guidelines are published in the Federal Register.

—Charles E. Benson, Chair, Institutional Biosafety Committee

## 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 crimes in the five busiest sectors on campus where two or more incidents were reported between **November 18, 1991 and December 1, 1991**.

**Totals:** Crimes Against Persons-0, Thefts-34, Burglaries-4, Thefts of Auto-2, Attempted Thefts of Auto-3

Date	Time	Location	Incident
<b>32nd to 33rd; South to Walnut</b>			
11/18/91	8:19 P.M.	200 Block 32	Items taken from auto/window broken
11/20/91	6:04 P.M.	Rittenhouse Lab	Secured bike taken from rack
11/22/91	12:18 P.M.	Palestra	Items taken from auto's trunk
11/22/91	4:04 P.M.	Rittenhouse Lab	Bike taken
11/22/91	9:04 P.M.	Lot 5	Car radio & wallet taken from auto
11/25/91	3:11 P.M.	Rittenhouse Lab	Unattended purse taken
11/27/91	12:40 P.M.	Hutch Gym	Secured bike taken
11/30/91	1:59 A.M.	Lot 5	Auto taken from lot
<b>34th to 36th; Spruce to Locust</b>			
11/18/91	4:02 P.M.	Williams Hall	Unattended purse taken
11/20/91	8:56 A.M.	Furness Bldg.	Bike taken/lock forced
11/20/91	3:36 P.M.	Houston Hall	Banner taken from courtyard
11/25/91	4:59 P.M.	Williams Hall	Secured bike & lock taken
<b>36th to 38th; Hamilton to Spruce</b>			
11/19/91	1:47 A.M.	Coxe Dorm	Keys & IDs taken from bathroom area
11/19/91	6:48 P.M.	Stouffer Triangle	Unattended knapsack taken
12/01/91	8:43 P.M.	Speakman Dorm	Photographic equipment taken
12/01/91	11:22 P.M.	Stouffer Triangle	Check taken from mailbox
<b>33rd to 34th; Spruce to Walnut</b>			
11/23/91	2:51 P.M.	Smith Hall	Photo paper taken
11/25/91	6:05 P.M.	Chemistry Bldg.	Computer taken from secured stockroom
11/26/91	4:17 P.M.	Bennett Hall	Credit card taken from unattended office
<b>34th to 38th; Civic Center to Hamilton</b>			
11/20/91	8:49 A.M.	Medical School	Radio taken from room
11/20/91	10:05 A.M.	Clinical Res. Bldg.	Phone taken from wall
11/23/91	11:14 A.M.	Clinical Res. Bldg.	Burglary—radio & phones taken/one arrest

**Safety Tip:** Every time you leave a door propped open or unlocked, you're leaving an open invitation to a criminal. Always secure your property and do not leave your valuables unattended.

## 18th District Crimes Against Persons

Schuylkill River to 49th Street, Market Street to Woodland Avenue  
12:01 A.M. November 11, 1991 to 11:59 P.M. November 24, 1991

**Totals:** Incidents—23, Arrests—4

Date	Time	Location	Offense/Weapon	Arrest
11/11/91	7:35 P.M.	4600 Pine	Robbery/strong-arm	No
11/12/91	11:10 P.M.	4625 Springfield	Robbery/gun	No
11/13/91	4:17 P.M.	4800 Baltimore	Robbery/strong-arm	Yes
11/15/91	1:52 A.M.	414 S. 44	Robbery/gun	No
11/15/91	6:50 P.M.	4600 Market	Robbery/gun	Yes
11/15/91	3:07 P.M.	4300 Ludlow	Aggravated Assault/gun	No
11/15/91	10:45 P.M.	4619 Larchwood	Robbery/gun	No
11/15/91	11:24 P.M.	3900 Ludlow	Homicide/gun	No
11/18/91	2:38 A.M.	4300 Baltimore	Homicide/gun	No
11/18/91	10:34 A.M.	1007 S. 46	Robbery/strong-arm	No
11/18/91	10:45 P.M.	4714 Kingsessing	Robbery/knife	No
11/19/91	3:15 A.M.	3400 Spruce	Robbery/gun	No
11/19/91	12:05 P.M.	3437 Walnut	Robbery/gun	No
11/19/91	4:00 P.M.	3000 Market	Robbery/gun	No
11/22/91	3:04 A.M.	4200 Spruce	Robbery/gun	No
11/22/91	2:25 P.M.	4441 Sansom	Robbery/gun	Yes
11/22/91	8:55 P.M.	4800 Ludlow	Robbery/knife	No
11/23/91	12:48 A.M.	4525 Walnut	Aggravated Assault/BB bat	No
11/23/91	1:30 A.M.	4800 Cedar	Robbery/gun	No
11/23/91	2:40 A.M.	3800 Chestnut	Robbery/strong-arm	No
11/23/91	3:28 A.M.	4600 Market	Purse Snatch/fists	Yes
11/23/91	7:00 P.M.	600 S. 49	Robbery/gun	No
11/24/91	1:19 A.M.	3900 Walnut	Aggravated Assault/knife	No

# Update

DECEMBER AT PENN

## ON STAGE

**4** *Every Dog Its Day*; at MTL's Tabernacle Theatre; a saga for solo clown in four movements, based on the mythology of the Egyptian phoenix and explores the clown as divinity. Through December 8. For tickets and showtimes, call 382-0606.

## TALKS

**4** *Molecular Analysis of the D2 Receptor: Structure and Function*; Kim Neve, Veterans Affairs Medical Center, Portland, OR; noon, M100-101, Mezzanine, John Morgan Building (Pharmacology).

**5** *Ca<sup>2+</sup> Transients in Heart: Theory and Mechanistic Interpretation*; Gil Wier, physiology, Maryland; 4 p.m., Physiology Library, 4th floor Richards Building (Physiology).

*Hematopoietic Stem Cell Growth Regulation, Differentiation and Transformation*; James Ihle, Chairman, biochemistry, St. Jude Children's Research Hospital, Memphis, TN; 4 p.m., Wistar Auditorium (Wistar Institute).

**Deadlines:** December 3 is the deadline for information to be submitted for the January At Penn calendar. The deadline for the weekly update is Tuesday for the following week's issue.

**Reminder:** Classes for the Spring Semester, 1992, are scheduled to begin on Monday, January 13th.

## Penn Tower Used Furniture Sale

The recently renovated Penn Tower Hotel will hold a used furniture sale on December 7 from 9 a.m. to 5 p.m.

It will be open to both the Penn community and to the general public.

Chairs, tables, beds, lamps, dressers and more will be on sale in the lower level of the Hajoca Building, located on 31st and Chestnut Streets. (Traveling on Chestnut, turn right onto 31st Street; it's the last building on the left side with the roll-top door).

All sales are final and the sale is cash and carry (cash or certified check only).

# Almanac

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