

Almanac

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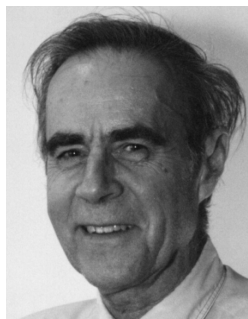
Penn's Rite of Spring: The Lindback Awards



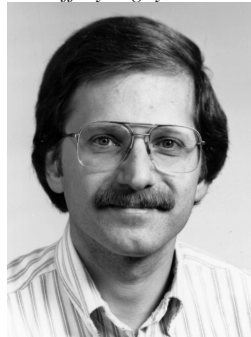
Dr. Jeffrey Tigay, A.M.E.S.



Dr. Will Harris, Political Science



Dr. Ian Harker, Geology

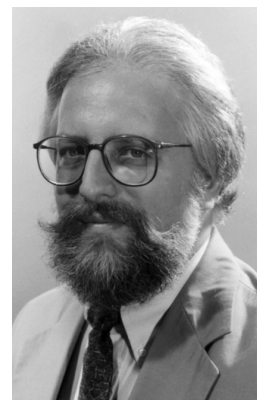


Dr. David Harbater,

All Penn faculty, staff and students are invited to the Lindback Awards Celebration Thursday, April 20, 4:30-6:30 p.m. in the Upper Egyptian Gallery of the University Museum



Provost's Award:
Dr. George Thomas,
Urban Studies



Dr. Robert Washabau, Vet



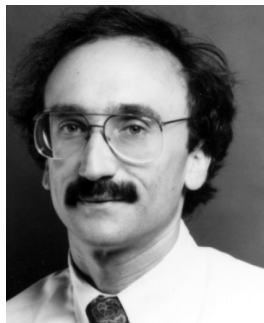
Dr. Janet Deatrick, Nursing



Dr. Anthony Rostain, Med



Provost's Award: Elizabeth Capezuti, Nursing



Dr. Harold Feldman, Med

About the Winners:
See pp. 2-3

A New Fine Arts Hall is a Charles Addams Memorial

The Lady Colyton, who was the wife of the late *New Yorker* cartoonist Charles Addams, has announced that she will create a new fine arts building at Penn to be known as the Charles Addams Fine Arts Hall—transforming what was once the Asbury Methodist Church, a landmark Victorian Gothic and Romanesque building on Chestnut Street between 33rd and 34th Streets.

"It's a building that Charles Addams would have loved," Lady Colyton said. "It serves as a measure of gratitude to Charles for his unique and great contribution in the field of graphic art and a comic genre that will always bear his name. One hopes it will inspire future generations of fine arts students."

President Judith Rodin praised Lady Colyton's vision and generosity, and called the gift a "tribute to the artist whose gothic characters played out their dramas to the endless delight of us all."

Plans are for an exterior essentially unchanged, but an interior completely transformed through use of the nave and sanctuary to create studios, classrooms, and a gallery. The gallery will exhibit a retrospective of Charles Addams' work when it opens in two years. The large Gothic stained glass windows on the south wall will be preserved while the side windows will be replaced with translucent glass. Skylights will flood studios and classrooms with natural light. Renovation of the building is to begin shortly and be completed by 1997.

Charles Addams graduated from Penn with a fine arts degree in 1934. In 1980 Penn awarded him an honorary doctor of fine arts degree, citing him as "Richly deserving of recognition for the finite time he did here at Pennsylvania in the thirties and the infinite pleasure he has given to generations of monster-lovers ever since, this noted—if not notorious—member of the University Family is now slated to receive from their hand the honorary degree."

His cartoons have appeared in *The New Yorker* for nearly half a century, and they inspired not only the long-running television show *The Addams Family*—making Morticia, Gomez, Lurch, and Uncle Fester household names—but also motion picture recreations of the Family and its "values."

Following his death in 1988, Lady Colyton endowed the Charles Addams Memorial Prize of \$10,000, awarded annually to the outstanding student in fine arts at Penn.

Lady Colyton is married to The Right Honorable Lord Colyton, former diplomat and member of Sir Winston Churchill's government. He is a descendant of Francis Hopkinson, who signed the Declaration of Independence and was the first graduate of the University of Pennsylvania, Class of 1757, the very first graduating class of the University.

April 20: Penn's Rite of Spring for Distinguished Teachers

Since 1961 the University of Pennsylvania has celebrated distinguished teaching each Spring by choosing eight members of the standing faculty to receive the Christian and Mary Lindback Award for Distinguished Teaching. Since 1988, there has been an additional prize for those who are not in the standing faculty, known as the Provost's Award.

"Celebration" is the operative word, and all members of the University are invited by Provost Stanley Chodorow to attend the reception from 4:30 to 6:30 p.m. on Thursday, April 20, in the Rare Books Room of Van Pelt Library.

Winners of both the Lindback Award and the Provost's Award become members of Penn's Lindback Society, which is active in support of teaching across the University. The Society, now headed this year by Dr. Ingrid Waldron, sponsors the annual Lindback Lecture and with The College helped create Almanac's Talk About Teaching (see back page).

From the Lindback Committee, here are thumbnail sketches of the 1995 winners of Lindback and Provost's Awards. By a tradition of unknown origin, the awards in the non-health schools are presented first, then those in the health schools.— K.C.G.

David Harbater, Mathematics

Dr. Harbater joined the Penn faculty in 1978 and is a recent winner of the Cole Prize in Algebra awarded by the American Mathematical Society. This prize is awarded every five years and it signals that Dr. Harbater is considered to be among the top few experts in Algebra in the world. Undergraduates praised his lectures as being "crystal-clear, creative, energetic and exceptional in the way he deals with questions." A former student commented that he is a mathematics professor today due in no small part to David Harbater. Another writes that "I can only hope to be as effective in the classroom as Professor Harbater; he is my role model." Colleagues were equally enthusiastic noting that "David has had a profound effect on the intellectual lives of many of our graduate students and is one of the Department's most successful graduate mentors. He is certainly deserving of the Lindback Award."

Ian Harker, Geology

Professor Harker joined the Penn faculty in 1970 after a respected career as a research scientist at Penn State. He has served as Graduate Group Chair and Department Chair in Geology. Many students remarked that in addition to teaching with enthusiasm, clarity and thoroughness, Dr. Harker is an advisor who truly cares for the overall well-being of his students and who has created an intimate Geology Department. Dr. Harker serves on the faculty advisory committee of CGS and has received the CGS Award for Distinguished Teaching in large part because of his dedication to teaching non-traditional students. A colleague notes that "Ian has been the quiet, effective, unobtrusively innovative,

tireless backbone of the geology program since he arrived." His lectures are characterized by "a glorious flow of language which entrances students" and "all of his teaching is enclosed in an envelope of relaxed good humor." He fulfills all of the criteria for the Lindback.

William Harris, II, Political Science

Professor Harris joined the Penn faculty in 1986, coming from the University of Michigan. He is currently Associate Professor of Political Science and Adjunct Professor of Law, and he directs the Benjamin Franklin Scholars and University General Honors Programs. He also serves as Senior Faculty Resident in the Upper Quad. Letters from students describe Professor Harris as an extraordinary teacher specializing in small, select, intense and high quality classes. His median overall rating across 24 courses is 3.9 and the rating of the difficulty of his courses is also 3.9 indicating the high standards demanded in all of his courses. One student reports that when the Provost's Council on Undergraduate Education asked a student to describe the ideal educational environment at Penn the student quickly responded "Will Harris's seminars." A former student, now teaching, reports that when he is faced with a teaching problem his response is "What would Will Harris do?" Professor Harris's efforts as a teacher embody a steady, impressive, commitment to excellence.

Jeffrey Tigay, A.M.E.S.

Jeffrey Tigay came to Penn in 1971 after receiving his Ph.D. from Yale University from the Department of Near Eastern Languages and Literature. Professor Tigay is a highly regarded scholar who has attained international recognition for his substantial contributions to Biblical scholarship and his work has become part of the standard reference works in his field. In addition his teaching has been exemplary: his rating in Asian and Middle Eastern Studies 225 was one of the highest of any instructor in the college. Students write of the "privilege" of having taken his courses and of Professor Tigay as a model of an excellent teacher and a first-rate scholar whose behavior models for his students the collegiality of the true community of scholars. He helps students to hone their ability to clarify issues, to focus on the essence of scholarly argument and to precisely articulate textual difficulties. His courses are regarded by many as the best they have taken at Penn, "even better than E.T."

The Provost's Award:

George Thomas, Fine Arts

George Thomas received his Ph.D. in the History of Art from the University of Pennsylvania in 1975 and is currently a principal advisor to the University and to many other Philadelphia area institutions on matters of architectural history. Students frequently remark that Professor Thomas makes the neighborhoods of Philadelphia seem real and the lives of 19th century Philadelphians come alive. He bridges

the theoretical in the classroom with the practical, connecting what students have learned about the urban past to actual Philadelphia history. A student comments: "Prof Thomas is a marvel in his field. He knows everything about architecture in Philadelphia; mention any building and he knows where it is and who designed it." Referring to Dr. Thomas's Urban Studies course another comments: "I regret not learning about Philadelphia sooner in my career here at Penn and am thankful to have not missed this gem."

In the Health Schools

Janet Deatrck, Nursing

Dr. Deatrck has been a member of the faculty of the School of Nursing since 1989. Prof. Deatrck's teaching involves a balance of research, the dissemination of knowledge and the use of knowledge to effect positive social change. Her curriculum for the nursing care of children and their families in the program has served as model for other graduate nursing of children programs in this country. The many letters from former students testify to the excellence of the program, the "sense of excitement and enthusiasm for learning," the "cutting edge," "pertinent and salient" seminars that provide a framework for the care of children. Other students commented that they continue to hear from Dr. Deatrck with updates on new academic programs and topics of interest in their professional careers. The quality which best describes Janet's role as an advanced practice nurse, researcher, and role model is excellence. Dr. Deatrck is not only an excellent teacher at the University but also is nationally recognized for her work in nursing care of families.

Harold I. Feldman, Epidemiology

Dr. Feldman joined the faculty of Medicine in 1988 and last year was presented with the Dean's Award for Excellence in Basic Science Teaching. He has the rare ability to take a concept that is extremely complicated, dissect it into its component parts, and present it to students in an enormously lucid and intelligible fashion. Dr. Feldman has been a superb teacher, reorganizing and leading the new ME 254 course, while being a wonderful mentor and preceptor for multiple clinical epidemiology fellows, and a very successful clinical teacher in medicine. In the words of one student he is "a superb methodologist, clinician, and the warmest, most supportive of faculty members." Another writes that "his lectures are crisp, and thoughtfully convey intellectually demanding information to his audience." A colleague writes "I have reviewed the criteria for the Lindback Award and I believe that Harv Feldman is a perfect choice for this award."

Anthony L. Rostain, Psychiatry

Dr. Rostain holds several key position in the Department of Psychiatry. He is Director of Medical Student Education, being responsible for the development and implementation of all

medical student teaching in the department. He also actively teaches in the Schools of Nursing, Social Work, and the Department of Pediatrics on the topics of children and mental health. He was named recipient of the Special Dean's Award in 1990. One supporter writes "In all my years of education and research I have yet to meet anyone more devoted or talented as a teacher." Many students mentioned *Bridging the Gaps*, the Philadelphia Community Health Internship Program of which Dr. Rostain is the faculty coordinator and advisor. Dr. Rostain is a community advocate who teaches and actively demonstrates to his students that health care cannot and should not end when the patient walks out of the doctor's office; he imparts knowledge about public assistance agencies, schools and services available in West Philadelphia. A student concludes "Dr. Rostain is an original thinker, a true synthesizer of disciplines, ideas and philosophies."

Robert Washabau, Vet Medicine

Dr. Washabau received his V.M.D. and Ph.D. from the University of Pennsylvania and joined the faculty in 1985. His performance as an outstanding teacher has been recognized by three teaching awards—the Norden Distinguished Teaching Award in 1990 and the Resident Award for Outstanding Faculty Teaching in 1991 and 1993. A student writes, "before entering our first year physiology course, Dr. Washabau had already memorized the faces and names of our entire class of over one hundred students. This feat occurs year after year and has become a legend at our school." Residents compete to work with Dr. Washabau and he is overwhelmed with requests to provide special seminars and presentations. One of his students remarked "'Teaching' by definition requires that someone must 'learn.' I speak for the students of the School of Veterinary Medicine who learn because Dr. Washabau continues to teach with skill and genuine concern. He is truly a gifted teacher and deserving of the Lindback."

The Provost's Award:

Elizabeth A. Capezuti, Nursing

Elizabeth Capezuti has served in many roles at the University of Pennsylvania including clinical teacher of undergraduate and graduate students, developer of several model clinical sites where she functioned as a clinical preceptor for medical and nursing students and adjunct faculty member in the School of Social Work where she co-teaches a popular interdisciplinary course on Aging in American society. One colleague writes: "She has been at the forefront in educating physicians, social workers, nurses and other health care providers about the little discussed topic of elder abuse and neglect." Another colleague regards her as "one of the best prepared and most highly respected nurse clinicians practicing in gerontology. Many of her students have viewed her as a role model and they are now providing high quality services to the elderly community throughout the country."

A New Lecture Series: The Spirit and Structure of Academic Inquiry

A group of Penn faculty has launched a new lecture series as a way of exploring the structure of academic inquiry across broad divisions of disciplines. During the summer and fall of 1993, a group was charged by Dr. Gerald J. Porter, professor of mathematics (then Chair of the Faculty Senate) to consider the academic strengths of the University and to find ways of using them to promote the growth of a "truly innovative and exciting academic environment." According to the committee's chair, Dr. Harvey Rubin, professor of medicine, "the group used this opportunity to think about the spirit and form of a University community that reflects a commitment to developing and nurturing scholarship; a community defined by structures of inquiry arising both within individual disciplines and through the relationships between disciplines."

The first of the Penn Lectures on the Structure of Inquiry will be held April 18, beginning at 4:30 p.m. in the University Museum's Rainey Auditorium, with two of the country's leading philosophers, Hillary Putnam of Harvard's Department of Philosophy and Philip Kitcher, philosopher of science and founder of the Science Studies Center at the University of California, San Diego. Dr. Putnam will address "The Structure of Scientific Knowledge," and Dr. Kitcher will discuss "The Structure of Non-Scientific Inquiry." Moderator Dr. Gary Hatfield is chair of the philosophy department at Penn. The lectures will be followed by open discussion and a reception at 7 p.m. in the Lower Egyptian Gallery of the Museum.

Dr. Putnam will also be on campus for several days to participate in departmental seminars and to talk with students, administrators and community leaders. After starting the series with the structure of inquiry across broad divisions of disciplines, Dr. Rubin said, "future lectures will concern inquiry in particular fields, or will reflect on how inquiry is and could be structured in the institutional setting of the modern university."

Reprinted here is the introduction to the latest White Paper by the Student Committee on Undergraduate Education. The report was released as a bound text on March 23, and the full text is scheduled to be on SCUE's Home Page (<http://dolphin.upenn.edu/~scue>) by the time this issue appears in print.

To the University Community:

Today [March 23, 1995] marks the 30th anniversary of the founding of the Student Committee on Undergraduate Education. During the past thirty years, SCUE has challenged the University to focus its resources on the improvement of undergraduate education. Since our 1966 *SCUE Report*, the Committee has made recommendations which have established the groundwork for many of the programs and reforms currently in place at the University. Our last comprehensive appraisal of undergraduate education, *The 1990 White Paper on Undergraduate Education*, conceptualized the Freshman Reading Project, recommended increased options for study abroad, developed a plan for four-tier advising in the College and advocated the creation of community-living programs. Since 1990, the Committee has addressed teaching, academic integrity, the academic calendar, and the General Requirement, while also publishing *The Practical Scholar*, creating Undergraduate Advisory Boards and proposing University Minors.

We offer our 1995 *White Paper on Undergraduate Education* as a proposal for the creation and enhancement of academic programs which cultivate undergraduate intellectual life at the University. Suggested curricula in the liberal arts, rhetoric, research and service-learning are among the many means specified in this report by which Penn can enrich the undergraduate experience.

We hope that this report's timely arrival will bolster discussions currently underway in the Provost's Council on Undergraduate Education 21st Century Project and upcoming with the Middle States Association Evaluation Team. If after considering this paper you would like to provide comments, criticisms or suggestions, please submit them to SCUE at the address above or via e-mail to scue@dolphin.upenn.edu. SCUE looks forward to participating in the ensuing dialogue and to continuing its tradition of leading academic reform.

— Satya Patel, Chair
— Matthew B. Kratter, Past Chair

Call for Input on Postdoctoral Fellows Policy

The University Council Research Committee has appointed an Ad Hoc Subcommittee on Postdoctoral Fellows Policy. The ad hoc subcommittee has been asked to develop guidelines and/or mandates about the following:

- Terms of appointment of postdoctoral fellows
- Salary compensation for postdoctoral fellows
- Benefits for postdoctoral fellows
- Mentoring responsibilities for faculty who have postdoctoral fellows.

If you have any comments on any of these items, please e-mail, write or telephone me or a member of the ad hoc subcommittee listed below before Tuesday, April 18.

— Dr. John J. Cebra, Chair Ad Hoc Subcommittee on Postdoctoral Fellows

The full membership list:

- Dr. John J. Cebra, chair, 210 KW/6018 8-5599, jcebra@mail.sas
- Dr. Barry S. Cooperman, 217 CH/6381 8-7236; 8-6330; 3-3550, coopman@pobox
- Dr. Harshan Fu, 247 McNeil/6298 8-0942, harshanf@pop
- Dr. Joshua R. Klein, Physics 2E1 DRL/6396 8-5959, jrk@UPENN5.hep
- Dr. Roger E. Latham, 469 Hayden/6316 8-9191, rlatham@mail.sas
- Ms. Karen Lawrence, 303 CH/6381 8-2061, lawrence@pobox
- Dr. Carol Lutz, Microbiology/6076 8-3256, lutz@A1.MSCF
- Dr. Janice F. Madden, 303 CH/6381 8-2061, madden@ssdc.sas
- Ms. Fina Maniaci, 527A3401 Walnut/6228 8-1331, maniaci@benhur
- Mr. Anthony Merritt, Exec. Dir. Sponsored Prog., 300 Mellon Bldg./3246 8-7293, merritt@wang5000.ora
- Dr. Marlena Moors, 326 Johnson Pav/6076 8-0231, moors@pobox
- Dr. Neal Nathanson, 290 John Morgan/6055 8-1205, nathanson@msfc.med
- Dr. Nicholas Pugliano, Chemistry/6323 8-8247, pugliano@a.chem
- Ms. Wilma Rubillo, 527A 3401 Walnut/6228 8-7281, rubillo@a1.benhur
- Dr. Renee Samara, 247 McNeil/6298 8-0942, rsamara@pop
- Mr. Duncan W. Van Dusen, 121 CH/6382 8-7005, vandusen@pobox

The following draft was prepared by the Office of the Vice Provost for Research in accordance with emerging federal requirements, and is offered to the University community for comment. Please send any suggestions or views by May 1, 1995, to Dr. Barry Cooperman at 217 College Hall/6381 or by e-mail to him at cooprman@pobox.upenn.edu.

Proposed Financial Disclosure Policy for Sponsored Projects

Background

The National Science Foundation has issued, and the National Institutes of Health have proposed, new regulations which require disclosure of personal financial interests by Principal Investigators (PIs) and others engaged in a project being proposed to those agencies, when such interests may be affected by the research or other activity being proposed. These regulations require that the University have in place a policy on conflicts of interest which:

- 1) requires such financial disclosure by PIs and others (including interests of their spouses and dependent children) responsible for the design, implementation and reporting of the proposed research;
- 2) designates an individual(s) to review disclosures and resolve problems related to conflicts;
- 3) provides enforcement mechanisms and sanctions for individuals who fail to comply;
- 4) provides for notification to the responsible agency; and
- 5) assures the maintenance of records for at least three years after a project has been completed.

In addition, each proposal submitted to the NSF will require certifications by the PI, and the institutional official who signs the proposal, that the individuals have made appropriate disclosures, and that, if there are any real or apparent conflicts of interest, the institution will have eliminated, reduced or managed such conflicts before an award is made.

The University expects that NIH will soon require similar disclosures, and that other government agencies will follow suit. Initially, the Financial Disclosure Policy described below would apply to proposals and applications submitted to NSF after June 28, 1995 only, although the expectation is that it will be extended to all proposals and applications submitted to external sponsors. Limiting initial application to NSF proposals and applications will allow the University to test its implementation on a relatively small scale prior to full application. The Policy would be supplementary to the University's current Conflict of Interest Policy for Faculty (see *Handbook for Faculty and Academic Administrators*, Section II.E.1). A list of University policies related to the proposed Financial Disclosure Policy may be found in Appendix 1.

Policy

Definitions

Administrator means cognizant Dean, or his/her designee, for Investigators who are faculty or staff of a School. When there is no cognizant Dean, as in the case of the staff of some Centers and Institutes, the Center or Institute Director will be the Administrator.

Investigator means a Principal Investigator, Co-Principal Investigator, or others (e.g., individuals with supervisory or oversight function in the context of a large grant) responsible for the design, implementation and reporting of the proposed research.

Significant financial interest means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The term does not include:

- salary, royalties or other remuneration from the University;
- income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities; or
- an equity interest that when aggregated for the Investigator and the Investigator's spouse and dependent children, meets both of the following tests: does not exceed \$10,000 in value as determined through

reference to public prices or other reasonable measures of fair market value; and constitute more than five percent (5%) ownership interest in any single entity; or

salary, royalties or other payments that when aggregated for the Investigator and the Investigator's spouse and dependent children over the next twelve months, are not expected to exceed \$10,000.

Procedures

Disclosure. Prior to submission of a grant proposal an investigator may seek advice from the Conflict of Interest Committee as to whether any real or apparent conflict of interest exists with respect to a sponsored program for which an application is being prepared. Investigators must at the time a proposal is submitted to ORA for approval, certify on the ORA Transmittal/Approval Form whether or not they, or their spouses and dependent children, have any significant financial interests that might be affected by the activities proposed to be funded, thus creating a potential conflict of interest. When an Investigator indicates that there may be a potential conflict of interest, he/she must complete a Statement of Potential Conflict of Interest form (see Appendix 2) and submit it to ORA with (or in advance of) the proposal. ORA will not submit a proposal until the Investigator(s) have certified whether a conflict or potential conflict exists, and, if necessary, submitted a Statement of Potential Conflict of Interest. Investigators must update financial disclosures during the pendency of an award when new reportable significant financial interests are acquired. Where pertinent, addition of new investigators to an ongoing award activity will require an updated financial disclosure.

Review. Prior to acceptance of an award, the Conflict of Interest Committee (see Appendix 3) will review the Statement(s) of Potential Conflict of Interest, determine if, in its judgment, any actual or potential conflicts of interest are present, and if so, recommend to the Vice Provost for Research how such conflicts should be eliminated, reduced or managed. Examples of conditions or restrictions that might be imposed to manage, reduce or eliminate actual or potential conflicts of interest include:

- public disclosure of significant financial interests;
- monitoring of research by independent reviewers;
- modification of the research plan;
- disqualification from participation in the portion of the funded research that would be affected by the significant financial interests;
- divestiture of significant financial interests; or
- severance of relationships that create actual or potential conflicts.

If the Committee determines that imposing conditions or restrictions would be either ineffective or inequitable, and that the potential negative impacts that may arise from a significant financial interest are outweighed by interests of scientific progress, technology transfer, or the public health and welfare, then the Committee may recommend that the research go forward without imposing such conditions or restrictions.

Implementation. The Vice Provost, on recommendation of the Conflict of Interest Committee and in consultation with the responsible Administrator(s), will decide how the real or potential conflict is to be managed, reduced, or eliminated. An award will not be accepted until this decision is made and agreed to by the Investigator(s).

The decision will be conveyed by letter to the responsible Administrator(s), who will be responsible for assuring that the decision of the Vice Provost is implemented. Copies of the letter will be sent to the Chairman of the Conflict of Interest Committee and to the involved Investigator(s). The Investigator will reply by letter (Appendix 4) indicating either acceptance of the decision,

continued past insert

or an inability to carry out the decision, or a disagreement with the decision. Every effort should be made by the Vice Provost to reach accord with the Investigator(s). In the event agreement is not reached, appeals to decision(s) of the Vice Provost may be made by the Investigator(s) and/or responsible Administrator to the Provost. The decision of the Provost shall be final.

Administrators will submit an annual report to the Vice Provost for Research, describing their implementation of the Vice Provost's decisions with respect to Investigators for whom they are responsible.

Enforcement and sanctions. A complaint alleging that an Investigator has violated this policy or failed to comply with a decision of the Vice Provost for Research for the management, reduction, or elimination of a conflict should be brought to the attention of the Vice Provost for Research. While the procedure for handling a complaint will depend upon the particulars of the complaint, normally the Vice Provost will interview the person bringing the complaint and the Investigator who is alleged to have violated the policy or failed to comply with a decision. If the complaint is not resolved or the violation or failure to comply remedied informally by the Vice Provost, the Vice Provost shall conduct an investigation, with the assistance of the cognizant Administrator and/or other appropriate University offices. If, as a result of the investigation, the Vice Provost believes that sanctions are warranted, he/she shall consult with the Provost and the cognizant Administrator to aid in determining an appropriate sanction, including whether there is substantial reason to believe that just cause exists for imposition of a major sanction, including suspension or termination of a faculty appointment.

When an Investigator is a faculty member and the Provost or the cognizant Dean determines that action should be taken for imposition of a major sanction, including suspension or termination of a faculty appointment, the Dean shall refer the matter to the Committee on Academic Freedom and Responsibility of the School for proceedings in accordance with the procedures set out in Section II.E.10 of the Handbook for Faculty and Academic Administrators.

Notification of sponsor. The University will inform the sponsor if it finds that it is unable to satisfactorily manage an actual or potential conflict of interest. It will be the responsibility of the Investigator(s) and responsible Administrator(s) to notify the Vice Provost for Research if at any time the recommendations of the Committee and the Vice Provost cannot be fulfilled. The Vice Provost or his/her designee will be responsible for notifying the sponsor.

Confidentiality. The confidentiality of all transactions pertaining to financial disclosure forms must be strictly maintained by all those involved in the process.

Record retention. Records of all financial disclosures and of all actions taken to resolve actual or potential conflicts of interest shall be maintained for at least three years after the termination or completion of the award to which they relate, or the resolution of any government action involving those records.

Appendix 1

University policies related to the Financial Disclosure Policy

1. University of Pennsylvania: Conflict of Interest Policy for Faculty Members, *Almanac* March 8, 1993; and *Handbook for Faculty and Academic Administrators*, Section II.E.1.

2. University of Pennsylvania: Policy Information for Potential Commercial Sponsors of Research at the University of Pennsylvania, *Almanac* May 17, 1983.

3. University of Pennsylvania: Guidelines for Student Protection in Sponsored Research Projects and Student Access to Information Regarding Sources of Financial Support, *Almanac* October 21, 1986.

4. University of Pennsylvania: Use of Consultants, Office of Research Administration, *Research Investigators Handbook*, pp. 58-59, 1990.

5. University of Pennsylvania: Guidelines for Extramural Activities, Associations, and Interest for Staff, *Human Resources Policy Manual*, February 1, 1990.

6. University of Pennsylvania: Patent and Tangible Research Property Policies and Procedures of the University of Pennsylvania, *Almanac* March 15, 1994.

Appendix 2

University of Pennsylvania Statement of Potential Conflict of Interest

Name: _____ Title: _____

Department: _____ School: _____ Date Submitted: _____

Requirement for Financial Disclosure

The University requires that an Investigator, at the time a proposal for funding is submitted, disclose significant financial interests (i) that would reasonably appear to be directly and significantly affected by the research or educational activities to be funded by the agency; or (ii) in entities whose financial interests would reasonably appear to be directly and significantly affected by such activities.

Definition of Significant Financial Interest

Significant financial interest means anything of monetary value, including, but not limited to salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The term does not include

- (i) salary, royalties or other remuneration from the University;
- (ii) income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
- (iii) income from service on advisory committees or review panels for public or nonprofit entities; or
- (iv) an equity interest that when aggregated for the Investigator and the Investigator's spouse and dependent children, if it meets both of the following tests: does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not constitute more than five percent ownership interest in any single entity; or
- (v) salary, royalties of other payments that when aggregated for the Investigator and the Investigator's spouse and dependent children over the next twelve months, are not expected to exceed \$10,000.

Note: Be sure to categorize appropriately the significant financial interests referred to above. However, please note that individuals should not report holdings in mutual funds, or pension accounts, and are not expected to list individual dollar amounts for any entity disclosed.

Based upon the above definition:

1. Please identify below any significant financial interests as defined above which might constitute a conflict of interest in the conduct or reporting of the research or other activities proposed herein. (Use additional sheets if necessary.)
2. Please identify below anything in your opinion that would not compromise your objectivity, but might have the appearance of so doing. (Use additional sheets if necessary.)

Certification

I certify that the above information is complete and true to the best of my knowledge and that I have read the University's policies related to conflict of interest as described in the *Handbook for Faculty and Academic Administrators* Section II.E.1., Conflict of Interest Policy for Faculty and the supplementary Financial Disclosure Policy for Sponsored Projects. This information is provided with the understanding that its review shall be conducted in confidence by appropriate University officials. The information may only be released by the University to comply with its policies and procedures, the requirements of its sponsors, and as may be required by a court of law.

Signature: _____

Appendices 3 and 4 are on the next page

Appendix 3

Conflict of Interest Standing Committee (CISC)

Procedures

The Conflict of Interest Standing Committee (CISC) reviews and makes recommendations on the resolution of cases of potential or real conflict of interest which arise from technology transfer activities or from sponsored projects of the University or its faculty. The recommendations of the CISC are transmitted to the Vice Provost as advice on the disposition of cases involving potential conflicts of interest, including a determination whether a real or potential conflict exists, and proposals on how such conflicts should be eliminated, reduced, or managed. The Vice Provost may accept the recommendations or may return them to the CISC for further consideration, revision, or clarification. The proceedings of the CISC are confidential, including all documents, drafts, and discussions.

Cases involving potential conflict of interest may be referred to the CISC by the Center for Technology Transfer (CTT), by the Office of Research Administration (ORA), by University or School administrators, Department Chairs, or individual faculty. The staff of the Center for Technology Transfer (CTT) is responsible for referring to the CISC cases which arise from applications under consideration by the CTT. The ORA staff is responsible for referring to the CISC cases which arise from applications for sponsored research support.

Deans, Department Chairs, or individual faculty may also refer cases of potential conflict of interest to the Chair or staff of the CISC, who will review them, determine whether they are appropriate for consideration, and present them for review by the committee.

Membership

The CISC consists of approximately 10 members of the standing faculty appointed by the Vice Provost for Research. Faculty members are expected to serve as members of the University and not as advocates for specific schools or constituencies. There are three ex officio members, the Executive Director, Sponsored Programs, the Managing Director, Center for Technology Transfer, and an attorney from the Office of the General Counsel. In addition, invitations to meetings are extended to professional staff of the Center for Technology Transfer and to selected professional staff from the Schools. The CISC is chaired by a faculty member appointed by the Vice Provost. Staff support for the CISC is provided by the Office of Research Administration and/or the Center for Technology Transfer, which will designate an individual to serve as Secretary of the Committee.

All faculty members, plus the Director, Office of Research Administration, and the Director, Center for Technology Transfer have voting rights. Other attendees participate in discussion but do not vote.

Meetings

Attendance. Meetings are limited to CISC members, invited staff, and other invitees, and are not open to the public.

Quorum. A quorum consists of over half of all voting members. In general, an attempt will be made to insure that there is a quorum present at all meetings. The CISC Chair, at her/his discretion, may require that certain decisions be approved by a majority of all voting members not just a majority of those attending a specific meeting. Final versions of recommendations will usually be approved by mail/FAX in order to insure that all voting members have an opportunity to register their opinions.

Conflicts for Committee Members

A CISC member is recused from discussion of a particular case under the following conditions:

- (1) The case involves a member of the same department.
 - (2) The CISC member has a personal interest because of interdepartmental relationships, such as collaboration with the faculty member whose case is under consideration.
 - (3) The CISC member has a fiscal interest in the case under discussion.
- Special exceptions to these guidelines may be made but only with the prior approval of a majority of the voting members

Appendix 4

University of Pennsylvania Memorandum of Understanding for the Management of Potential Conflict of Interest

Name: _____ Title: _____

Department: _____ School: _____

Date of Original Statement of Potential Conflict of Interest: _____

I have read the decision of the Vice Provost for Research on how the potential conflict of interest disclosed in my Statement of Potential Conflict of Interest referenced above and (check one of the following):

- A. I agree with the decision and will abide by it.
- B. I do not agree with the decision. However, I believe the potential conflict of interest can be resolved as follows:

- C. I do not agree with the decision and request that it be reviewed by the Provost.

(Signature)

AAUP: Slate and Call for Nominations

The Nominating Committee of the Board of the University of Pennsylvania Chapter of AAUP has proposed the following slate of candidates for officers and board members for academic year 1995-1996:

<i>President:</i>	Morris Mendelson
<i>Vice President:</i>	Marten Estey
<i>Treasurer:</i>	Erling Boe
<i>Secretary:</i>	Ira M. Cohen
<i>Board Members:</i>	Janet Deatrick, Peter Freyd, Reuben Kron, Charles Mooney, Elsa Ramsden, Stanton Segal

Nominations from the membership at large will be open for two weeks following the date of publication of this notice. If any are received by April 25, an election will be held. Otherwise the slate shall at that time be declared elected.

Nominations may be sent to:

Dr. Ira Cohen
297 & 396 Towne Building/6315
E-mail: imcohen@eni.ac.seas

Funding Pilots: Gene Therapy of Cystic Fibrosis

The Institute for Human Gene Therapy is inviting applications for gene therapy of cystic fibrosis "Development and Feasibility" pilot projects in the amount of \$30,000 to \$50,000 per year. Pilot projects are designed for 1) new investigators without the outside funding; 2) established investigators exploring innovative new leads or directions; and 3) investigators new to gene therapy research. Awards are made available through the Cystic Fibrosis Foundation. Funding will begin September 1, 1995 with an award length of one to two years. For more information or an application packet, contact Ms. Sharita Jackson, 349-8617.

Seed Money: Junior Faculty Cancer Research

The University of Pennsylvania Cancer Center announces the availability of a seed money grant open to full-time junior faculty (assistant professors or instructors, but not postdoctoral fellows) to initiate promising new research projects so they can obtain preliminary results that will enable them to compete successfully for national peer-reviewed grants. Through its American Cancer Society Institutional Research Grant, the Center will make one-year awards of \$5,000 to \$10,000 for the exploration of new developments in basic, clinical and cancer control research. Deadline is June 1, 1995 and grants are effective July 1, 1995. For details and application: Stephan Poole, 12 Penn Tower/4385; phone 662-7328.

Starting Next Week:

The Compass, Job Opportunities, and Almanac

April 18 is the start-up date for an experiment in joint publication between *Almanac* and *The Compass*—including the weekly listings of Penn's job opportunities, which will return to *Almanac* after an absence of more than 10 years.

"We really are one University, and our primary vehicles for governance information, 'of record' material, authoritative news, expressions of faculty and staff opinion, and feature coverage of the University should reflect that fact," said Vice President and Secretary of the University Barbara Stevens in announcing the merger. "We all share a common purpose: furthering and supporting the University's academic and educational missions, and we can all benefit from learning more about how faculty and staff contribute to those missions."

The experiment was adopted after consultation with the Almanac Advisory Board and with the Council Committee on Communications. The Senate Committee on Publication Policy for Almanac (SCPPA), which is the core of the Almanac Advisory Board, publishes its report on page S-5 of this issue. Dr. Martin Pring, as chair of SCPPA, is also chair of the Advisory Board whose staff assembly members—representatives of Penn's three staff assemblies, the Penn Professional Staff (A-1) Assembly, A-3 Assembly and Librarians Assembly—also conferred with their constituencies on the merger proposal.

In form, the merged publication will look more or less like *Almanac*, with a page size of 8.5x11 inches.* Major changes inside will be expanded news coverage of University people and programs, especially through the weekly publication of feature articles prepared independently by *The Compass* staff. *The Compass* features, which until now have been available only biweekly, were rated by staff and faculty as the most popular content of *The Compass* in the Board's consultations, Dr. Pring said.

Almanac's function as a forum of opinion will continue in Speaking Out, Benchmarks, Talk About Teaching, and other contributions of readers. Continuing in force is the *Guide for Readers and Contributors*, which lists the publication's priorities of record and spells out the right of both faculty and staff to publish their views on University issues—with an attendant right-of-reply for those criticized. It is on PennInfo and may also be requested in hard copy by calling *Almanac* at Ext. 8-5274).

Reader comments are always welcomed by both publications and are especially encouraged during the experiment. They can be sent by e-mail to Karen Gaines, Editor, *Almanac*, (gaines@pobox.upenn.edu); to Martha Jablow, Managing Editor, *The Compass* (jablow@pobox.upenn.edu); to Professor Martin Pring, Chair of the Almanac Advisory Board (pring@mscf.med.upenn.edu); and/or to Barbara Stevens, Vice President and Secretary of the University (stevens@pobox.upenn.edu). — Ed.

* This is partly to preserve a continuity of 41 years, and partly to prepare for an electronic future in which facsimile pages can easily be downloaded and printed on standard-size laserprinters. Facsimile editions and a daily electronic version are also part of *Almanac's* plans for the coming year.

Correction: On the front page of the March 21 issue, *Almanac* correctly reported on the naming of Dr. Marvin Lazerson to the new Carruth Family Professorship at the Graduate School of Education, but on page mistakenly referred to it as an endowed rather than a term chair. We regret the error. — Ed.

Calendar Deadlines: Weekly Updates will continue throughout May (deadlines on Mondays of the week prior to publication). The deadline for the *Summer at Penn* calendar, which includes events in June, July and August, is May 9. To request a flyer on using *Almanac* calendars, see the addresses in the staff box at lower right.

About the Crime Report: Below are all Crimes Against Persons and Society listed in the campus report for the period **April 3 and 9, 1995**. Also reported were Crimes Against Property, including 43 thefts (including 4 burglaries, 4 of autos, 10 from autos, 5 of bikes and parts), 8 incidents of criminal mischief and vandalism, 3 of forgery and fraud, 1 of trespassing and loitering; and Crimes Against Society, including 3 incidents of disorderly conduct and 1 weapons offense. Full reports are in *Almanac* on PennInfo. — Ed.

The University of Pennsylvania Police Department Community Crime Report

This summary is prepared by the Division of Public Safety and includes all criminal incidents reported and made known to the University Police Department between the dates of **April 3 and 9, 1995**. The University Police actively patrol from Market Street to Baltimore Avenue, and from the Schuylkill River to 43rd Street in conjunction with the Philadelphia Police. In this effort to provide you with a thorough and accurate report on public safety concerns, we hope that your increased awareness will lessen the opportunity for crime. For any concerns or suggestions regarding this report, please call the Division of Public Safety at 898-4482.

Crimes Against Persons

34th to 38th/Market to Civic Center: Robberies (& attempts)—2, Aggravated assaults—1			
04/08/95	10:18 AM	130 S. 34th St.	Robbery of cash at gunpoint
04/09/95	3:41 PM	130 S. 34th St.	Robbery at gunpoint/actor arrested
04/08/95	5:25 PM	38th & Chestnut	Officer assaulted
38th to 41st/Market to Baltimore: Robberies (& attempts)—1, Threats & harassment—1			
04/04/95	5:40 PM	40th & Market	Attempted robbery/actor arrested
04/05/95	12:05 AM	Van Pelt House	Unwanted phone calls received
30th to 34th/Market to University: Threats & harassment—2			
04/06/95	2:03 PM	Moore School	Unwanted fax received
04/06/95	7:05 PM	Hill House	Confidential report
Outside 30th to 43rd/Market to Baltimore: Threats & harassment—1			
04/06/95	12:23 PM	1201 Devereaux	Unwanted phone calls received

Update

APRIL AT PENN

EXHIBITS

Natural Impressions; photos by Catherine Fessenden; Widener Center, Morris Arboretum; free with admission to gardens: \$3, \$1.50/students, seniors, free/children under 6. *Through June*.

17 MFA Thesis Exhibition; works by Brian Kenson, Howard Clifford, Jason Chi, Bridget O'Rourke, Susan Loucks, Tina-Marie Whitman and Ed Kassatly; opening, April 20, 6-8 p.m.; Meyerson Hall Gallery. *Through April 26*.

MEETING

13 Penn Graduate Christian Fellowship; 7-8:30 p.m.; Newman Center; info: 386-2042.

SPECIAL EVENT

12 Discount Medical Book Sale; 11 a.m.-4 p.m.; Harrison Room, Penn Tower Hotel; info: 482-1904. *Through April 14*.

TALKS

12 Mechanisms of Skeletal Morphogenesis in the Sea Urchin Embryo; Charles Ettensohn, Carnegie Mellon; noon; Hirst Auditorium, Dulles (Reproductive Biology).

Development Lecture; Alan Heston, economics and South Asia Regional Studies; Penn Professors Speak on Development Series; 4:30 p.m.; Rm. B-2, Vance Hall (Philomathean Society; AIESEC).

13 Work Alternatives to Welfare; Lawrence Mead, Princeton; noon; Rm. 2034, Steinberg Institute/Harvard; Hall (Public Policy and Management).

Development Lecture; Douglas Ewbank, Population Studies Center; Penn Professors Speak on Development Series; 4:30 p.m.; Room B-2, Vance Hall (Philomathean Society; AIESEC).

14 26-Year-Old Woman with Postpartum Abdominal Pain and Rectal Bleeding; Randy Heidel, medicine; noon; Agnew-Grice Aud., Dulles (Medicine).

17 Clinical Observations Leading to Novel Molecular Therapies for Malignant Gliomas; Howard Fine, Dana Farber Institute/Harvard; 4 p.m.; Austrian Aud., Clinical Research Bldg. (Inst. for Human Gene Therapy). *Replaces originally scheduled lecture by Jon Wolff*.

Evolutionary Memories, Emotional Processing, and the Emotional Disorders; Sue Mineka, Northwestern; 4 p.m.; Rm. B-26, Stiteler (Psych.).

18 TBA; Arnold Berk, UCLA; Hassel Lecture; noon; Grossman Auditorium, Wistar (Wistar).

War and Culture in the First World War; Wolfgang Mommsen, Heinrich Heine University, Dusseldorf, Germany; Kaplan Lecture; 3 p.m.; Rm. 215, College Hall (History).



Almanac

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ALMANAC ADVISORY BOARD: *For the Faculty Senate*, Martin Pring (Chair), Jacqueline M. Fawcett, Phoebe S. Leboy, William Kissick, Barbara J. Lowery, Ann E. Mayer, Paul F. Watson; *for the Administration*, Stephen Steinberg; *for the Staff Assemblies*, Berenice Saxon for PPSA (formerly A-1 Assembly), Diane Waters for the A-3 Assembly, David Azzolina for Librarians Assembly.

How the Undergraduate Core *Could* Be Run at Wharton by W. Bruce Allen

Many changes have occurred in the 26 years I've been at Penn. When I was hired, my teaching load was discussed—my teaching ability/desire was not. My understanding, and certainly the culture at the time, dictated that I produce “quality research.” If it turned out that I could teach a class well, that would be a bonus—but certainly not the reason that I was hired.

Today, much more consideration is given in the hiring process to teaching aptitude. We look for “triple threats” in new faculty: an excellent research potential, collegiality, and teaching ability. Can this person teach? Will they fit into the teaching mode required for a top business school? These are questions now asked when a department contemplates extending a job offer. The consideration of all three continues through the yearly salary review process, and most importantly through the tenure process at Wharton.

Teaching became a serious issue at Wharton about eight years ago when the first *Business Week* MBA ranking gave Wharton a “D” in teaching. (Actually, students were never asked to give A to F ratings; they were surveyed on a semantic scale from 1 to 10, where we came out “good to very good.” *Business Week*'s translation to a D was analogous to giving a student who received an 80 in your class a D because others had received 85s and 90s). We also knew that the *Business Week* D was not a true rating because we had our own internal, end-of-semester ratings. However, we had a potential public relations disaster on our hands, and it forced us to evaluate the quality of our teaching.

On the MBA level, we had a set of core courses. They received lower teaching quality ratings than elective courses. On reflection, this is not surprising—students predisposed to a course are likely to be happy, especially if they can drop the course when they do not find the instructor/course to their liking. No such option exists for an MBA core course.

Taking Ownership

The first major area to be addressed then, was the core. Faculty convened to discuss how they felt the quality of the core courses could be improved. As a result, while core courses still maintained departmental designations and instructors, the school/faculty took a more active ownership role in these courses. In two cases (Managerial Economics on the MBA level and Wharton 101—Leadership Skills—on the undergraduate level), the School took ownership of the course. The Vice Dean now has an active planning role in the core, and staffing has become a consultation between the Department Chairs and the Vice Dean. Course offering times (down to the day and hour) were decided by the Vice Dean's office. As part of this overall process, faculty compensation became tied to teaching. In addition, teaching became more important in the hiring, renewal, and tenure process.

It is not just the individual courses that are now managed more directly. The entire core curriculum is also under tighter guidelines. With the old model, departments allocated faculty to courses, and the faculty member decided what to teach in the course; and when he/she wished to teach it, scheduling time and day. They planned their course and course assignments without regard to whether the material was sequenced so as to be useful to other courses, and whether total workload (spread over five courses) was humanly (or humanely) possible.

To handle this organized core curriculum, two types of teaching teams have been developed. One team is horizontal, generally made up of four faculty, each of whom teaches three sections (cohorts) of the course. One of the four faculty is the course head. This faculty “team” meets before the course is offered to plan and organize the course material (given knowledge of past integrative needs of the other core courses and, as experts in the field, on the base materials in the field to be covered). They continue to meet during the teaching semester to manage the daily issues of the class. Some teams meet weekly via telephone or e-mail, while others meet physically. Some hold focus groups/quality circles with students.

The second teaching team is vertical. Cohorts are aggregated into clusters

(three cohorts equal one cluster, 12 cohorts thus form four clusters). The vertical teaching team exists to facilitate a given set of instructors teaching a given set of students. The vertical teaching team will teach the cluster its five courses during a teaching/learning period. While each instructor teaches in his/her discipline, some cross-disciplinary events are developing that include cases common to different courses (but seen from a different perspective) and instances of Professor A from discipline X showing up in Professor B's (of discipline Y) class have been reported!

The vertical teaching teams meet a minimum of four times per year. Three of those meetings are within a relatively short period of time, just before a six-week teaching period begins, halfway through a teaching period, and just after the teaching period ends. The additional meeting is a general planning session held about three months prior to the teaching period. A cluster head manages each cluster and performs that role over all teaching periods. All cluster heads teach at least one core course within the cluster. A lunch with the Vice Dean, the cluster faculty, and the students is held on a cohort basis each semester.

Last is a monthly meeting of a core implementation committee. This committee oversees the general curriculum over the whole year, now effectively five teaching times, (August pre-term, Fall I, Fall II, Spring I, and Spring II). One role of the core implementation committee is to bring the course heads together before their teaching time and begin an iterative process of load planning to make student assignments and examinations more manageable and less peaked. Within this vein, negotiation on feedership and integration of common materials and time sequencing is also undertaken. The result of this oversight is a group of concurrent courses integrated in terms of content and student workload. The committee then works to implement course head discussions across teaching periods so that nonconcurrent courses are integrated and intellectual feedership is facilitated. Meetings with the student representatives of the cohorts are held every semester.

While we are not there yet, the result is a core curriculum that is becoming an integrated, cross-disciplinary educational experience with a much more collective faculty ownership experience than previously existed. The Vice Dean's office took responsibility for the overall provision of teaching in the core, with the resultant extension of responsibility to the faculty. While the Vice Dean's office was the catalyst, the faculty are the implementers and the overseers.

The outcome: The new curriculum is one of the reasons for the *Business Week* number one rating for the Wharton School in the fall of 1994.

Beginnings

So, why has the Undergraduate Vice Dean spent so much time talking about the MBA core teaching experience?

The answer is simple: it's the model for how the undergraduate Wharton core *could* be run. Students would be taught their Wharton core courses primarily in their sophomore year. They would be in cohorts. Cohorts, in turn, would be aggregations of student learning teams (groups of students who perform some—but not all—of their assignments as part of a team, contributing to peer learning). Cohorts would be grouped into clusters and taught by teaching teams who have both the vertical and horizontal forms.

Already, focus groups of undergraduates have told us that they would like to see cohorts and an increased use of learning teams. Organizing the undergraduate core along the model of the graduate will allow for the integration of course material across disciplines and better planning of work loads. My experience as both a course head and a cluster head in the MBA program has convinced me that this is a workable model for the delivery of high quality teaching/education on the undergraduate level as well. We will engage our stakeholders—faculty, students, alumni, employment recruiters, Wharton Undergraduate Board—in a dialogue to determine how we will proceed with undergraduate Wharton education.

This article is the seventh in a series developed by the Lindback Society and the College of Arts and Sciences. Dr. Allen is Vice Dean and Director of the Wharton Undergraduate Division as well as Professor of Public Policy and Management, and of Transportation, at the Wharton School.