

# UNIVERSITY of PENNSYLVANIA *Almanac*

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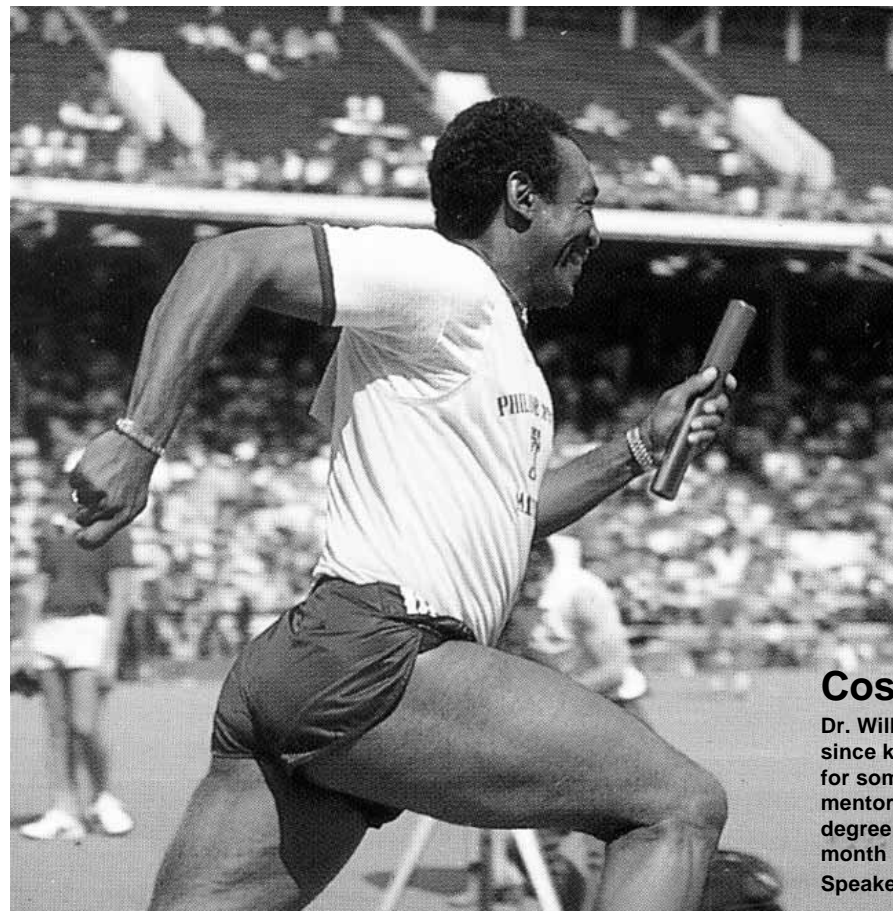
*In these photographs, courtesy of the Penn Relays, Bill Cosby carries the baton in the 1984 Master's. At right, he officiates with a smile during the Relays' 100th Anniversary in 1995.*

Over 100,000 athletes from all 50 states and 35 countries along with 70,000 spectators are expected at Franklin Field for the 103rd running of the Penn Relay Carnival from April 22 to 26. Some 350 events will be spread over 30 hours of competition, starting with decathlon and heptathlon events and relays Thursday at 10:30 a.m. From then on there will be one race every five minutes. Admission for Penn students, faculty and staff is free on Thursday and Friday; tickets for Saturday are \$15-\$30 for faculty and staff and \$5 for students.



## Cos Célèbre

Dr. William H. Cosby, Penn Relays aficionado since kindergarten, has been at home on Franklin Field for some 50 years as spectator, competitor, official and mentor—and in 1990 as recipient of Penn's honorary degree. He's here this week for the Relays, and next month he comes back as the 1997 Commencement Speaker (please see [page 2](#)).



## Salary Guidelines For 1997-98

The principle guiding our salary planning for fiscal year 1998 is to pay faculty and staff competitively, in relationship to the markets for their positions, in order to acknowledge their contributions to the University and to help us remain a strong and financially viable institution. With this in mind, the following guidelines are recommended.

### Faculty Increase Guidelines

Although individual faculty decisions are made at the school level, with Deans issuing to Department Chairs their own guidelines regarding resource constraints, certain standards have been established to which we ask all Deans to adhere:

- The pool for merit increases for faculty shall not exceed 3.5 percent. The recommended faculty salary increase range this year is 2.0 to 6.0 percent. In cases where schools wish to make faculty members' salaries more competitive, Deans may supplement the general salary pool of 3.5 percent, but this supplement must not exceed 0.5 percent without prior approval of the Provost. We also ask that Deans pay particular attention to those faculty who meet our standards of merit but whose salaries for various reasons have lagged over the years.
- Salary increases to continuing faculty are to be based on general merit, including recognition of outstanding teaching, scholarship, research, and service. As in previous years, there will be no minimum base increment for continuing faculty.
- The minimum academic salary for new assistant professors will be \$39,000.

The Provost will review the Deans' faculty salary recommendations prior to their release to insure that raises on average reflect market conditions in each discipline. The Provost must be consulted regarding any recommendations to provide either less than 2.0 percent or more than 6.0 percent salary increases for individual faculty, or to provide a total pool of over 4.0 percent (inclusive of the 0.5 percent referred to above).

### Staff Increase Guidelines

The following guidelines should be followed when making staff salary increase decisions for the next fiscal year:

- The pool for staff salary increases shall not exceed 3.0 percent. The recommended staff salary increase range this year for acceptable performance is 2.0 to 6.0 percent. Monthly, weekly and hourly staff members (excluding bargaining units) are eligible for increases from this pool if they are in a full-time or part-time regular status, are not student workers, and were employed by the University on or before February 28, 1997.
- Individual salary increases for staff should be based on performance contributions. Salary increase decisions should be carefully made to ensure that similar work performance results in similar salary increases. Salary increases should support and confirm the feedback provided within the performance evaluation process. In addition, departments should weigh other factors in determining salary increases, including equity within the department, the relevant job market and career progression. A decision to award no increase (0%) is appropriate if the work performance does not at least qualify for the "Solid Performance" category on the performance evaluation.
- No changes resulting from the Classification Redesign Project will be made during the Annual Merit Increase Program (SALINC). The current salary structure will remain in place during this program. Implementation planning for the project is underway, but will not impact the merit increase program.

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Making effective salary decisions is crucial as we move forward in our efforts to fulfill the University's mission. We believe this year's salary guidelines will reward faculty and staff for their overall contributions while maintaining the University's fiscal health.

Judith Rodin    Stanley Chodorow    John Fry  
President        Provost            Executive Vice President

## Commencement 1997:

### Mr. Cosby for the Commencement , Mme. Veil for the Baccalaureate

Comedian Bill Cosby will deliver the Commencement address at Penn's 241st Commencement on Monday, May 19, after the traditional procession through campus to Franklin Field, where ceremonies start at 9:30 a.m.

On Sunday, May 18, Mme. Simone Veil, the revered French political leader known as *la première dame de l'Europe*, will deliver the Baccalaureate address, the last such ceremony for Penn graduating seniors to be held in Irvine Auditorium in its present configuration. Mme. Veil, a Holocaust survivor who came back from Bergen-Belsen to devote herself to human rights in France and beyond, is also to receive an honorary degree in Monday's Commencement. "This is a woman of enormous courage and integrity, and her life has been devoted and dedicated to the welfare of others," said President Judith Rodin in announcing the selection.

There are eight honorary degree recipients altogether in 1997:

- Dr. Shirley Sears Chater, former Commissioner of Social Security
- Dr. William H. Danforth, former chancellor of Washington University
- Mr. Gary Graffman, director of the Curtis Institute of Music,
- The Hon. Richard A. Posner, chief judge of the U. S. Court of Appeals for the Seventh Circuit,
- Dr. Louis Sokoloff, Chief of the National Institute of Mental Health Cerebral Metabolism Laboratory,
- Mme. Simone Veil, former French Minister of State for Social, Health and Urban Affairs,
- Dr. Charles K. Williams, II, classical archaeologist, and
- Dr. Ahmed H. Zewail, professor of chemistry and physics at the California Institute of Technology.

Their biographical sketches appear on the back page of this issue.

Bill Cosby already holds the Penn honorary degree Doctor of Laws (as well as his own earned doctorate). The Philadelphia-born athlete, actor, author and beloved comedian was cited by Penn in 1990 for "...[your] art, [your] principles, and [your] example—and a face that has launched at least a thousand quips." He attended Temple University on an athletic scholarship and later earned a master's degree (1972) and an Ed.D. (1977) in education from the University of Massachusetts. His doctoral thesis was entitled *The Integration of Visual Media via Fat Albert and the Cosby Kids into the Elementary Schools Culminating as a Teacher Aid to Achieve Increased Learning*.

He also is a best-selling author. His book, *Fatherhood* (Doubleday/Dolphin 1986), became the fastest-selling hardcover book of all time, with more than 2.6 million hard-cover copies in print, and was on the *New York Times* Book Review Best-Sellers List for 54 weeks. It also sold more than 1.5 million paperbacks. His *Time Flies* and *Love and Marriage* from Doubleday, and *Childhood*, from Putnam, have had similar success.

Bill Cosby began his career as a stand-up comic in nightclubs, made his television series debut in 1965, and broke television's racial barrier in the television series, "I Spy," in which he starred with Robert Culp. "The Cosby Show" (1984-92) is widely regarded as one of television's most influential series, about which *Life* magazine wrote: "Nobody actually says this family represents the whole human family, but the delicious ordinariness of its pleasures and tribulations has given millions a fresh, laughter-splashed perspective on their own domestic lives." He is believed to be the best-selling comedian of all time on records, with 21 albums, and has won five Grammy Awards for the "Best Comedy Album."

President Rodin said "the fabled wit and wisdom that have endeared Bill Cosby to millions of Americans—and for which he has been recognized with countless awards and honors—offer a marvelous way for us to celebrate the accomplishments of our graduates as they prepare to take their places in society," adding that Mr. Cosby and his wife, Camille, have been "extraordinarily generous" in support of education, most notably to predominantly black colleges, and to social service and civil rights organizations. The couple also made a major donation to the Penn Relays in celebration of Penn's 250th Anniversary in 1990.

### President's Summit: Penn is a Sponsor

Penn will be the only university sponsor of the Presidents' Summit to be held in Philadelphia April 27-29, Mayor Ed Rendell said at a press conference at Independence Hall last week. The University joins five corporate and three non-profit sponsors for the summit, which will have delegates from 140 cities. Provost Stanley Chodorow said at the press conference that Penn has a "multifaceted pledge to the summit," with faculty, students, staff and alumni involved in mentoring, health education activities and school work programs. Penn's collaboration with President Clinton's "America Reads" literacy initiative is slated to increase as half of Penn's new work-study funds and students are pledged to the project.

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# External Reviews of the Schools: The Goals and the Process

by Michael Wachter, Deputy Provost

During the past two years the University and the schools have each adopted a strategic plan with the paramount goal of achieving or retaining first-rank status throughout the schools' programs, departments, and institutes. To evaluate the schools' progress in meeting both their strategic goals and the University's, the *Agenda for Excellence* called for the establishment of "a rigorous, normative protocol for external review and assessment of each school and inter-school program every five to seven years." Working with the University's Academic Planning and Budget Committee, a school review process was established in academic year 1996-97.

School reviews are designed to provide an opportunity for a school to take stock of its strengths and weaknesses, to evaluate its strategies and goals, and to receive assistance from an External Review Committee of academic leaders in the school's disciplines. The review process helps schools determine whether their programs are cohesive, coherent, effective, and true to their mission. The structure of the school review process is modeled after the departmental review process conducted by Penn's larger schools. It also draws from models adopted by other universities with a school-review process. The process is informal enough to accommodate the culture and goals of individual schools and flexible enough to adapt as the University learns from conducting the reviews.

The Office of the Provost is responsible for oversight and staffing of school reviews, working closely to coordinate activities and to facilitate the process with the Office of the Dean in the school under review and with the External Review Committee appointed for the review.

## The Timing of the Review Process

School planning strategies are often developed or adjusted by deans at the beginning of their tenure. The timing of the review process is designed to support deans in the regular review of the school's progress in achieving its strategic goals. Typically school reviews will occur in the middle of a dean's term, but this may vary. The scheduling of the review should afford a new dean time to develop an agenda and to introduce strategic initiatives. Feedback from the review can provide the dean and faculty with an assessment of the school's progress in achieving its goals and also help identify opportunities for the future.

When a dean serves a second term, the subsequent review will be scheduled during the dean's ninth year, though this may vary. In addition to evaluating the school's progress under the incumbent dean, the second review can provide valuable information for the selection of a new dean. In schools where deans do not serve a second term, the review will revert to the schedule for first-term deans.

## The Structure of the Review Process

The review process consists of two steps. First, the dean will direct the preparation of a self-study. The self-study provides an opportunity for the school to judge its own success in establishing and meeting its goals and the goals of the University. A key part of the self-study is the school's critical assessment of its strengths and weaknesses in its teaching and research programs and, where relevant, its clinical programs. The self-study will also provide current and past data on the school's programs, including its national rankings, faculty size, sponsored research, student enrollments, and budgetary information. Preparation of the self-study can be done using the school's existing planning and budget structure or by appointing a group specifically designed to assist in the self-study.

Second, an External Review Committee, consisting of three to five members, is chosen by the President and Provost, in consultation with the Dean of the school. Appointments may include deans of peer schools and other leading academics in the school's disciplines. Depending upon the size and complexity of the school, the review is conducted over a two- to

three-day period. External reviewers need to gain an understanding both of the scope of programmatic offerings in the school and the school's effectiveness in delivering its programs. They focus on the coherence of programs within the school and on the balance among programs. In those schools without a departmental structure, the reviewers spend time familiarizing themselves with programmatic issues. In the larger schools, the committee is furnished with a full set of departmental reviews.

The schedule for the review committee begins with the External Review Committee receiving its charge from the President and Provost. Following this, the committee meets with the Dean of the school; the chairs of the major departments, institutes and centers; representative faculty; and students. The External Review Committee also has opportunities to meet with the school's planning and budget committee and administrative leadership. After a period of discussion and preliminary drafting of the written report, the review committee meets first with the dean and then with the President and Provost to present oral reports in exit interviews. Following the on-campus visit, a written report is completed for the President, Provost, and Dean. The Dean then has the opportunity to discuss the report with the school's faculty and to write a response to the review.

## Some of the Themes Covered in the Review

The review focuses on the academic quality and relative standing of the school compared to peer institutions and on the school's efforts to achieve or sustain excellence. The goals and outcome measures of the school will be evaluated by the External Review Committee and, combined with the University's strategic plan, will provide the context for assessing excellence.

A school's quality and standing depend primarily on the quality and reputation of its faculty and their effectiveness in delivering excellent teaching and research programs. The reviewers examine the intellectual leadership and productivity of the school's departments. The school is asked to demonstrate how it supports and rewards its excellent departments and programs and how it encourages others to improve. The review focuses on ways in which innovation and excellence in teaching and research are encouraged and rewarded. It also looks at the success of school efforts to achieve diversity. The quality of a school is reflected in the quality of its students. The review, therefore, considers trends in applications and standards for admission as well as program completion rates and placement of graduates.

Schools not only achieve but also sustain excellence if their leadership and planning are effective. The school's strategic plan is reviewed for its clarity and appropriateness. The plan should be mission-driven; relevant to the school's disciplines, to the realities of competition and external forces; and should take into account the University's broader goals. There is also an examination of the development of strategies for adapting to changes in the school's disciplines and in the higher education environment.

Because it is essential that schools be managed effectively and efficiently, the review considers the managerial strengths and weaknesses of the school; the quality of its investment decisions; the management of school development activities; and the effectiveness of communication efforts. Schools demonstrate their effective use of facilities and the strategic employment of new technologies. The review considers the ways in which schools deploy, develop, and reward their staffs. Schools explain how they make decisions governing resource allocation and how they intend to secure resources for new initiatives.

The review process should not be viewed as a vehicle for persuading the University to allocate new resources to the school. Rather, the review should identify opportunities and possible strategies through which the school itself can increase its resources to support strategic goals.



# Speaking Out

## Bioethics of 'Baby'

Politically correct I try not to be, but still I have to say that it is sadly predictable that your enduring image of the "perfect baby," as reproduced from the Center for Bioethic's website and published on the front cover of *Almanac* April 1, is inevitably white.

— Alan Lee, Graduate Student in Linguistics

## Costs and Wastes

Oh, please! You report (p. 2, March 25, 1997) that our tuition increase of 5.3% is "the lowest at Penn in 29 years." Yale has already tried this gambit 4 or 5 years ago, when our president was there, until it was pointed out to them that the inflation rate was also quite low, below 3%. In fact, the *real* rate of increase in tuition, which should be all anyone cares about, is still outrageously high, over 2% per year, both here and there. But not all of us are suffering from what economists aptly call "money illusion."

Then, the *Time* cover article, "Why College Costs Too Much" (March 17, 1997, pp. 46-55) appears, telling us many interesting things about Penn. For example, the Queen's picture is on page 47, and the author tells us that she earns \$350,000 a year, with a palace (Eisenlohr Hall) thrown in *gratis*. Yes, Thomas Jefferson, we have royalty here in your U.S.A.—they're called C.E.O.s. Of course, she's grinning at us (all the way to the bank?). Meanwhile, the students are warehoused in various highrises at \$30,000 a (half a) year and trudge glumly to class to hear their high-priced professors (between \$100,000 and \$200,000 a year plus all summer off (that's 3 months) and a long break around January 1 [3 or 4 weeks] and other smaller breaks plus a semester off for those with tenure every 7th year plus a day off every week [generally Friday] to earn still more income—the professors here are the princes, dukes, earls, and lords of the realm).

The *Time* article gives examples of costs at Penn, but none from the ground, so to speak. Allow me to fill in a few gaps. Here at McNeil, I've been rolling down (being handicapped) to the men's room on the first floor for the past 12 years. I'm hyper-sensitive to water running because, as a child, I grew up in the country, where, unlike here where the supply of water is essentially infinite, we used well water, which was most decidedly not infinite, and if a faucet was left running or a toilet leftunjiggled, then the pump pumped mud and was ruined. When you go into the men's room, there are 3 stalls on the left, the far one being for handicapped people, 4 urinals on the left, and 4 washbasins on the right. I sit directly facing a washbasin which has been dripping over 5 years—it obviously needs a new washer, but nobody gives a damn. At least twice a year, I have to try to bring some gushing urinal under control. And, one time when I arrived, the faucet at a wash basin was going full blast. But that's

not all. A computer specialist here actually reacted with surprise when I told him that I turned off my PC. And, like any good citizen, I try to recycle. But I hesitate to peer into the receptacles that are set up all round campus. One time, I found a half-eaten sandwich nestled among the aluminum cans, another time the remains of somebody's lunch, odd, inappropriate things not infrequently.

That *Time* article presents Rodin with the mother of all image problems. 1994-95, when she arrived, it was free speech—Piss Christ, some article in the *Red & Blue* about Haiti, which infuriated the blacks, and Pioneer, which infuriated the Jews, because it was responsible for the Holocaust (wall-to-wall bodies at Pioneer). But 1994-95 was a cinch. Afterall, Rodin has good legal counsel. 1995-96 was a quiet year: just a couple of blizzards, a murder [sic], and some old building torn down. Then came the crime wave of 1996-97; an undergraduate shot, a researcher murdered, a self-immolation (this was not part of the crime wave but made the national news nonetheless and was a major embarrassment to Penn, contributing to people's sense of mounting chaos on the Penn campus), and countless numbers of students (they were trying to escape the highrises at odd hours and in odd places) mugged. But 1997-98 and this *Time* expose. Que faire? It will be interesting to watch.

— Daniel R. Vining, Jr.

Associate Professor of Regional Science

## Response to Dr. Vining

I received a copy of your letter to *Almanac* and would like to respond to a few of the points you make.

As one of those who worked to determine the rate of increase in Penn's tuition for the next academic year, I appreciate your concern about the rising cost of higher education. Tuition increases are never painless, and because we understand this, Penn's budget team struggled to keep next year's increase as low as possible. It is a fact that the increase that has been approved—5.3 percent—is the lowest at Penn in 29 years. It is also a fact that a tuition increase this low will require considerable budgetary restraint because Penn is dependent on tuition as a primary source of revenue. Our efforts to constrain tuition growth reflect the University's commitment to productivity, efficiency, and cost-containment.

Penn is achieving real success in its efforts to contain costs. In FY 96 we reduced administrative costs by some \$12 million. Among many areas in which additional savings are projected for FY 97 is one of particular importance to you: energy costs. The University expects to save \$3 million in energy expenditures in FY 97, and these savings will recur annually thereafter.

At the same time, it is an unfortunate but unavoidable reality that many costs the Uni-

versity must bear are growing at rates significantly higher than the growth rate of the Consumer Price Index. One of the many examples, that can be cited—an example that was noted by President Rodin in the recent *Time* article—is the fact that an on-line index of physics abstracts now costs \$50,400 a year. When the same index was, not so long ago, a series of books, it cost only \$7,748. New technologies are bringing wonderful new research capabilities to the University's students and faculty, but these new capabilities also are costing us a great deal of money. In every area where costs are rising at rates higher than the CPI, Penn has taken a consistent approach: as much of the gap as possible will be closed through offsetting efficiencies and cost reductions. But where gaps remain, and the determination is made that further cost cutting will jeopardize the quality of Penn's teaching and research missions, increases in income must be used to close the remaining budget gap.

Finally, I want to make it clear that it is my view, and the view of Penn's entire senior management team, that the University can make no wiser investment than the money it spends on our faculty. I do not agree, as you seem to assert, that many of our faculty are overpaid. Penn is fortunate to have a world-class faculty. This level of faculty cannot be maintained by luck or coincidence: The University can maintain faculty quality only if it pays competitive salaries.

We all must spend Penn's resources wisely and do everything we can to eliminate waste. Thanks for your own efforts in this regard. Please continue to recycle and call your building administrator when you see a plumbing problem.

— Michael Masch, Executive Director of Budget and Management Analysis

## Sites in CrimeStats

You can imagine my consternation when I picked up the April 1 issue of *Almanac* and discovered the Christian Association was named under the section of Crimes Against Society due to "numerous citations issued for underage drinking." While I received a good amount of teasing about what kinds of programming we are doing in this ministry, I must issue a formal clarification that this incident, which has happened more than once, in no way involves the Christian Association ministry but in fact, involves one of the tenants of this building, the Gold Standard and Palladium ownership.

I have received assurances from Lt. Weaver of the Penn Police that in the future any further criminal reports involving the tenants of this building will be issued with the tenant's name and not linked to the Christian Association. My apologies to any who might have been disturbed by this method of reporting. I trust it will not happen again.

— Beverly Dale, Executive Director, CA

*Speaking Out* welcomes reader contributions. Short timely letters on University issues can be accepted Thursday noon for the following Tuesday's issue, subject to right-of-reply guidelines. Advance notice of intention to submit is appreciated.—Ed.

## To Enroll for The Penn Perspective

This notice is a call for enrollment for The Penn Perspective, a specially designed institute for Penn administrators and department chairs. The goal of this annual program, the fifteenth such offered, is to provide participants with a broad understanding of the University's structure, mission, and challenges.

A three-day (June 3-5) on-campus program limited to 50 participants, The Penn Perspective consists of lectures and presentations by several senior Penn officers and administrators. The presentations will be followed by time for discussion and questions. The schedule is structured to allow participants sufficient time for interaction and dialog among themselves. Topics include:

- Penn's academic foundation
- Management and fiscal practices
- Human resource issues
- Development and alumni relations
- Computing and research
- Student life
- Emerging issues of general interest

The department cost of \$200 covers tuition, course materials, and lunch. Enrollment deadline is April 30. Please call Human Resources/Training and Development at 898-3400 for additional information.

— Carolyn Jones, HR/Training&Org.Development

## Wanted: Faculty and Staff Volunteers for Alumni Weekend

Alumni Weekend is a time of celebration, a time when the Penn campus really comes alive. This year the University's largest annual event will set new records with over 8,000 alumni attending. We need Penn staff at every level to volunteer to make this the most successful alumni weekend ever. Festivities get underway on Friday, May 16. Donating a couple of hours of your workday or evening is a great way to enjoy the atmosphere of tours, seminars, parties, and performances. And we will really appreciate your help. For those who are up to it, the fun will continue late into the night.

Saturday, May 17, will begin bright and early with the 19th Annual Alumni Run, in which alumni, faculty, staff and students take part and where you can go the extra mile as a volunteer on the race course! The Run is just one of many events that you can help with and at the same time enjoy. Throughout the morning, alumni-faculty exchanges on a wide range of subjects will compete with tours, games, open-houses, demonstrations, and other special school and center events. Meanwhile, quinquennial celebrants, including some of our oldest and youngest alumni, will mix with future alumni and exchange memories at reunion parties. Excitement will continue to build at the Alumni Picnic and culminate as the Mumpers String Band and our own Penn Band accompany the great Parade of Classes along the length of Locust Walk. Later, the celebration will continue with the Class Reunion dinners.

Tremendous fun and stimulating company? Yes. But all of these events need staffing, and we must ensure an atmosphere that is welcoming and helpful for our returning alumni. Is it any wonder that we are asking for help?

Alumni Weekend is not just about alumni. It concerns the whole Penn community. If you can volunteer on Friday or Saturday for just a few hours, please let us know. There is plenty of work and lots of fun to go around. For more information or to obtain a volunteer registration form, please call Alumni Relations at 898-7811. Thank you.

— Virginia B. Clark, Vice President, Development and Alumni Relations

## PPSA Penn Professional Staff Assembly Annual Meeting and Elections: May 9

The Annual Meeting and Elections will be held on Friday, May 9, noon-1:30 p.m. in Bodek Lounge, Houston Hall. (Bring your lunch, beverages will be provided.)

The PPSA is pleased to announce that the University Provost, Dr. Stanley Chodorow will speak at this year's election meeting. Dr. Chodorow will discuss the role of professional staff member in supporting the Agenda For Excellence.

PPSA elections will also occur at this meeting. Candidates for open positions are listed below followed by short bios. Ballots will be distributed at the meeting on May 9 between noon and 12:30 p.m. Mail-in and absentee ballots will not be accepted. You must be present to vote. Results of the election will be announced by 1:30 p.m. on May 9.

Position Vacancy	Candidates
Chair-elect (choose 1)	Terri White, Academic Support Prog. Patricia Yannuzzi, IRCS
Vice-chair elect (choose 1)	Alicia Brill, Human Resources Nancy McCue, Residential Living
Members at Large (choose 3)	Ray Becker, Telecommunications Patricia Frederick Burns, Social Work Anna Loh, Wharton Joanne Lyon, Nursing Alexis McCann, Development Neil Neveras, Wharton Michele Taylor, Dental

### Candidates—Chair-elect (Choose 1)

**Terri White:** Director, Academic Support Programs  
Terri as worked at Penn since 1985 serving in various capacities within the University Life Division. Currently, Director of Academic Support Programs, a department which houses eight programs providing support to students ranging from high school to graduate and professional. Academic Support Programs provides tutorial services, learning resources, college preparatory programs, university-wide orientation programs, mentor programs and specialized academic enrichment programs. Terri is deeply committed to her staff and is a strong advocate for students.

**Trisha Yannuzzi:** Administrative Director, Institute for Research in Cognitive Science  
Extensive experience in the management of faculty and staff personnel, research administration, and financial planning and budget management. Previously worked as Office Manager in CIS and the Administrator for the GRASP Laboratory in CIS. B.S. in Education from Bloomsburg University in 1979 and an A.B.A. from The Wharton School in 1988. Prior to coming to Penn in 1984, Trisha was an elementary school teacher.

### Candidates—Vice-chair elect (Choose 1)

**Alicia Brill:** Manager, Recruitment Services  
Over 12 years of experience at Penn, currently Manager of Recruitment

Services in the Department of Human Resources. Formerly Director of Undergraduate Financial Counseling at the Office of Student Financial Services. Alicia earned both her BA and MS from Penn.

**Nancy McCue:** Assistant Director, Residential Services  
Nancy has been at Penn since 1980. She hold a Master's Degree in Higher Education from Syracuse University. Nancy has served on various VPUL and University committees and was a Penn's Way coordinator for 4 years.

### Candidates—Members at Large (Choose 3)

**Ray Becker:** Assistant Director, Telecommunications Department  
Ray is responsible for operations, help desk, service orders, billing and the University Operators.

**Patricia Frederick Burns:** Office Manager, School of Social Work  
She began her career at the University in 1981 in the Department of Psychology. Has worked for Development, the Law School, and the School of Engineering and Applied Science, where she met and married her husband Bill. Serves on the Facilities Committee of University Council and is a member of the Administrative Group in Social Work.

**Anna Loh:** Director, Human Resources for the Wharton School  
Anna has over 18 years of experience in the human resource field. She holds a BA in Psychology from Temple University and is currently serving as past president and vice president of professional development for the Philadelphia affiliate of the National Human Resources Association.

**Joanne Lyon:** Office Manager, School of Nursing  
Joanne has over 10 years of experience in office support and management. She is an office manager for one of two division service groups in the School of Nursing. Prior to working at Penn she specialized in office restructuring.

**Alexis McCann:** Associate Director, Development & Alumni Relations  
Alexis is Penn Grad, C'79. She came to Penn in 1993 after 10 years at WHYY. She is currently Associate Director, Information Systems in the office of Development & Alumni Relations. She is also involved in volunteer work for CHOICE, a women's health care advocacy group, where she is on the Technical Advisory Board

**Neil Neveras:** Manager, Publications & News Media, Wharton Executive Education  
Neil earned his BA from the University of Michigan. Neil has been at Penn since 1992. He is responsible for the design and production of marketing communication for Wharton's Aresty Institute of Executive Education.

**Michele Taylor:** Coordinator, biochemistry department, Dental School  
Michele has worked in the Department of Biochemistry, School of Dental Medicine since 1990. She has served on various University wide committees. She presently oversees Safety and Security in the Levy Research Building and is a member of the 40th Street Action Team. Her community service includes President of the South Square Town Watch Association.

— Marie Witt, Chairperson

## Compass

## Compass

## Compass



## Compass

## Compass

# OPPORTUNITIES at PENN

## Where to Find the Job Opportunities—Here and Elsewhere

Listed below are the *new* job opportunities at the University of Pennsylvania. Where the qualifications are described in terms of formal education or training, prior experience in the same field may be substituted.

There are approximately 280 additional open positions for examination at the Job Application Center, Funderburg Information Center, 3401 Walnut St. (215-898-7285). Hours of operation are Monday through Friday, 9 a.m.-1 p.m. New openings are also posted daily at the following loca-

tions: Blockley Hall, the Wharton School and the Dental School.

A full listing of job opportunities is at the Human Resource Services website: [www.upenn.edu/hr/](http://www.upenn.edu/hr/). Current employees needing access to the web, may go to the Computer Resource Center at 3732 Locust Walk with your PENNCard to obtain a list of computer labs on campus available for your use.

In addition, almost every public library in the Delaware Valley now provides web

access. In the near future, as our office remodels the Job Application Center, we hope to have computers available for current employees and others to peruse the current job openings. Openings are also mailed to approximately 50 community sites weekly. — *Employment, H.R.*

**Please note:** Faculty positions and positions at the Hospital and Health Systems are not included in these listings. For Hospital and Health System openings, contact 662-2999.

## New Jobs for the week of April 22, 1997

### ENGINEERING/APPLIED SCIENCE

**ELECTRONIC TECH II** (04432CP) Install & maintain network connections & cables in offices, classrooms, labs & wiring closets; respond to problem reports in faculty & staff offices; diagnose failures & arrange for repairs; maintain multimedia classroom computers, displays; train faculty to use classroom computers; maintain inventory of technician supplies; maintain computer security systems, including lock-downs & alarm systems. **QUALIFICATIONS:** High school diploma; 2 years tech. school and 1 year related experience with PC operating system; knowledge of PC hardware; Ethernet hardware & cabling; Windows 3.1, Win95, WinNT operating systems; willingness to learn & develop new skills, ability to work independently with minimum supervision; good working relationship with faculty & staff, attention to detail, ability to deal with a wide range of tech. assignments; lifting 25-50 lbs is required. **GRADE:** G10; **RANGE:** \$19,261-23,999 4-9-97 Comp. & Edu.Tech. Svs.

### EXECUTIVE VICE PRESIDENT

**ACCOUNTANT I** (04472SH) Perform subsidiary ledger review & reconciliations, prepare financial statements & billings; interact extensively with university business administrators, accumulate & analyze data for preparation of Federal Cash Transaction Reports; prepare journal entries & trial balances; assist senior accountant in preparation & examination of other financial reports; test for accuracy, completeness & compliance with federal guidelines and/or other contractual agreements; initiate daily LOC cash draw-down requests. **QUALIFICATIONS:** BA/BS in accounting in equivalent; 1 year experience in research/grant accounting preferred; proficiency with PC & working knowledge of Lotus 1-2-3; excellent verbal & written communication skills. **GRADE:** P2; **RANGE:** \$22,351-29,098 4-16-97 Comptroller

**ACCOUNTANT II** (04469SH) Prepare, record & maintain daily trades for the investment portfolios ensuring accurate recording of trades in the external Trust vendor system & internal General Ledger system; process investment corporate

actions & asset reorganizations; work with the Investment Office for control & accuracy of all trade activity; analyze & reconcile investment shares & cost of established portfolios in compliance with accounting standards; reconcile other various cash accounts as assigned. **QUALIFICATIONS:** BA/BS in finance or accounting; knowledge of general accounting principals; minimum of 3 years experience with security, income & corporate action processing; knowledge of spreadsheet & word processing software packages required; knowledge of Oracle financial systems would be helpful; strong analytical skills required. **GRADE:** P4; **RANGE:** \$26,986-35,123 4-16-97 Comptroller

**COMMUNICATION SPECIALIST** (04474SH) Responsible for the development & implementation of marketing strategies by the Morris Arboretum including: building attendance & membership; develop tracking for Arboretum departments; solicit & develop corporate relationships & government partnerships; build relationships with new media; develop "Morris Arboretum" brand of products; build volunteerism in support of marketing. **QUALIFICATIONS:** BA/BS required, advanced degree preferred; 3-5 years relevant marketing experience; must possess excellent communication skills; demonstrated self-starter & team-oriented person. **GRADE:** P4; **RANGE:** \$26,986-35,123 4-16-97 Morris Arboretum

**COORDINATOR IV** (37.5 HRS) (04453SH) Responsible for project management, implementation & ongoing management of a variety of services using the PennCard campus card; serve as primary project manager for the implementation of new services using the PennCard identification card including: ID photo capture; card production, stored value services, banking services & credit card services. **QUALIFICATIONS:** BA/BS in business or related field; 3-5 years progressively responsible experience in administration and/or student services; experience in project management at the university strongly desired; proficiency in word processing, spreadsheets, databases, communications software; experience with HTML helpful; self-directed, ability to work independently, ability to work with a team 7 across a diverse institution; excellent written & oral communications skills; supervisory experi-

ence strongly desired (*occasional evenings & weekends required*) (end date 6-30-98). **GRADE:** P4; **RANGE:** \$26,986-35,123 4-16-97 PennCard

**TELECOM SPECIALIST SR.** (37.5 HRS) (04454SH) Responsible for technical consulting, planning & implementation of telecommunications networks, services & equipment for the university community; investigate, implement & oversee voice communications 7 networks, including international, domestic 7 local services, toll free services, cellular networks, automatic route selection, ISDN, operator & coin services, tie lines & foreign exchange services; analyze telecom requirements of campus departments & schools, recommending technical solutions in equipment & services; oversee complex projects which would include preparation & presentation of cost estimates & recommendations, implementation of proposals & continued management of projects. **QUALIFICATIONS:** BA/BS in business or telecommunications or equivalent experience; minimum of 5 years experience in telecom with knowledge of voice network management, Centrex & PBX systems, telecom management & chargeback systems required; excellent project management skills required; must be highly organized & able to set priorities 7 work without direct supervision; excellent financial analysis & project planning skills; excellent oral & written communications skills; computing experience required in financial, database & word processing; ability to work in a team environment essential. **GRADE:** P4; **RANGE:** \$26,986-35,123 4-16-97 Telecom

### MEDICAL SCHOOL

**ADMINISTRATIVE ASSISTANT I** (40 HRS) (04436RS) Provide office management & administrative support to the financial operations of the Institute for Human Gene Therapy; oversee the organization & management of office records, reports & files; manage calendar of the Associate Director & provide administrative support; maintain computerized data base of records & grant tracking system, data entry; provide functional supervision to the receptionist. **QUALIFICATIONS:** HS diploma, BA/BS preferred; at least 4 years of previous secretarial experience required or comparable experience; demonstrated

# OPPORTUNITIES at PENN

telephone skills needed & a professional & courteous manner required; strong word processing skills necessary (prefer experience with Mac MS Word & Excel), including experience with spreadsheets, databases and/or calendar programs; must have good verbal & written communication skills; requires a highly organized, energetic person who is also flexible in dealing with multiple projects & people at different levels in a fast paced setting with tight deadlines. (*position contingent upon grant funding*) **GRADE:** G9; **RANGE:** \$20,130-25,133 4-17-97 IHGT

**DIRECTOR VIII** (04439RS) Prepare Department of Surgery's Clinical Practices and JRB operating, capital & special fund budgets; monitor the performance of the department in relation to these budgets; prepare monthly departmental financial statements; conduct monthly, quarterly & year-end financial closing activities; recom-

mend & implement policies & procedures; monitor the pension activities; conduct periodic reviews of the return on investments; supervise the Information Systems staff; share supervisory responsibility with the senior administrator of the personnel officer; negotiate contracts; prepare tax returns; perform financial analysis & make recommendations; oversee compliance with university financial policies & procedures; conduct special projects & analysis; serve as liaison between the department & other financial & audit offices. **QUALIFICATIONS:** BA/BS required, 7-10 yrs. experience; strong financial & budgeting skills; supervisory experience; knowledge of grant administration & physician billing required; experience in an academic & clinical setting preferred. **GRADE:** P11; **RANGE:** \$56,135-70,246 4-14-97 Surgery

**INFORMATION SYSTEMS SPECIALIST II** (04466RS) NT/Network administration; identify & implement computer workgroup solutions; provide administrative-level support of network users; act as primary liaison with vendors & vendor technical support staff as well as university networking agencies, including but not limited to, IS & Computing (ISC) & the Office of Information Technology; design & implement systems for providing & tracking end-user support services; maintain current on a wide variety of computing issues; develop & present inservice educational programs; orient & train new system users; provide ongoing support for existing system users. **QUALIFICATIONS:** BS in Computer Science or Info. Systems plus 2-3 years of experience in network administration & end-user support, or completion of at least 2 years of college & 3-4 years of experience as above; ability to work accurately & calmly under considerable pressure from emergencies, deadlines & anxious system users; ability to work in an academic environment; willingness to maintain current knowledge in a complex & changing filed & to assume primary responsibility for acquiring that knowledge; expert ability with Microsoft Windows NT, TCP/IP, Internet clients & servers, the PennNET backbone & a wide variety of Intel hardware platforms & software packages; ability to work independently, under very limited supervision; strong familiarity with university computing standards & procedures. **GRADE:** P5; **RANGE:** \$29,664-38,677 4-16-97 Epidemiologic Research & Technology

**OFFICE ADMINISTRATIVE ASSISTANT II** (04460RS) Process & reconcile reimbursements & current expense payments; prepare & process purchase orders, accounts payable forms, bookstore requisitions & deposit slips; enter university purchase order on FinMIS; monitor grant & CPUP expenditures on FinMIS reports (grants) & CPUP statements; identify variances & transactions & resolve discrepancies; process journals & reallocations; record telephone expenditures & monitor bills; notify telecom of additions 7 deletions to accounts; process supply orders & monitor usage; update Financial Administrator & Business Administrator on status of expenditures; establish & update CPUP professional expense accounts. **QUALIFICATIONS:** Associate Degree in Business or Accounting, BS preferred; 2 years experience in accounting or related filed; knowledge of spreadsheet & word processing

programs; experience with research grants desirable; must be able to work independently & meet deadlines. **GRADE:** G10; **RANGE:** 419,261-23,999 4-16-97 General Medicine

**OFFICE SYSTEMS COORDINATOR** (04464RS) Provide secretarial & administrative support; perform sophisticated word processing in the preparation of manuscripts, scientific papers, grant proposals, correspondence & memoranda; perform elementary database & spreadsheet operations; design & execute presentation graphics; provide editorial assistance; maintain records & files; arrange meetings & conferences; monitor reimbursements. **QUALIFICATIONS:** HS diploma required, associate degree preferred; 2 years office experience required as a secretary/administrative assistant; experience in an academic setting preferred; training in PC applications, including word processing, spreadsheet, database management & presentation graphics; knowledge of medical terminology; highly organized & meticulous; ability to work with limited supervision & under pressure. **GRADE:** G11; **RANGE:** \$20,497-26,008 4-16-97 Epidemiologic Research & Technology

**PROGRAMMER ANALYST II** (04465RS) Develop end-user applications for clinical research; perform information systems analysis using structured and/or object-oriented tools; design & implement software test plans; implement 7 test data models; design, implement & test prototype & live systems along with use of system maintenance plans; develop end-user system documentation & training; act as principal system architect in multi disciplinary team consisting of physicians, epidemiologists, researchers & office systems coordinators; prepare data for statistical analysis; perform info. systems analysis using structured and/or object-oriented tools; develop & implement quality assurance plans, test data models & database query systems; prepare & review reports; act as principal database administrator. **QUALIFICATIONS:** MS in Computer Science or Info. Systems plus 2-3 years in developing information systems from SSA and/or object-oriented specifications, or BS in the same fields and 3-4 years of experience; ability to work accurately & calmly as well as team member with a variety of professionals in an academic environment; willingness to maintain current knowledge; expert ability with DOS, MS-Windows & UNIX; expertise in FoxPro, Oracle, Pascal or C & Delphi or PowerBuilder; experience n database query systems & database applications for clinical research; experience in user interfaces, info. systems & analysis & CASE tools; Sun workstations under Solaris 2.x. experience desirable. **GRADE:** P6; **RANGE:** \$32,857-42,591 4-16-97 Epidemiologic Research & Technology

## How to Apply

*The University of Pennsylvania is an equal opportunity employer and does not discriminate on the basis of race, color, sex, sexual orientation, age, religion, national or ethnic origin, disability or veteran status.*

• **Current Employees** can call 898-7285 to obtain the name of the hiring officer for the available position (please provide your social security number for verification and the position reference number). Internal applicants should forward a cover letter and resume directly to the hiring officer. A transfer application is no longer needed!

• **External Applicants** should come to the Application Center to complete an application. Applicants interested in secretarial, administrative assistant, or other office support positions, will have an appointment scheduled for a technology assessment as part of the application process.

## Schools and Centers

Penn is a large community made up of many schools and centers which have their own character and environment. The openings listed here are arranged by School or Center.

Staff Recruiters have been assigned to Schools and Centers as follows:

*Alicia Brill:* Wharton School

*Susan Hess:* Development, School of Arts & Sciences, Executive Vice President, and Nursing School

*Clyde Peterson:* Annenberg School, Dental School, Graduate School of Fine Arts, Graduate School of Education, Law School, Provost, School of Engineering & Applied Science, School of Social Work, and Vice Provost for University Life

*Ronald Story:* Medical School, and Veterinary School

The initials of the Staff Recruiter are indicated at the end of the position reference number.

## Classifieds

### VACATION

Pocono Chalet, 3 BDR/1B, Deck, Swimming, fishing, tennis. \$375/week. 610-356-3488.

### FOR RENT

Bright, sunny, furnished studio in well-maintained quiet Powelton Village home. \$425/mo includes heat and hot water. 662-0925 / 222-4559



# OPPORTUNITIES at PENN

**PROGRAMMER ANALYST I** (04467RS) Provide support for computer systems; perform computer procedures for non-complex research applications; develop programs for database under direct supervision; resolve computer-related problems; maintain computer systems; stay current with new emerging systems; program database applications under direct supervision; test systems, detect errors & develop systems; assist users in program usage & training; assess needs of employees, departments & all end-users. **QUALIFICATIONS:** BS in Computer Science; knowledge of UNIX, MAC OS, Oracle; available for on-call problem resolution. **GRADE:** P4; **RANGE:** \$26,986-35,123 4-16-97 Psychiatry

**PROGRAMMER ANALYST II** (01135RS) Collaborate with members of the OADHSR in fine tuning criteria used to select populations of patients for clinical research; formulate queries of clinical databases to retrieve requested information; develop improved mechanisms for data access from our Enterprise Data Repository; collaborate on the statistical analysis of query results; develop new databases to manage information generated through research activities of the OADHSR. **QUALIFICATIONS:** MS in Computer Science; 5 years working with Hospital Info. Systems particularly IDX, SMS, TDS and/or cerner; database development & access, particularly for clinical research purposes; knowledge of Oracle, PowerBuilder, FoxPro, SAS and/or SPSS & www interfaces to these databases; ability to handle extensive confidential material professionally. **GRADE:** P6; **RANGE:** \$32,857-42,591 4-17-97 General Medicine

**RESEARCH LAB TECH III** (40 HRS) (04455RS) Perform neuropsychological testing of neurology patients; score tests & keep records; assist in scheduling; perform clinical research. **QUALIFICATIONS:** B.A. in psychology or related field; familiarity with PC-based word processing. **GRADE:** G10; **RANGE:** \$22,013-27,427 4-15-97 Neurology

**RESEARCH SPECIALIST JR.** (40 HRS) (04476RS) Perform experiments that lead to the development & characterization of novel gene transfer; construction & restriction analysis of plasmid vectors; isolation of nucleic acids (RNA, genomic DNA, episomal vira DNA) from cell cultures, solid tissue & purified virus; Northern, South & Western blotting; random-primed-labeling; DNA sequencing & PCR; maintain & expand cultures of mammalian cells; operate & maintain low pressure chromatography & FPLC systems; maintain personal stocks of buffers, disposable plasticware & other high volume use materials; inventory & maintain stocks of commercial reagents; maintain & catalog cryostocks of cell lines, cloned DNA fragments/plasmids, recombinant viruses & logs of all experiments including protocols & results; computer-related duties include data analysis, DNA sequence analysis, construction of plasmid maps & literature searches; organize data for presentation before member of the lab. **QUALIFICATIONS:** BA/BS in molecular biology, cell biology, virology, biochemistry or other life science-related field; lab experience required; training in molecular biology & mammalian cell culture desirable; experience in virology & biochemistry desirable; excellent organizational skills, ability to work semi-independently & knowledge of computers is ex-

pected. (position contingent upon grant funding) **GRADE:** P1; **RANGE:** \$20,291-26,368 4-17-97 IHGT

**PART-TIME PSYCHTECH I** (25 HRS) (04468RS) Recruit, retain & track subjects for a study investigating minor depression in older women & the effects of estrogen treatment; develop & organize research measures; enter & analyze data. **QUALIFICATIONS:** BA/BS in a scientific or social science field; demonstrated interpersonal & communication skills; computer & statistical skills. **GRADE:** G10; **RANGE:** \$10,583-13,186 4-16-97 Psychiatry

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## PRESIDENT

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**ASSISTANT/ASSOCIATE GENERAL COUNSEL** (04479SH) General legal practice with emphasis on litigation preferred especially employment and labor law. Personally handle assignments from General Counsel; advise University officers and departments on legal affairs. **QUALIFICATIONS:** JD degree required; admission to PA Bar (within one year); minimum of 3 yrs for Asst. Position; minimum of 5 yrs exp for Assoc. position. **GRADE:** P10/P11; **RANGE:** \$48,822-56,135; 64,066-70,246 4-18-97 General Counsel

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## PROVOST

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**ADMISSIONS OFFICER I** (04463CP) Plan, develop, implement & manage programs to recruit, evaluate, select & enroll transfer students & international component of university's first year class; work with international guidance counselors, educational officials & alumni volunteers, visiting international secondary schools & conducting programs for prospective students & their parents; serve as expert on numerous educational systems worldwide; act as liaison with admissions operations. **QUALIFICATIONS:** BS/BA required; 1-3 years progressively responsible work experience; excellent public relations, oral & written communication & organizational skills required; familiarity with Penn, selective admissions preferred; international experience desired; sensitivity, interest in working with students of different cultural backgrounds needed; desktop computer experience needed (pref Mac with WordPerfect & Excel experience); (must be able to work long irregular hours & travel 6-8 weeks per year). **GRADE:** P3; **RANGE:** \$24,617-31,982 4-15-97 Undergraduate Admissions

**STORE CLERK I** (04473CP) Record data; handle inquiries; complete daily deposits; taken inventory; stock, price & maintain items for sale; perform routine settlements; assist in scheduling floor staff at Museum & pyramid Shops; take & fill order requests; other duties as assigned. **QUALIFICATIONS:** HS diploma; 1 year retail experience or equivalent preferred; ability to operate cash register system & office machinery; strong interpersonal & mathematical skills; basic knowledge of Museum Shops' operations preferred. **GRADE:** G4; **RANGE:** \$11,743-14,471 4-17-97 Museum

**SYSTEMS ANALYST II/SR.** (03290CP) Technical & functional analysis of information processing & management systems, completing feasibility studies, designing systems & identifying the interrelationships among systems; develop system design specifications 7 cost benefit estimates; ensure adherence to departmental, technical & quality assurance standards; maintain thor-

ough knowledge of system development tools; determine functional requirements for client offices; organize, plan & manage projects within the scope of responsibility. **QUALIFICATIONS:** BA/BS; minimum of 4 years progressively responsible experience within a large administrative computing environment, including a minimum of 3 years in systems designing & analysis; detailed knowledge of database design concepts & development methodologies; expertise in ADABAS/NATURAL required; knowledge in UNIX & relational database technology & C a plus; excellent written, verbal & interpersonal skills; demonstrated planning & organizational skills; working knowledge of LAN; project management software & desktop presentation tools helpful; some expertise with Payroll, Benefits & Human Resources a plus. **GRADE:** P7/P8; **RANGE:** \$36,050-46,814/\$39,655-52,015 4-16-97 ISC/ Application Development

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## VETERINARY SCHOOL

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**ADMIN. ASS'T I** (40 HRS) (04456RS) Prepare monthly reports for the state, handouts, slides for classes & lectures, letters & correspondence & other reports & materials; bill clients, receive & process payments; collect & report disease information; greet clients; sort & distribute mail; coordinate mtgs.; answer phones & handle info. requests; schedule appointments & maintain calendar for lab head; input purchasing & accounts payable information; track budgets. **QUALIFICATIONS:** H.S. grad or equiv.; associate's degree pref.; 2 or more yrs. experience in clerical administrative setting. **GRADE:** G9; **RANGE:** \$20,130-25,133 4-15-97 Pathobiology- New Bolton Ctr.

**RESEARCH LAB TECH I** (04475RS) Perform medical research with milk fever project; visit farms on a bi/weekly basis; ensure cow assignment to diet; oversee diet preparation; deliver & help organize feeding groups for study; collect blood & urine samples; oversee record collection, farm administration of calcium/minerals & ensure proper supplies; (Position in Kennett Square; no public transportation available). **QUALIFICATIONS:** HS diploma, farm experience working with cows required; a fundamental understanding of farm management, nutrition & feeding practices is essential; experience with farm applied research necessary; ability to travel to farms on routine basis & good written & oral communication skills are required. **GRADE:** G7; **RANGE:** \$14,935-18,592 4-17-97 Clinical Studies—New Bolton Center

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## WHARTON SCHOOL

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**OFFICE ADMIN. ASS'T I** (04451AB) Prepare, process, reconcile & report on accounts payable transactions & purchase orders; prepare basic accounting transactions for internal & university accounting systems; liaison to university service centers & outside vendors; audit & reconcile housebank & petty cash funds; maintain office supplies & equipment. **QUALIFICATIONS:** H.S. diploma, some college credits pref., particularly in accounting; knowledge of FinMIS preferred; experience with accounting software packages; proficient with Lotus 123 & WordPerfect; proven ability to manage multiple tasks. **GRADE:** G9; **RANGE:** \$17,614-21,991 4-14-97 Aresty Institute





### Overviews: The Medical Plans

To help faculty and staff prepare for Benefits Open Enrollment, April 28–May 7, the opposite chart and the one on pages 16-17 are provided as overviews of the University’s medical plans. The first displays details of available Health Maintenance Organizations (HMOs): HMO-PA/DE, HMO-NJ, HIP of NJ, and Keystone Health Plan East. The second includes the Blue Cross Blue Shield Plan 100; PENNCare; and the new UPHS/Keystone Point of Service plan. (Pricing for all plans appeared in the “Changes and Choices” brochure mailed to homes and also available from Human Resources.)

An important note about Open Enrollment: This year, to make changes in selections from last year, employees must both 1) return to Benefits a completed Personal Worksheet (with accompanying documentation, if needed—use the prepaid envelope included in the “PennChoice” booklet); and 2) complete the enrollment process by phoning selections in to BEN, the Benefit Enrollment Network (details are in the BEN brochure, included in the “PennChoice” booklet, or available from Human Resources). BEN is in service 24-hours a day only during Open Enrollment, April 28–May 7. You cannot call in to BEN before or after those days.

Open Enrollment information meetings continue to be held this week according to the schedule posted in both the 4/8 *Almanac* and the “Your Guide to Open Enrollment” flyer. For additional information about Open Enrollment, call Human Resources Benefits, 898-7282.

## HMO Table

**See print version of Almanac for this table.**

## **HMO Table**

**See print version of Almanac for this table.**

## **Medical Table**

**See print version of Almanac for this table.**

## **Medical Table**

**See print version of Almanac for this table.**

# PENNPRINTOUT

## Network Advisory

PCs attempting to connect to Novell Netware servers may be unable to connect or appear to connect and then freeze because improperly configured Windows 95 machines can interfere with attempts to connect to legitimate Netware servers. In addition, there is a potential security problem for Netware clients.

A detailed description of the problem and recommendations for Netware file server administrators, DOS/Win3.1/Win95 Netware clients, and Windows 95 users is available on the computing web ([www.upenn.edu/computing/group/pcnet/win95sap.html](http://www.upenn.edu/computing/group/pcnet/win95sap.html)).

In summary, the recommendations advise Netware client users to contact their network administrators if they are unable to connect to Novell Netware servers, that Netware administrators turn on "Get Nearest Server" capability in their autoexec.ncf file, and that Windows 95 users always use TCP/IP instead of IPX for peer-to-peer networking services.

A related document, "PennNet Netware Configuration Recommendations," describes the recommended network configuration for Netware v3.x and 4.x servers, as well as DOS/Win3.1/Win95 clients.

## Summer cleanup

Faculty and students who will not be using their e-mail accounts over the summer are reminded to sign off from listserv discussion groups; otherwise your inbox could overflow, causing e-mail to be lost. Many campus e-mail hosts also provide easy access to "vacation" messages, which can be edited to automatically inform your correspondents that you will not be reading e-mail for an extended period of time. However, make sure you have unsubscribed from lists if you use a vacation message or your vacation message may be automatically sent whenever someone posts mail to the list.

## Search update

The Penn Web Team has begun the process of selecting a package for use as the principal indexing/search tool on the Penn Web. Three products emerged from a preliminary screening based on industry reviews, market position, and informal benchmarking: Excite for Web Servers, Alta Vista, and the Webinator from Thuderstone. Excite was eliminated because it did not meet the team's requirement that it be able to search across multiple servers (Penn now has more than 200). You can see a table comparing the capabilities of the three products at <http://www.upenn.edu/computing/web/webteam/rnd/criteria-tbl.html>

Forty-two members of the Penn community, including students, faculty, and staff, are performing a comparative

evaluation of the Webinator and Alta Vista during the week of April 18-25. The results of this evaluation, along with technical criteria, cost projections, and consultation with peer institutions currently using these products, will be used to develop a recommendation to the Penn Web Steering Committee in late spring. After some customizing of the interface and development of additional online documentation, the selected product will be deployed on the Penn Web.

## Penn Printout Online

The last edition of the Penn Printout Online for the current academic year will be available on the computing web this afternoon ([www.upenn.edu/computing/printout](http://www.upenn.edu/computing/printout)).

In addition to the Printout-Almanac Digest, you'll find an article describing macro viruses and the campuswide effort to recommend and obtain a Macintosh macro-virus product for site license at Penn (Vi-Spy 15.0, available from the Computing Resource Center at 3732 Locust Walk, will detect macro viruses on PCs).

Want to save time when you compute? Check out the article about timesaving shortcuts for Macintosh and Windows 95 computer users. And, if you are interested in technology, read the overview of the Gartner *IntraWeb*. Gartner *IntraWeb* is a database of advisories available on the computing web ([www.upenn.edu/computing/gartner](http://www.upenn.edu/computing/gartner)) provided by the leading advisor on information technology, Gartner Group.



*Last week, James J. O'Donnell, professor of classical studies and Interim Vice Provost for Information Systems and Computing (ISC) since February 1996 was appointed to the permanent position in a joint announcement by*

*Provost Stanley Chodorow and Executive Vice President John A. Fry.*



# Update

APRIL AT PENN

## CONFERENCES

**24** *The 1997 Kellogg Conference: Linking Intellectual Resources & Community Needs; Culture and Community Studies: Issues of Pedagogy*; 8:15 a.m.-noon; Room 12, University City High School; *Environment and Health, & Nutrition and Health: University Community Collaborative Research Projects*; noon-5 p.m.; McClelland Hall, the Quad; *Reflections on Linking Intellectual Resources and Community Needs*; 5:30-7:30 p.m.; the Castle; registration required, contact: Penny Gordon-Larsen, 898-4704 or [pglarsen@pobox.upenn.edu](mailto:pglarsen@pobox.upenn.edu) (Institute for Environmental Studies, Center for Community Partnerships and Program for Public Service).

**29** *ENIAC in the Biomedical Sciences: The First 50 Years and Beyond*; Mark Chee, Affymetrix, Inc.; *Genomics by Hybridization*; Russell Doolittle, UC-San Diego; *The Human Being: A Three Billion-Year Legacy*; Kenneth Kinzler, John Hopkins University; *Mapping Gene Expression: From Yeast to Cancer*; Kamil Ugurbil, Center for Magnetic Resonance Research, Minneapolis; *Computers and Revolutionary Developments in Magnetic Resonance Imaging*; Pat Hayes, Interdisciplinary Study of Human and Machine Cognition Institute, University of West Florida; *Progress and Problems in Artificial Intelligence Research*; 8:30 a.m.-

1 p.m., 200 College Hall (School of Veterinary Medicine, School of Medicine, School of Engineering and Applied Science).

## MUSIC

**24** *An Evening of Music*; featuring Grover Washington, Jr. with the University of the Arts Big Band and the Rohm Haas-Settlement Middle School Jazz Ensemble; 7 p.m.; Harrison Auditorium, Museum; tickets: \$20 at the UPSTAGES box office, 893-1145.

## SPECIAL EVENTS

**24** *Open Studio*; Guided tours of Graduate studios; 5:30-7:30 p.m.; silent auction of small works; 6-7 p.m.; Morgan Bldg.; events 6:30-8:30 p.m.; Blauhaus Bldg. (Graduate School of Fine Art).

## TALKS

**24** *Classroom Mathematics Instruction in Three Cultures*; James Stigler, UCLA; 5 p.m.; Bodek Lounge, Houston Hall (Graduate School of Education).

**25** *Architecture of Language Acquisition*; Mark Steedman, computer and information science; 3-5 p.m.; 470 IRCS, 3401 Walnut Street (Institute for Research in Cognitive Science).

**28** *Ablating Nonmuscle Myosin II-B in Mice Results in Defects in the Heart, Brain and Retina*; Robert Adelstein, NIH; 2 p.m., Physiology Conference Room, Richards Bldg. (Pennsylvania Muscle Institute).

*The Role of Utrophin and Dystrophin in Duchenne Muscular Dystrophy*; Kay Davies, Oxford; 4-5 p.m.; Robert Austrian Auditorium, Clinical Research Building (Institute for Human Gene Therapy).

**Deadlines:** The deadline for the Summer at Penn calendar is *May 13*. The deadline for the weekly Update is the Monday prior to the week of publication (e.g. *April 28* for the May 6 issue).

## ICA Photography Lecture Series:

### April 29-May 27

This five-week course is entitled *Focus: Critical Perspectives on Photography* and meets every Tuesday evening from 6-7:30 p.m. Lectures will explore selected aspects of photography and the effects of new technologies. Individual lectures are \$12 for members, \$16 for non-members. The entire series is \$50 for members, \$70 for non-members. For reservations call: 898-7108. Lectures are as follows:

**April 29** *The Quarrel Over Realism: Photography Between Wars*; Matthew Drutt, Solomon R. Guggenheim Museum, NY.

**May 6** *Documentary Eyes*; Stephen Perloff, editor, *The Photo Review* and *The Photograph Collector*.

**May 13** *The Conceptual Moment: Theoretical Photography*; William E. Williams, Haverford College.

**May 20** *Photograph and Controversy*; Wendy Steiner, English.

**May 27** *Photography After Photography: Representation in the Digital Age*; Jeannie Pearce, University of the Arts.

## The University of Pennsylvania Police Department Community Crime Report

**About the Crime Report:** Below are all Crimes Against Persons and Crimes Against Society from the campus report for **April 7, 1997 through April 13, 1997**. Also reported were **Crimes Against Property**, including 32 total thefts (including 1 burglary & attempt, 4 thefts of bicycles & parts, 2 thefts & attempts of autos, 2 thefts from autos), 12 criminal mischief & vandalism and 1 forgery & fraud. Full crime reports are in this issue of *Almanac* on the Web ([www.upenn.edu/almanac/v43/n31/crimes.html](http://www.upenn.edu/almanac/v43/n31/crimes.html)).—Ed.

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 7, 1997 and April 13, 1997**. The University Police actively patrols 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)—1; Threats & harassment—1

04/09/97	1:56 AM	38th & Chestnut St.	Complainant robbed of currency/arrest
04/13/97	11:31 PM	3401 Walnut St.	Complainant received threatening calls.

**38th to 41st/Market to Baltimore:** Simple assaults—1; Threats & harassment—4

04/07/97	10:59 AM	3930 Pine St.	Unwanted phone calls received.
04/07/97	12:17 PM	3930 Chestnut St.	Complainant threatened by male.
04/10/97	6:41 PM	Harnwell House	Complainant threatened by known person(s)
04/11/97	7:45 PM	High Rise North	Unwanted phone calls received
04/13/97	4:40 AM	4000 Blk Spruce St.	Complainant hit by male

**Outside 30th to 43rd/Market to Baltimore:** Aggravated assaults—1

04/10/97	9:38 PM	300 N. Busti St.	Suspect apprehended in Phila. Police shooting
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### 18th District Crimes Against Persons

9 Incidents and 2 Arrests were reported between **April 7, 1997 and April 13, 1997**, by the 18th Police District; covering Schuylkill River to 49th Street, Market Street To Woodland Avenue.

4/7/97	6:36 pm	4300 Ludlow	Aggravated Assault/Arrest
4/8/97	3:04 pm	4800 Woodland	Robbery
4/9/97	1:50 am	3800 Chestnut	Robbery/Arrest
4/10/97	7:42 am	4500 Market	Aggravated Assault
4/11/97	2:27 am	3800 Market	Robbery
4/11/97	1:47 pm	4600 Market	Robbery
4/12/97	5:30 am	3400 Spruce	Robbery
4/13/97	7:20 pm	4300 Osage	Robbery
4/13/97	8:42 pm	4600 Woodland	Robbery



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The University of Pennsylvania's journal of record, opinion and news is published Tuesdays during the academic year, and as needed during summer and holiday breaks. Its electronic editions on the Internet (accessible through the PennWeb) include HTML and Acrobat versions of the print edition, and interim information may be posted in electronic-only form. Guidelines for readers and contributors are available on request.

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*The Compass* stories are written and edited by the Office of University Relations, University of Pennsylvania.

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## The 1997 Recipients of Honorary Degrees

**Shirley Sears Chater**, former Commissioner of Social Security. A 1956 graduate of Penn's School of Nursing—and of the historic HUP School of Nursing as well—Dr. Chater received a master's in nursing from the U.C. at San Francisco in 1960 and a doctorate in education from U.C. at Berkeley in 1964.

By 1973 she was a full professor at San Francisco, and in 1977 she was named vice chancellor for academic affairs there, the first woman to hold such a high-level administrative position in the California higher education system.

From 1986 to 1993, as president of Texas Woman's University—the nation's largest university primarily for women—academic standards and enrollment skyrocketed. Her innovations included a nationally acclaimed program that provided family housing, day-care services, family counseling, and academic support for students who were single mothers. Her work at TWU led Texas Governor Ann Richards to appoint Dr. Chater in 1991 to chair the state's Health Policy Task Force. Many of the task force's recommendations to make health care accessible and affordable have been incorporated into the state's health care legislation.

Since 1993, when she was named Commissioner of Social Security, Dr. Chater has been responsible for the 65,000 employees who deliver benefits each month to more than 48 million people.

**William H. Danforth**, chairman of the Danforth Foundation and former Chancellor of the University of Washington at St. Louis.

Following service in the U.S. Navy during World War II, Dr. Danforth received his undergraduate degree from Princeton, and took his medical degree in Harvard's Class of 1951. At Washington University in St. Louis, the young cardiologist rose from intern to professor to Vice Chancellor of Medical Affairs, and then Chancellor of the University in record time. During his distinguished 24-year tenure as Chancellor, Washington moved into the select circle of the top 20 American universities. The number of endowed chairs rose from 40 to 110; financial aid increased nine-fold to \$27 million; the market value of the endowment increased eleven-fold to \$1.7 billion; and the \$650 million campaign which he led in the mid-1980s was, at that time, the most successful fund-raising effort in the history of higher education.

Dr. Danforth has chaired the Association of American Universities and many other major organizations in higher education and medicine. As Chairman of The Danforth Foundation, a position he has held for 30 years, Dr. Danforth carries on the tradition begun by his grandparents in the 1920s—providing support for initiatives that enrich and improve education, inside and outside the classroom.

**Gary Graffman**, Director of the Curtis Institute of Music. A world-renowned pianist who entered the Curtis Institute at seven, debuted with the Philadelphia Orchestra at eighteen, and won the prestigious Leventritt Award at twenty, Mr. Graffman took the international concert circuit by storm and for thirty years he toured city after city, playing the most demanding works for the piano both in recital and with the world's finest orchestras and making recordings with the orchestras of Philadelphia, New York, and other major cities.

After an injury to his right hand in 1979, Mr. Graffman turned to the brilliant repertoire of concertos written for the left hand. He joined the Curtis faculty in 1980 and was named director in 1986, following such illustrious predecessors as Josef Hoffman, Efreim Zimbalist, and Rudolf Serkin. He was a key organizer of the Penn-Curtis Exchange, in which students cross-register, and Penn student composers have their works played by the Curtis Orchestra, considered one of the finest on the east coast.

A modern Renaissance man whose scholarly delights range from Oriental art to photography, Mr. Graffman is also a gifted writer and author of the highly-praised autobiography *I Really Should Be Practicing*.

**Richard A. Posner**, Chief Judge of the United States Court of Appeals for the Seventh Circuit. The Senior Lecturer (formerly Professor of Law) at the University of Chicago Law School has done more than any other individual to expand the law-and-economics movement from the academic fringe to the mainstream of American legal education. Controversial at times for his forceful defense of the free market and his application of economic principles to politics and personal behavior, he is nonetheless nationally recognized and respected for his scholarly and powerful influence on academic law.

Since the start of his teaching career in the 1960s at Stanford University and the University of Chicago, Judge Posner has turned out an astonishing number of powerfully argued and carefully reasoned articles and books, including his now-classic text *Economic Analysis of Law*, which applied the methods and theory of economics to a broad range of legal issues and fields.

Judge Posner received his undergraduate degree from Yale in 1959 and his law degree from Harvard in 1962. Appointed to the bench by President Reagan in 1981, he writes some 90 appellate opinions a year, more than any other federal appellate judge, while continuing his academic writing at a prodigious pace; he has written some 22 books and over 100 law review articles.

Judge Posner has received honorary degrees from Yale University, Syracuse University, Duquesne University, Georgetown University, and the University of Ghent, Belgium. His son Eric is an assistant professor at Penn's Law School.

**Louis Sokoloff**, M.D., Chief of the Laboratory of Cerebral Metabolism at the National Institute of Mental Health. Dr. Sokoloff received his undergraduate degree from Penn in 1943, graduated from Penn's School of Medicine in 1946. In 1949, he returned to Penn as a research fellow in physiology and pharmacology. In 1953, he moved to the National Institute of Mental Health, and in 1963 he became chief of the Laboratory of Cerebral Metabolism in 1963.

Dr. Sokoloff's landmark work includes a technique for measuring metabolic rates throughout the brain which he developed in collaboration with Penn's Dr. Martin Reivich. Their findings served as the basis for the first investigation in humans of regional cerebral glucose metabolism, performed at Penn in 1976. This approach, now an important tool in fundamental neurophysiology and functional anatomy and in the detailed study of the human brain in health and disease, has allowed scientists to see for the first time the working of the brain as it solves problems and processes information.

A member of the National Academy of Sciences, has received numerous honors including Penn Med's Distinguished Graduate Award; honorary degrees from Yeshiva University and the University of Lund in Sweden; the Albert D. Lasker Award in Basic Medical Research; and the Schmitt Medal in Neuroscience.

**Simone Veil**, former French Minister of State for Social, Health and Urban Affairs. A Holocaust survivor who returned to France after her liberation from the notorious Bergen-Belsen camp, Mme. Veil studied law and political science at l'Institut d'Etudes Politiques in Paris. Appointed Minister of Health in 1974 by French President Valéry Giscard d'Estaing, she vigorously promoted women's rights, health the reform of medical education requirements, and extension of the health insurance program. She was also involved in the reconciling countries who fought against each other in World War II.

In 1979, she became the first elected president of the European Parliament. She was deputy president in 1984 and 1989, and presided over the Parliament's Legal Commission from 1982 to 1984. From 1984 to 1989, she was also president of the Liberal Group of the European Parliament, where a major focus of her work has been human rights and the construction of a united Europe.

In 1993, on her return to the French government as Minister of State for Social, Health and Urban Affairs, Mme. Veil was directly responsible for settling riots in French suburbs, reforming the medical system, and helping to awaken France to the serious problems of drug addiction and AIDS. Currently, she plays a key role in the French government's effort to increase the participation of women in politics.

A member of the WHO Task Force for Health in Development, she has been a forceful advocate in assuring that protection and promotion of health and quality of life in the world's developing countries go hand-in-hand with economic growth and technological progress.

**Charles K. Williams, II**, field director of the Corinth Excavations of the American School of Classical Studies in Athens. A 1953 honor graduate of Princeton University, Dr. Williams received a M.F.A. in architecture from Princeton in 1956 and a Ph.D. in classical archaeology from Penn in 1978.

Since 1966, when he became field director of the Corinth Excavations—one of the most important ongoing investigations in the classical world—Dr. Williams has been making significant contributions to knowledge about Corinth's long history, and setting the standards for twenty-first century archaeology with innovative technological applications, such as electronic site surveys and topographical analyses via satellite imaging. One measure of his prodigious influence on the field is the 1993 Gold Medal which the American Institute of Archaeology awarded him for his splendid achievements.

Dr. Williams's influence is felt very strongly at Penn, where his visionary and magnanimous commitments to the University and its Museum of Archaeology and Anthropology have assured the University a succession of great scholars and outstanding students in the coming years. His many endowments include the directorship of the Museum, a professorship in the history of art, two post-doctoral fellowships, a publication fund, and the newly created Center for Ancient Studies. He has also provided the lead gift for a new climate-controlled collections/research wing for the Museum.

**Ahmed Zewail**, Linus Pauling Professor of Chemistry and Professor of Physics at CalTech. One of the world's leading physical chemists, and the first to realize the significance of ultrafast laser chemistry in the study of the dynamics of individual molecules, he has fundamentally changed the teaching and research in a core area of chemistry.

Dr. Zewail received his B.S. and M.S. from Alexandria University, Egypt, in 1967 and 1969, respectively, and his Ph.D. in Chemistry from the Penn in 1974. His path-breaking work has established the new field of laser femtochemistry in which it is now possible to "view" motion in a chemical reaction and to "view" molecules falling apart in real time, equal to one thousand-million-millionth of a second. His ingenious methodology and theoretical insights have contributed significantly to the understanding of the complex molecular processes of chemical reactions.

Dr. Zewail holds the highest honors of the world's scientific community, including the 1993 National Academy of Sciences Award in Chemical Sciences, the Wolf Prize in Chemistry; the Peter Debye Award of the American Chemical Society; the Sir Cyril Hinshelwood Chair Lecture Series, Oxford. The author of more than 300 articles and books, lecturer and visiting professor throughout the world, Dr. Zewail leads in international conferences and committees—and is currently an editor-in-chief of the prestigious *Chemical Physics Letters*—he also continues to teach undergraduates.

## Campus Safety And Security: A Shared Responsibility

Campus safety and security at the University of Pennsylvania is a shared responsibility. Clearly, the best protection against campus crime is an aware, informed, alert campus community—students, faculty, and staff who use reason and caution—along with a strong law enforcement presence.

The vast majority of our students, faculty, staff, and visitors do not experience crime at the University of Pennsylvania. However, crime sometimes occurs despite our best efforts, and yours. This information is provided, both because of our commitment to campus safety and security and in compliance with the Federal Crime Awareness and Campus Security Act and the Pennsylvania College and University Security Information Act. It is meant to be useful to you. If you have concerns, questions, or comments about the requirements of federal or state law or Penn's compliance with these laws, please contact Thomas M. Seamon, Managing Director, Division of Public Safety at (215) 898-7515.

### The Division of Public Safety

The Division of Public Safety is committed to enhancing the quality of life of the campus community, integrating the best practices of public and private policing with state-of-the-art security technology. Its 126 full-time employees, 190 contract employees, and 46 student assistants work in three areas: **University Police, Special Services, and Campus Security Operations.**

**University Police** maintain police patrols 24-hours-per-day, seven-days-a-week on campus, by foot, car, and bicycle with a police force of 102 sworn officers, the largest private police force in the Commonwealth of Pennsylvania. University Police also work closely with the Philadelphia Police Department as both agencies patrol and respond in neighborhood areas west to 43rd Street, south to Baltimore, east to 30th Street, and north to Market Street. University Police officers have full enforcement powers, including the authority to make arrests for criminal violations. While it is seldom necessary to use force in their work, University Police officers are authorized to carry firearms when on duty, and they do so. Otherwise, the possession of air rifles or pistols, firearms, ammunition, gunpowder, or other dangerous articles or substances is strictly prohibited on Penn property or at University-sponsored events.

University Police officers have completed rigorous training prescribed by the Commonwealth of Pennsylvania under the Municipal

Police Officer's Training Act. Once an officer has completed police academy training, he or she participates in a Field Training Program, developed and coordinated through the Division of Public Safety. Officers remain in probationary status for one year following graduation from the police academy and continuing in-service training is provided in accordance with established standards for continuing professional education for municipal police officers.

To contact University Police **in an emergency, dial 511 from a campus telephone, use one of more than 225 blue light emergency telephones on campus and in the surrounding neighborhood, or dial 573-3333 from off-campus.**

The Communications Center (PennCom) of the Division of Public Safety and all University Police vehicles monitor the radio frequency used by the Philadelphia Police Department in its patrols of the area in and around the campus. University Police officers respond to assist the Philadelphia Police Department in certain situations, and they respond to those addresses or locations owned by the University or associated with a recognized student organization. University Police detectives also are in regular contact with the 18th District of the Philadelphia Police Department to obtain information on criminal incidents reported to the Philadelphia Police Department, but not to University Police, for addresses or locations owned by the University or associated with a recognized student organization.

The **Special Services Unit** is responsible for coordinating victim support, crime prevention and outreach programs, community education, and information. This unit provides more than 120 crime prevention firesides, seminars, forums, and other presentations each year to student groups, faculty, and staff. It offers a comprehensive program to assist victims of crime, with particular emphasis on providing services to victims of crimes against persons. Officers and others assigned by the Division of Public Safety to victim support are available to offer immediate assistance and support at the scene of the crime, and they are highly-trained to do so. They accompany the victim to receive medical treatment, when necessary, or to the Philadelphia Police Department; and they are well-versed to provide referrals to health-related and other services, both at Penn and elsewhere. They also maintain contact with the victim throughout the investigation and court proceedings and can, given the victim's approval, interact with a de-

partment or academic area, or with the Office of Housing and Residence Life, to coordinate support in these areas. These services are confidential.

To contact the Special Services Unit, **call 8-6600 from a campus telephone or (215) 898-6600 from off-campus.**

### Campus Security Operations

The University of Pennsylvania has retained SpectaGuard to provide skilled security services on campus and in the surrounding neighborhood to supplement its police force and patrols provided by the Philadelphia Police Department. This security force is well-trained, but they are not police officers. Security guards may be assigned to conduct routine security patrols on campus, to screen access to student residences and other buildings, and to provide security services at special events. SpectaGuard patrols, working in concert with both University Police and the Philadelphia Police Department, also are used to patrol some streets in the surrounding neighborhood in the evening hours. The Hospital of the University of Pennsylvania and the Medical School use a separate uniformed security force that screens access and egress at public entrances to buildings and provides routine patrols of these facilities 24-hours-a-day, seven-days-a-week.

### Reporting Crime

The Communications Center (PennCom) of the Division of Public Safety is maintained 24-hours-per-day, seven-days-a-week. All criminal incidents should be reported to the Division of Public Safety for response and documentation. Incidents known in common parlance as Part I crimes that are identified to the Division of Public Safety are reported to the Philadelphia Police Department to ensure that all agencies charged with providing services are aware of these incidents. The relationship and exchange of information with city, state, and federal authorities is extremely important, and it is an ongoing process. The Philadelphia Police Department alerts the Division of Public Safety to reported incidents in the surrounding neighborhoods that are jointly patrolled by both University Police and the Philadelphia Police Department.

To report a criminal incident, **dial 511 from a campus telephone, use one of more than 225 blue light telephones on campus and in the community, or dial 573-3333 from off-campus.** You also can report a criminal incident in

person at the Division of Public Safety, 3914 Locust Walk, which is staffed with professional personnel 24-hours-a-day, seven-days-a-week.

Criminal incidents are assigned to an investigator within the Division of Public Safety, who is responsible for the investigation of the crime or for coordination with the Philadelphia Police Department. When necessary, an officer from Special Services will be available. If the incident involves a student who has violated policies, procedures, codes of conduct or the law, the Division of Public Safety will advise the victim or complainant of the option to report the incident to the Office of Student Conduct or the responsible University office. Information pursuant to the Crime Awareness and Campus Security Act on any person arrested by University Police and charged with a criminal offense is available to the campus community.

The Division of Public Safety maintains a computerized database for all reported criminal incidents, including those that occur on campus, those that occur in the surrounding neighborhood, and those that occur well beyond the campus community. This data is the basis for crime statistics reported to the FBI Uniform Crime Reporting System, for compliance with the Crime Awareness and Campus Security Act and the College and University Security Information Act, and for reporting crime statistics to the campus community.

The Crime Awareness and Campus Security Act requires Penn to provide information on its security policies and procedures and specific statistics for criminal incidents and arrests on campus to students and employees, and to make the information and statistics available to prospective students and employees upon request. The College and University Security Information Act requires Penn to provide information on its security policies and procedures to students, employees and applicants; and to provide crime statistics to students and employees, and make those statistics available to applicants and prospective employees upon request. This information is available **by calling the Division of Public Safety at (215) 898-7297.**

All crimes against persons that occur on campus and in the surrounding neighborhood, including the areas jointly patrolled by University Police and the Philadelphia Police Department, are published in the student newspaper, *The Daily Pennsylvanian*; and in *Almanac*, the weekly journal of record, opinion, and news, published by the University of Pennsylvania. The Division of Public Safety maintains an Incident Journal, a chronological listing of all crimes and significant incidents reported to University Police, which is open for public inspection at the Communications Center (PennCom) of the Division of Public Safety.

The Division of Public Safety does not hesitate to use a "Crime Alert" to notify the campus

community of a serious crime or series of crimes in order to prevent additional incidents.

## Acquaintance Rape and Sexual Violence

For more than 20 years, the University of Pennsylvania has addressed the issues of rape and sexual violence through firesides, seminars, forums, and other presentations. Students Together Against Acquaintance Rape (STAAR), Penn's nationally recognized student-operated program, also addresses these issues through its workshop programs. Penn also conducts educational and training programs for its employees who interact with students, including University Police officers, coaches, student service personnel in the Office of University Life, members of the campus ministries, and those who provide services in the student residences.

Acquaintance rape is a form of sexual violence defined under our policy as any act in which a person forces another person with whom he or she is acquainted to engage in sexual activity against their will or without their consent. Assent does not constitute consent if it is given by a person who because of youth, mental disability, or intoxication is unable to make a reasonable judgment. This policy applies to groups as well as individuals.

Penn will provide support for victims of acquaintance rape or sexual violence, and it is committed to provide resources and processes for prevention, education, reporting, adjudication, protection from retaliation, and sanctions. Incidents that are reported to the appropriate departments at Penn will be addressed promptly and will be confidential. The procedures that govern the investigation of charges under these policies will take into account both the need to gather the facts and the confidentiality rights of all parties involved in the incident.

Anyone who is a victim of an acquaintance rape or sexual violence at Penn is encouraged to seek support and assistance, and to report the incident. While students are encouraged to **contact Special Services at 8-6600 from a campus telephone or (215) 898-6600 from off-campus, contact also can be made through University Police emergency lines by dialing 511 from a campus telephone, by using one of more than 225 blue light telephones on campus and in the community, or by dialing (215) 573-3333 from an off-campus telephone; or through contact with Counseling and Psychological Services by dialing 8-7021 from a campus telephone or (215) 898-7201 from off-campus; or through contact with the Penn Women's Center by dialing 8-8611 from a campus telephone or (215) 898-8611 from off-campus.**

When a victim of a sex offense contacts Special Services, the individual will be advised of all the health, legal, and support services

available on and off-campus, and the victim will be assisted in accessing these services. If the victim elects to go through the criminal justice system and/or receive medical treatment, personnel from Special Services will accompany the victim to the sexual trauma unit at Jefferson Hospital for evaluation, treatment, and evidence collection. The Director of Special Services at Penn is the designated coordinator of support services for students who have been victimized. Whether the victim chooses to report an incidence of acquaintance rape or sexual violence to Special Services, the University Police, or another resource center within the campus community, the victim will be informed of all options for filing a complaint, including the right to report the incident fully and completely to the Philadelphia Police Department, the right to file an anonymous report with the Philadelphia Police Department, or the right to file no report.

Due to the sensitive issues involved in acquaintance rape and other sexual assaults, the victim may first disclose the incident some time after it occurred, but the victim is nonetheless encouraged to contact Special Services for support and assistance, and to report the incident.

Those within the campus community who are found responsible for acquaintance rape or sexual violence are subject to University sanctions, which may include suspension, expulsion, and separation from the University. In any University disciplinary proceeding involving charges of sexual assault, the accused and the accuser are entitled to the same opportunities to have others present during the proceedings, and both the accused and the accuser are informed of the outcome of the proceedings. The individual also may be subject to prosecution by the Office of the District Attorney under Pennsylvania criminal statutes.

The Acquaintance Rape and Sexual Violence Policy is stated on page 23 of the *Penn Book: Resources, Policies & Procedures Handbook*, which is available through the Office of the Vice Provost for University Life **by calling (215) 898-6081.**

## Alcohol and Drugs

The University of Pennsylvania and its programs and policies regarding the possession, sale, and consumption of alcoholic beverages, encourages all within the campus community to make safe, responsible decisions about alcohol that are consistent with existing state and federal law. The possession or consumption of alcoholic beverages on campus by persons under the age of 21 is strictly prohibited by Penn and by the laws of the Commonwealth of Pennsylvania. Consistent with its educational mission Penn provides programs that promote awareness of the physical, psychological, social, and behavioral effects of alcohol consumption.

The use, sale, and possession of narcotics



and dangerous drugs is illegal and is strictly prohibited on campus.

Employees are required to adhere to the University's Drug-Free Workplace Policy and the Drug and Alcohol Policy, which strictly prohibits the unlawful manufacture, distribution, dispensation, sale, possession or use of drugs by its employees in the workplace. Those who violate these policies may be subject to disciplinary procedures or may be required to participate in drug or alcohol rehabilitation programs.

Students who have questions or concerns about alcohol or drugs are encouraged to use the medical or counseling resources provided by the University of Pennsylvania. These services adhere to all applicable laws governing the confidentiality of patient information.

The Alcohol and Drug Policy is stated on pages 23-26 of the *Penn Book: Resources, Policies & Procedures Handbook*, which is available through the Office of the Vice Provost for University Life by calling (215) 898-6081.

## Disciplinary Policies

Any student who fails to comply with University, local, state or federal laws may be subject to discipline under the University Code of Student Conduct. Sanctions can include, but are not limited to disciplinary probation for a specified period of time, withdrawal of privileges, indefinite probation, term suspension, indefinite suspension without automatic right of re-admission, and expulsion. When a student's presence on campus is considered a threat to order, health or safety, the Provost or his or her designee may impose a mandatory leave of absence or conditions on the student's attendance.

Generally, prospective students are not asked about previous criminal records, with the exception of applicants to certain graduate and professional programs, such as the Law School. Employees, however, are required to disclose any and all convictions for a felony, crime of violence, dishonesty, or crime against property or involving the threat of violence in the past 10 years. A criminal record, if relevant to the position in question, is a factor that is considered in the employment process.

University Policies and Procedures are stated on pages 15-22 of the *Penn Book: Resources, Policies & Procedures Handbook*, which is available through the Office of the Vice Provost for University Life by calling (215) 898-8061.

## Student Residences

The University of Pennsylvania offers a variety of housing options on campus, ranging from high-rise apartments to College Houses to standard residence halls, and fraternities and sororities both on and off-campus. Penn's First-Year Residential Program is designed to enhance the undergraduate experience for first-

year students with housing options in Kings Court/English House and in the Quadrangle. Hamilton Village provides housing options for undergraduate students in both high-rise and low-rise residences, including three 24-story high-rise residences: Harnwell House, Harrison House and High Rise North. College Houses, which provide opportunities for their residents to participate in the operation of these communities, include Hill College House, Modern Language College House, Stouffer College House, Van Pelt College House, Ware College House, and W.E.B. DuBois College House. The Graduate Towers consist of Nichols House and Graduate Tower B, housing graduate and professional students. Mayer Hall provides housing for married students and their families. **If you have questions on room assignments, rents and billing, call (215) 898-8271; questions or concerns about residential services, call 573-DORM; or questions about the student residence program, call (215) 898-3547.**

The Division of Public Safety has regular contact with those responsible for the campus grounds and lighting to ensure that the shrubs, bushes, and greenery throughout the campus is appropriate and well-maintained and that campus lighting is appropriate.

### 1996-97 Academic Year

Undergraduate Student Enrollment:	11,508
Graduate and Professional Student Enrollment:	10,361
No. of Undergraduate Students in Campus Housing:	6,000
No. of Graduate and Students in Campus Housing:	1,200
No. of Non-Student Employees as of Jan. 1, 1997:	15,851

Housing for first-year undergraduate students is processed randomly by computer program for those applications received by May 1; the program attempts to assign students to one of their top three choices. Students applying after May 1, including transfer students, are processed in order of the receipt of their application. Upper-class students are assigned housing through a retention, lottery, or special program process. Graduate and professional students are assigned housing in the order of the receipt of their application. Room changes are made during scheduled periods in October, December and February, given availability of space. Emergency room changes can be made at any time upon the recommendation of a member of the residence hall staff.

The University of Pennsylvania maintains three undergraduate high-rise residence halls, two graduate high-rise residences, and one graduate low-rise residence as open residences during the winter break between semesters. All other residences are closed to students, who are wel-

come to stay in an open building during the break.

Entrances to all student residences are either locked or closely monitored by security personnel, and access to these facilities is limited to residents, faculty, staff, and authorized contractors, who are admitted only during certain hours and only with valid identification. Access to most student residences at Penn is monitored electronically by a card access system. Those without a valid PENNcard are considered visitors and will be admitted only after the presentation of valid identification and with the approval of their host, who will be responsible for their conduct. All student rooms are equipped with dead bolt or Mortis locks with anti-carding devices.

The Division of Public Safety is available to provide firesides, seminars, forums, and other presentations on campus safety and security to those living in student residences. Campus safety and security is discussed as a matter of course at residence hall meetings.

## Use of Facilities

The facilities at the University of Pennsylvania exist to house or support the tripartite mission of the institution: teaching, research, and service. The use of these by University groups is permissible, given the facilities are available, and by approved non-University organizations under certain circumstances. Permission to use these facilities does not constitute University endorsement of the activities. The policy on use of facilities is stated on pages 35-36 of the *Penn Book: Resources, Policies & Procedures Handbook*, which is available through the Office of the Vice Provost for University Life by calling (215) 898-8061. If you have questions on the use of the facilities at Penn, please contact the **Director of Student Life Activities and Facilities by dialing 8-5552 from a campus telephone or (215) 898-5552 from off-campus.**

**Note:** The University of Pennsylvania does not discriminate on the basis of race, sex, sexual orientation, religion, color, national or ethnic origin, age, disability, or status as a Vietnam Era Veteran or disabled veteran in the administration of its educational policies, programs, activities; admissions policies; scholarship or loan awards; athletic, or other University-administered programs; or employment. Questions or complaints regarding this policy should be directed to the **Director of Affirmative Action by calling (215) 898-6993 or (215) 898-7803.**

*Tables showing the Campus Crime Statistics for the University of Pennsylvania are on the following page.*



## The Pennsylvania College and University Security Information Act

### Campus Crime Statistics for the University of Pennsylvania

The Pennsylvania College and University Security Information Act requires the release of crime statistics and rates to students and employees, and it requires that those statistics be available to applicants and new employees upon request. The rate is based on the actual number of Full Time Equivalent (FTE) students and employees.

The index in the table below is based on incidents per 100,000 people. The University's FTE population for 1994 was 34,786; for 1995 it was 35,473; and for 1996 it was 45,315.

Offenses	1994		1995		1996	
	Offenses Known	Index 100,000	Offenses Known	Index 100,000	Offenses Known	Index 100,000
Criminal Homicide	0	0	0	0	0	0
Forcible Rape	0	0	4	11.276	0	0
Robbery	38	109.212	18	50.742	23	50.738
Aggravated Assault	4	11.496	6	16.914	7	15.442
Simple Assault	37	106.338	33	93.027	27	59.562
Burglary	100	287.400	75	211.425	104	229.424
Theft	1130	3247.62	1189	3351.791	1095	2415.57
Motor Vehicle Theft	61	166.692	34	95.846	46	101.476
Attempted M.V. Theft	15	40.236	13	36.647	8	17.648
Arson	3	8.622	0	0	1	2.206
Forgery/Counterfeiting	5	14.370	2	5.638	2	4.412
Fraud	6	17.244	7	19.733	19	41.914
Embezzlement	0	0	0	0	0	0
Stolen Property (Buying, Receiving and Possessing)	1	2.874	0	0	1	2.206
Vandalism	214	615.036	228	642.732	170	375.02
Weapons Offense	0	0	2	5.638	0	0
Prostitution and Commercialized Vice	0	0	0	0	0	0
Sex Offenses (except Rape and Prostitution)	11	31.614	8	22.552	12	26.472
Drug Abuse Violations	3	8.622	0	0	2	4.412
Gambling	0	0	0	0	0	0
Offenses Against Family	0	0	0	0	0	0
Driving Under Influence	0	0	0	0	2	4.412
Liquor Laws	5	14.370	0	0	2	4.412
Drunkenness (except Liquor Violation Laws)	0	0	0	0	1	2.206
Disorderly Conduct	27	77.598	33	93.027	18	39.708
Vagrancy	0	0	0	0	0	0
*All Other Offenses	219	629.406	201	566.619	194	427.964

\* All other offenses include harassment, harassment by communication, threats, unlawful restraint, loitering and prowling and trespass.

## Federal Crime Awareness and Campus Security Act

### Campus Crime Statistics for the University of Pennsylvania

The Federal Crime Awareness and Campus Security Act requires the release of statistics for criminal incidents and arrests on campus to all students and employees, and it requires that those statistics be available to prospective students and employees upon request. The following statistics are provided in compliance with the specific time periods, crime classifications, and arrest data mandated by federal law.

#### Campus Crime Report

January 1, 1994, through  
December 31, 1996

	1994	1995	1996
Murder	0	0	0
Sex Offenses			
Forcible Rape	0	4	0
Non-Forcible Offenses	11	8	12
Robbery	38	18	23
Aggravated Assault	4	6	7
Burglary	100	75	104
Motor Vehicle Theft	61	34	46
<b>Total</b>	<b>214</b>	<b>145</b>	<b>192</b>

#### Campus Arrest Data

January 1, 1996, through  
December 31, 1996

	1996
Weapons Offense Violation	0
Drug Abuse Violations	2
Liquor-Law Violations	2
<b>Total</b>	<b>4</b>

**To: Members of the Standing Faculty**  
**From: Peter Kuriloff, Chair, Faculty Senate**  
**Date: April 18, 1997**  
**Subject: Amendments to Proposed Procedure Governing Sanctions  
Taken Against Members of the Faculty**

Since 1992, various committees of the Senate Executive Committee and a joint Faculty Senate-administration task force have worked to revise the University's procedure by which alleged misconduct by faculty members may be investigated and sanctions imposed in cases where "just cause" is found. The goal in all of these discussions was to simplify and expedite the potentially lengthy process, while ensuring fairness and respect for the rights of an accused faculty member.

After several years of work and many revisions, a proposed revised procedure was approved by majority vote of the Faculty and adopted by the Faculty Senate on June 30, 1995. It was forwarded to the administration and the Trustees for their approval in August of 1995. That version (which would have replaced the existing procedures for "Suspension or Termination of Faculty for Just Cause," which can be found in the *Handbook for Faculty and Academic Administrators*, 1989, as revised 1991, on pages 47-51) incorporates into the "just cause" procedure the existing, separate procedure for "Misconduct in Research" (*Handbook*, pages 117-121), significantly lengthening and complicating the "just cause" process.

During the 1995-96 academic year, the Trustees raised several objections to the Faculty's proposed procedure. In particular, they were concerned about their apparent length and complexity, the amount of time it appeared to take from the initial complaint of misconduct to the conclusion of all proceedings, and the fact that the President had no means to question or modify a recommended sanction.

An ad hoc working group, consisting of the Faculty Senate Chair, Past Chair and Chair-elect, two Trustees, and representatives of the administration, met during the Spring and Summer of 1996 to address these concerns. After coming to agreement, the proposed changes were brought back to SEC for consideration early last Fall. SEC discussed them and directed the Senate Chairs to hold further discussions with the administration and Trustee representatives. The proposals were again revised and after further review, approved unanimously by SEC on April 2, 1997.

In the opinion of SEC, the resulting revisions involve only one major, substantive change from the version approved by the Faculty on June 30, 1995. Because the procedure governing "Misconduct in Research" is heavily dependent upon ever-changing Federal regulations, incorporating them into the "just cause" procedure both complicates the "just cause" procedure and makes the necessary process of periodic revision to the "Misconduct in Research" procedure extremely cumbersome. It has therefore been removed from the final version of the "just cause" procedure which appears in the following pages and is significantly simpler and more expeditious as a result. After further study, the separate "Misconduct in Research" procedure may be revised. In the meantime, the current version of the procedures for "Misconduct in Research" (*Handbook*, pages 117-121) remains in effect.

The only other substantive change in the "just cause" procedure allows the President to ask the Hearing Board to reconsider its recommendation of a sanction. The Hearing Board then reconsiders and its conclusion on reconsideration is determinative.

In the opinion of SEC the remainder of the changes in the "just cause" procedures, as they appear below, are improvements for clarity or technical correctness and do not substantively alter the procedures the faculty approved in June 1995.

A mail ballot will be sent to the faculty shortly with a two-week deadline for returning it. If approved by a majority vote of the Faculty, the procedure below will be forwarded to the administration and the Trustees for formal adoption. The amendments are given first and then the procedure is given in full, incorporating the amendments.

—Peter Kuriloff

## Amendments to Proposed Procedure Governing Sanctions Taken Against Members of the Faculty

April 2, 1997

### 1. Background.

**a. Approved Procedure.** Following discussion at the annual meeting of the University of Pennsylvania Faculty Senate on April 19, 1995, the Proposed Procedure Governing Sanctions Taken Against Members of the Faculty ("Approved Procedure") was adopted by the Faculty Senate on June 30, 1995, and forwarded to the Administration on August 14, 1995.

**b. Proposed Amendments to Approved Procedure.** As a result of discussions of the Approved Procedure among the Chair of the Faculty Senate, members of the University administration, and certain University Trustees, the Faculty Senate Executive Committee, at its meetings on January 15 and April 2, 1997, approved proposed amendments to the Approved Procedure and voted to submit the proposed amendments to the faculty for approval.

### 2. Proposed Amendments.

Upon approval by a majority of the standing faculty voting by written ballot, the Approved Procedures are amended as follows:

#### a. Section I.

(i) Paragraph I.A. of the Approved Procedure is amended by deleting the words "and 'Procedures Regarding Misconduct in Research'" and "and 117-121 respectively."

(ii) The definition of "faculty member" in paragraph I.B.5. of the Approved Procedure is amended by deleting the words "or research faculty, the academic support staff (not including students), or a post-doctoral fellow."

(iii) The definition of "major infraction of University behavioral standards" in paragraph I.B.8. of the Approved Procedure is amended by deleting the words "(Definition No. 12)" and is further amended by deleting the words "extortion of sexual relations within the University community" and substituting therefor the words "harassment of."

(iv) The definition of "major sanction" paragraph I.B.9. of the Approved Procedure is amended by adding the word "academic" before the words "base salary," by deleting the words "; reduction in total salary," and by deleting the words "removal of the right to submit specific research proposals internally or externally or the right to carry on specific external activities for compensation; denial of the use of University research or library facilities."

(v) The definition of "Minor sanction" in paragraph I.B.11. of the Approved Procedure is amended by deleting the words "; zero salary increases for a period not to exceed three years and assignment of special duties within the faculty member's capability" and substituting therefor the words "related to the minor infraction."

(vi) The definition of "Misconduct in Research" in paragraph I.B.12. of the Approved Procedure is amended by deleting that definition and substituting therefor a new definition of "Misconduct in Research Procedures" to read as follows:

12. "Misconduct in Research Procedures"—the "Procedures Regarding Misconduct in Research" set forth in the current Handbook for Faculty and Academic Administrators.

#### b. Section II.

(i) The first sentence of paragraph II.A. is amended and restated to read as follows:

Two types of charges, governed by two separate but related processes, are covered by these procedures: major infractions of University

behavioral standards and minor infractions of University behavioral standards.

(ii) Paragraph II.B is deleted.

(iii) Paragraph II.C. is amended by:

(a) redesignating it as paragraph II.B.;

(b) restating the caption to read

"B. Preliminary Procedures";

(c) restating the first sentence to read as follows:

Should a question arise regarding the possible imposition of a sanction, the Dean or Provost shall normally interview the respondent in the presence of any department chair concerned and afford opportunity for informal adjustment of the matter.

(d) deleting the words "faculty member" in the second sentence and substituting therefor the word "respondent";

(e) adding to the end of the third sentence the words "or the school CAFR."

(f) restating the fourth sentence to read as follows:

Relying on these consultations, the Dean or Provost shall decide whether to invoke the just cause procedures in a case involving major infractions of University behavioral standards, to impose minor sanctions directly in a case involving minor infractions of University behavioral standards, or to drop the matter.

(g) deleting the sixth sentence.

(iv) Paragraph II.D. is amended by redesignating it as paragraph II.C. and by adding, in the first sentence following the words "drop the matter," the words "or impose a minor sanction."

#### c. Section III.

(i) The first sentence of paragraph III.A. is amended and restated to read as follows:

If, having consulted with several members of the tenured faculty, the Dean or Provost concludes that the situation involves only a minor infraction of University behavioral standards, the Dean or Provost shall impose a minor sanction on the respondent.

(ii) The caption of paragraph III.A. is amended by deleting the word "Appeal" and substituting therefor the words "Application for Relief."

(iii) The first sentence of paragraph III.B. is amended by deleting the words ", except for a sanction recommended by a Hearing Board under Section V(G)."

#### d. Section IV.

Section IV is deleted.

#### e. Section V.

(i) Section V is redesignated as Section IV.

(ii) Paragraph V.A. is amended by redesignating it as paragraph IV.A. and by designating the first and second paragraphs as paragraphs 1. and 2. respectively.

(iii) Paragraph V.A.2 is amended by deleting in the last sentence the word "them" and substituting therefor the words "the potential members."

(iv) Paragraph V.B. is amended by redesignating it as paragraph IV.B.

(v) Paragraph V.C.1. is amended by redesignating it as paragraph IV.C.1. and the first sentence is amended by adding the word "to" following the words "University Tribunal or" and by deleting the words "prior to the date set for the hearing" and substituting therefor the words "after the potential members have been named."

(vi) Paragraph V.D. is amended by redesignating it as paragraph IV.D.

and by deleting the reference to "V(A)" and substituting therefor references to "paragraphs IV.A., B., and C."

(vii) Paragraph V.E. is amended by:

(a) redesignating it as paragraph IV.E.;

(b) designating the first four sentences as paragraph 1. and amending and restating the first four sentences to read as follows:

1. Once the composition of the Hearing Board is determined, the charging party shall promptly send to the Chair of the Hearing Board, the respondent and the Dean and Provost a written statement which sets forth in as much detail as is practicable the grounds for the complaint and for the recommendation of a major sanction. In the case of misconduct in research, the report of the formal investigation committee issued under the Misconduct in Research Procedures shall be included. The notice to the respondent shall be by certified mail. To determine whether formal hearings shall take place, the Hearing Board shall immediately consider the statement from the charging party, consult the relevant documents, and afford the charging party opportunity to present oral and written argument, but shall not hold a hearing to receive evidence.

(c) designating the fifth, sixth, and seventh sentences as paragraph 2. and deleting the reference to "III(A)" in the seventh sentence and substituting therefor a reference to "paragraph III.A.";

(d) designating the eighth sentence as paragraph 3;

(e) adding the ninth sentence as paragraph 4 and adding to the end of the ninth sentence the words "unless circumstances clearly warrant a delay, in which case the record shall detail reasons for the delay.";

(f) deleting the tenth sentence.

(viii) Paragraph V.F. is amended by:

(a) redesignating it as paragraph IV.F.;

(b) deleting from the caption the words "Submit Evidence" and substituting therefor the words "a Hearing";

(c) deleting from the first sentence the words "submit evidence" and substituting therefor the words "a hearing";

(d) deleting from the third sentence the first word, "A," and substituting therefor the words "The charging party shall supply to the Chair of the Hearing Board a," deleting the words "this document" and substituting therefor the words "these procedures," and deleting the words "and shall be included with the notice";

(e) deleting the last sentence and substituting therefor the following sentence:

The Chair of the Hearing Board shall furnish these documents with the notice to the respondent.

(ix) Paragraph V.G. is amended by:

(a) redesignating it as paragraph IV.G.;

(b) deleting from the first sentence the words "ask to submit evidence before the hearing Board" and substituting therefor the words "request a hearing";

(c) deleting the reference to "Paragraph V(I)" and substituting therefor the reference to "paragraph IV.I."

(x) Paragraph V.H. is amended by:

(a) redesignating it as paragraph IV.H.;

(b) deleting from the first sentence the words "ask to submit evidence" and substituting therefor the words "request a hearing."

(xi) Paragraph V.I. is amended by:

(a) redesignating it as paragraph IV.I.;

(b) amending and restating the fourth sentence to read as follows:  
A transcript of the hearing shall be made at the expense of the University.

(xii) Paragraph V.J. is amended by:

(a) redesignating it as paragraph IV.J.;

(b) designating the first six sentences as paragraph 1. and designating the seventh and eighth sentences as paragraph 2.;

(c) adding a new paragraph following the eighth sentence to read as follows and designating the new paragraph as paragraph 3:

3. The respondent may request a reconsideration of the sanction by

submitting a written statement to the Chair of the Hearing Board within five days of the receipt of the panel's recommendation. In the event of such a request, the Chair shall reconvene the Hearing Board within 5 days of the receipt of the request and hear statements from both the complainant and the respondent, delivered either personally or through counsel. The Hearing Board may, by majority vote, elect to recommend an increased or a decreased sanction; if the Board votes not to change its recommendation, the initial recommendation remains in force. The Chair of the Hearing Board shall communicate its recommendation to the President and to the respondent in writing no later than five days after the hearing on the request for reconsideration of sanction.

(d) designating the ninth sentence as paragraph 4. and restating the ninth sentence to read a follows:

In either case the respondent may, within thirty working days following the receipt of the documents (i.e., thirty days, including the 15 days allowed for a reconsideration of sanction), send to the President any objections to the findings, conclusions or recommendations of the Hearing Board.

(xiii) Paragraph V.K. is amended by:

(a) redesignating it as paragraph IV.K.;

(b) deleting from paragraph 2. the words "imposition of a minor instead of a major sanction" and substituting the words "reduction in the severity of a sanction";

(c) adding a new paragraph 4. between the paragraphs 3. and 4. to read as follows:

4. The President may request reconsideration of the sanction recommended by a hearing board by submitting a written statement to the Chair of the Hearing Board within 5 days of the receipt of the panel's recommendation and the respondent's objections. In the event of such a request, the Chair shall reconvene the Hearing Board within 5 days of the receipt of the request and hear statements from both the President and the respondent, delivered either personally or through counsel. The Hearing Board may, by majority vote, elect to recommend an increased or a decreased sanction; if the Board votes not to change its recommendation, the initial recommendation remains in force. The Chair of the Hearing Board shall communicate its recommendation to the President and to the respondent in writing no later than five days after the hearing on the request for reconsideration of sanction.

(d) redesignating paragraph 4 as paragraph 5 and deleting the reference to "V(I)" and substituting therefor the reference to "IV.I.";

(e) redesignating paragraph 5 as paragraph 6, deleting the words "two weeks" and substituting therefor the words "ten days," and deleting the reference to "V(L)" and substituting therefor the reference to "paragraph IV.L."

(xiv) Paragraph V.L. is amended by:

(a) redesignating it as paragraph IV.L.;

(b) deleting the references to "V(K)(4)" and "V(K)(3)" and substituting therefor references to "paragraph IV.K.4." and "paragraph IV.K.3." respectively.

(xv) Paragraph V.M. is amended by:

(a) adding, in the first sentence following the words "date of termination," the words "and a date of termination of salary and benefits";

(b) deleting the second sentence.

#### **f. Section VI.**

Section VI is redesignated as Section V.

#### **g. Section VII.**

(i) Section VII is redesignated as Section VI.

(ii) Paragraph VII.A. is amended by deleting the word "repair" and substituting therefor the word "ameliorate."

#### **h. Miscellaneous.**

The Approved Procedures are amended by deleting in each case the words "five," "ten," "fifteen," "twenty," "twenty-five," and "thirty" and substituting therefor the words "5," "10," "15," "20," "25," and "30."

**In the following pages is the Proposed Procedure as it would become, with the above amendments noted as additions and deletions.**

**Prefatory Note to Faculty:** *Following are the proposed procedures as they would be restated pursuant to the proposed amendment, dated April 2, 1997, to the procedures approved by the standing faculty after discussion at the annual meeting of the Faculty Senate on April 19, 1995, approval by a majority of the faculty votes cast, adopted by the Faculty Senate on June 30, 1995, and forwarded to the Administration on August 14, 1995 ("Approved Procedures"). Additions to the text of the Approved Procedures are indicated by underline and deletions by [brackets].*

## Proposed Procedure Governing Sanctions Taken Against Members of the Faculty

*(Restated as under the proposed amendment dated April 2, 1997)*

### I. Introduction and Definitions

#### A. Introduction

The imposition of a sanction on a faculty member of the University of Pennsylvania is a rare event. However, when situations that might lead to such an action arise, they must be handled fairly and expeditiously. It is essential to have a process that both protects the rights of faculty members and addresses the legitimate concerns of the University. This policy replaces the previously existing "Suspension or Termination of Faculty for Just Cause" [and "Procedures Regarding Misconduct in Research"] (*Handbook for Faculty and Academic Administrators* 1989, as revised 1991, pages 47-51 [and 117-121 respectively]) and also modifies the "Procedures of the Senate Committee on Conduct" (*Almanac* October 31, 1989).

Any cases initiated after this policy is in force, even if the alleged actions preceded its adoption, will be governed by the procedures prescribed here. This document simplifies the previous processes and relates them to a Dean's procedures for imposing minor sanctions. The result is a more coherent and less cumbersome process. These procedures do not change the scope or powers of any Academic Freedom and Responsibility Committee as defined in Article 10 of the Statutes of the Trustees (1983).

#### B. Definitions

1. "Charging party"—the Provost, a Dean, a Provost's or Dean's designee who shall be a faculty member of the University, or a Group for Complaint (Definition No. 6).

2. "Complainant"—individual bringing to the attention of a Dean or the Provost a situation that may call for a sanction (Definition No. 14) against a faculty member (Definition No. 5). The complainant may be a student or faculty or staff member of the University, or any individual outside the University who believes that a major infraction (Definition No. 8) or minor infraction (Definition No. 10) of University behavioral standards by a faculty member has occurred.

3. "Counsel"—an advisor, who may be an attorney.

4. "Dean"—the Dean of one of the University's schools.

5. "Faculty member"—a member of the standing faculty, or a standing faculty clinician-educator, or research faculty, the academic support staff (not including students), or a post-doctoral fellow].

6. "Group for Complaint"—a charging party elected by the standing faculty of a school, by a secret ballot, from its own tenured professors which by the fact of its election shall be empowered to take action that may result in the imposition of a major sanction (Definition No. 9) pursuant to these procedures. The size of the Group for Complaint shall be determined by the faculty but shall not be less than three.

7. "Hearing Board"—either the University Tribunal or the School Committee on Academic Freedom and Responsibility (CAFR). The respondent shall determine whether the Hearing Board will be the University Tribunal (Definition No. 18) or the School CAFR.

8. "Major infraction of University behavioral standards"—an action involving flagrant disregard of the rules of the University or of the customs of scholarly communities, including, but not limited to, serious cases of the following: plagiarism; misuse of University funds; misconduct in research [(Definition No. 12)]; repeated failure to meet classes or carry out major assigned duties; harassment of [extortion of sexual relations within the University community,] improperly providing controlled substances to, or physical assault upon, a member of the University community; the

bringing of charges of major or minor infractions of University standards against a member of the University community, knowing these charges to be false or recklessly indifferent to their truth or falsity; violation of the University's conflict of interest policy or commission of serious crimes such as, but not limited to, murder or rape.

9. "Major sanction"—serious penalties that include, but are not limited to, termination; suspension (Definition No. 15); reduction in academic base salary [; reduction in total salary]; zero salary increases stipulated in advance for a period of four or more years [; removal of the right to submit specific research proposals internally or externally or the right to carry on specific external activities for compensation; denial of the use of University research or library facilities].

10. "Minor infraction of University behavioral standards"—an action involving disregard of the University's rules or of the customs of scholarly communities that is less serious than a major infraction.

11. "Minor sanction"—penalties less serious than a major sanction that may include, but are not limited to, a private letter of reprimand; a public letter of reprimand; special monitoring of specific future research, teaching, supervision of students, or other activities [related to the minor infraction; zero salary increases for a period not to exceed three years and assignment of special duties within the faculty member's capability].

12. "Misconduct in research"—fabrication, falsification, plagiarism, or deception in proposing, carrying out or reporting results of research; or deliberate deviations from accepted practice in carrying out research that create a risk of death or injury. It does not include honest error or honest differences in interpretation or judgment in evaluating research methods or results. It does include failure to follow agreed upon protocol if this failure results in unreasonable risk of harm to humans or other vertebrates.]

12. "Misconduct in Research Procedures"—the "Procedures Regarding Misconduct in Research" set forth in the current *Handbook for Faculty and Academic Administrators* [1989, as revised 1991, pages 117-121].

13. "Respondent"—the faculty member complained against.

14. "Sanction"—penalties imposed by the Trustees, the President, the Provost, or a Dean on a faculty member.

15. "Suspension"—temporary removal of all or a substantial portion of a faculty member's University activities with or without compensation.

16. "Termination"—cancellation of a faculty member's appointment and compensation, as of a certain date.

17. "University Just Cause Panel"—a University-wide Panel from which University Tribunals are chosen. This Panel shall be composed of tenured professors: twelve from the School of Arts and Sciences; twelve from the School of Medicine; six each from the School of Engineering and Applied Sciences, the School of Veterinary Medicine, and the Wharton School; and three from each of the remaining schools of the University. They shall be appointed, for staggered three-year terms except where an appointment is to complete the term of a person who leaves the panel early. Terms start on July 1. Appointments may be renewed.

The Chair of the Faculty Senate, after consultation with the Past Chair and Chair-elect, has the responsibility for designating the members of the Panel from current or past members of the various School Committees on Academic Freedom and Responsibility and/or past members of the Senate Committee on Academic Freedom and Responsibility (SCAFR).

This shall be done in consultation with the current or past chairs of the various Committees on Academic Freedom and Responsibility, and with



due regard for the need for appropriate diversity on University Tribunals. It is also the responsibility of the Chair of the Faculty Senate to inform the prospective members of the Panel about their responsibilities as members of a Tribunal.

18. "University Tribunal"—a body of six tenured professors selected from the Just Cause Panel to hear evidence in a particular case. No more than two members of a Tribunal shall hold primary appointments in the same school. Not less than one of the members shall be from the school of the respondent. The Tribunal shall be created by the process described below. That process shall continue until a Tribunal of six that includes at least one member of the faculty of the school of the respondent can be designated. Once the members of the Tribunal have been designated, they will then elect a chair. Members of the Tribunal shall serve until the case is completed regardless of the termination date of their appointment to the University Just Cause Panel. The Chair of the Tribunal shall conduct the Tribunal's business and preside at hearings but not cast votes except to break ties. Once having served as members of a Tribunal, faculty members are excused from further membership on the University Just Cause Panel for the remainder of their terms. The Chair of the Faculty Senate shall designate a faculty member from the same school to serve the remainder of the term in accordance with the process described in Definition No. 17.

19. "Working days"—shall mean Mondays through Fridays except when the University is officially closed.

## **II. Suspension or Termination for Just Cause: Preliminary Procedures**

### **A. Types of Charges**

Two [three] types of charges, governed by two [three] separate but related processes, are covered by these procedures: [misconduct in research, other] major infractions of University behavioral standards and minor infractions of University behavioral standards. In each situation, appropriate action shall be initiated promptly by a member of the University administration who shall normally be the Dean of the school in which the faculty member's primary appointment lies but who may, in unusual circumstances, be another Dean or the Provost. The Dean or Provost may act personally or through a delegate.

### **B. Preliminary Procedures Investigation**

[When a Dean or the Provost has been made aware of a situation which may involve the types of charges mentioned above, the Dean and the Provost shall consult with each other and determine whether to initiate a preliminary investigation. If they decide to initiate a preliminary investigation, the chair of the department, if any, will be consulted and the faculty member will be notified. This investigation will usually be carried out by a committee consisting of two tenured faculty members whose primary appointments are not in the same department (for schools organized in departments) or school (for schools not organized in departments). In the case of misconduct in research, the faculty members must be appropriately knowledgeable in the relevant field. However, in special circumstances, the preliminary investigation may be carried out by other individuals or agencies. In all cases, the Dean and the Provost shall consult with each other and with at least three members of the tenured faculty concerning the format of the investigation and the personnel who should carry it out.]

[The Preliminary Investigating Committee shall interview those concerned, engage in fact finding and summarize its work in a report sent to the Dean and Provost. During these proceedings, all parties shall make every effort to protect the identity of the individuals involved.]

### **[C. Further Action by Dean or Provost]**

Should a question arise regarding the possible imposition of a sanction [Having received the report of the Preliminary Investigating Committee], the Dean or Provost shall normally interview the respondent [faculty member] in the presence of any department chair concerned and afford opportunity for informal adjustment of the matter. If the matter is adjusted informally to the satisfaction of the Dean or Provost and the respondent [faculty member], no further proceedings shall be invoked by them. If the matter is not adjusted informally, the Dean or Provost shall consult with several tenured members of the University faculty who are not currently members of the University Just Cause Panel or the school CAFR. Relying on these consultations [and on the report of the Preliminary Investigating Committee], the Dean or Provost shall decide whether to [proceed to the

formal investigation stage in a case involving misconduct in research, to] invoke the just cause procedures in a case involving [other] major infractions of University behavioral standards, to impose minor sanctions directly in a case involving minor infractions of University behavioral standards, or to drop the matter. If the decision is to drop the matter, the Dean or Provost shall notify the respondent and any complainant in writing. [In cases of alleged misconduct in research, a record of the preliminary investigation and the final decision shall be maintained in the Office of the General Counsel for the period required by the federal government.]

### **C. [D. ] Formation of a Group for Complaint**

If the Dean or Provost decides to drop the matter or impose a minor sanction, no further proceedings shall be initiated with the single exception of the faculty's prerogative to form a Group for Complaint. If a faculty has by resolution requested its Dean to examine a situation possibly involving imposition of a major sanction and within 15 [fifteen] working days following the date such resolution was adopted, neither the Dean, another Dean, nor the Provost has either initiated proceedings for imposition of a major sanction or provided reasons for not initiating such proceedings that are deemed satisfactory by the faculty, then, within 30 [thirty] working days, the faculty may elect from its own members a Group for Complaint. Members of the University Just Cause Panel and the School CAFR shall withdraw from faculty meetings when these matters are considered and shall not be eligible for membership on the Group for Complaint. The secretary of the faculty shall record the minutes of this meeting and attach as appendices any written information upon which the faculty's vote to elect the Group was based. If formed, the Group shall receive this material and promptly conduct an investigation and may initiate proceedings for imposition of a major sanction if it determines that there is substantial reason to believe that just cause exists therefor. A determination by the Group not to initiate further proceedings shall be reported to the faculty, the Dean, the Provost, the respondent and any complainant, with the Group's reasons for making such determination, and no further action shall be taken by the faculty. However, the Group for Complaint may recommend that the Dean or Provost, where appropriate, impose a minor sanction. If a Dean, Provost or Group for Complaint decides to pursue the case against the faculty member, that individual or group shall initiate other proceedings as described in the remaining sections of this policy.

## **III. Minor Sanction**

### **A. Imposition by Dean or Provost**

If, having [received the report of the Preliminary Investigating Committee and] consulted with several members of the tenured faculty [members], the Dean or Provost concludes that the situation involves only a minor infraction of University behavioral standards, the Dean or Provost shall impose a minor sanction on the respondent. He or she shall notify the respondent of this decision and take the steps necessary to put the sanction into effect after the two-week time period for the possible initiation of the mechanisms needed to create a Group for Complaint.

### **B. Application for Relief [Appeal] to Faculty Grievance Commission**

The respondent may apply to the Faculty Grievance Commission for relief from any minor sanction imposed by the Dean or Provost, [except for a sanction recommended by a Hearing Board under Section V(G)]. However, subsequent formation of a Group for Complaint requires that the Grievance Commission cease all activity regarding such relief until a final decision has been reached concerning a major sanction.

## **[IV. Misconduct in Research]**

### **[A. Initiation of Formal Investigation ]**

[If the Dean or Provost, relying upon the report of the Preliminary Investigating Committee and the consultations with tenured faculty members, or if a Group for Complaint believes that misconduct in research has occurred, there shall be a formal investigation. The charging party shall inform the respondent of the nature of the charges, identify any complainant to the respondent and notify both parties and, if required by law or regulation, any external organization funding the research, that a formal investigation is being initiated.]

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## **[B. Formation of Formal Investigating Committee]**

[The Dean or Provost shall then promptly appoint a Formal Investigating Committee consisting of at least three persons, none of whom is a member of the same department (or the same school if the school is not organized in departments) as, or a collaborator with, the respondent. The membership of a formal investigating committee shall be selected with the advice of the Chair, Past Chair and Chair-elect of the Faculty Senate. The committee members should be unbiased and have appropriate backgrounds for judging the issues raised. At least one of them must be a member of the faculty of the University. During the committee's proceedings, all parties shall make every effort to protect the identities of the respondent and any complainant.]

## **[C. Duties of Formal Investigating Committee]**

[The Formal Investigating Committee shall undertake a thorough investigation of the charges including a review of all relevant research data, proposals, reports, financial records, publications, correspondence, memoranda of telephone calls, etc. and the report of the Preliminary Investigating Committee. Whenever possible, interviews shall be conducted with the charging party, the respondent and any complainant as well as with others having information of relevance. Summaries of these interviews shall be prepared, provided to the interviewed party for comment or revision and included as part of the investigation file. During its proceedings, the Committee shall be advised by legal counsel. When appearing before the Committee, the charging party and the respondent may each be accompanied by independent counsel. Counsel may advise the party in question but shall not participate otherwise in the proceedings. The Committee shall not conduct trial-type hearings. The charging party and the respondent cannot be required to appear before the Committee at the same time.]

## **[D. Report of Formal Investigating Committee]**

[The Formal Investigating Committee shall normally complete the investigation within ten weeks of appointment. After its investigation is finished, the Formal Investigating Committee shall promptly submit a written report to the charging party with copies to the respondent by certified mail and to the Dean and Provost. The report shall describe the proceedings in detail and provide full documentation of the Committee's findings and conclusions. The respondent may send a written statement of objections to the report to the Provost within twenty working days following the date the report was sent by the Committee. The Provost shall promptly send the report of the Formal Investigating Committee, along with any statement of objection from the respondent, to the charging party, the Chair of the Faculty Senate and, if required by law or regulation, to any external organizations funding the research in question. The formal investigation process shall be completed within four months from the date of the appointment of the Committee.]

## **[E. Temporary Safeguards and Actions by Administration]**

[During the formal investigation, the Provost and the Dean shall take appropriate administrative action to protect the funds supporting sponsored research and to ensure the fulfillment of the purposes of any external funding. The Provost may apprise external funding organizations of any development during the formal investigation that may affect current or proposed funding of the respondent's research. If the formal investigation is terminated before completion, e.g., as a result of the resignation or death of the respondent, the Provost shall give written notification of this termination and the reasons therefor to any external funding organization.]

## **[F. Further Action by the Dean or Provost]**

[Having received the report of the Formal Investigating Committee, the Dean or Provost, relying primarily upon that document, but also noting the report of the Preliminary Investigating Committee and any statement of objections from the respondent, shall determine whether it appears that the charges are unfounded, or that a major or minor infraction of University behavioral standards has occurred.]

## **[G. Actions for Unfounded Charges]**

[If the charging party agrees that the charges are unfounded, the matter shall be dropped and the respondent, any complainant, and the Dean and Provost shall be notified.]

## **[H. Actions for Minor Sanction]**

[If the Dean or Provost believes that the respondent has committed a

minor infraction of University behavioral standards, he or she shall impose a minor sanction on the respondent. The respondent may apply to the Faculty Grievance Commission for relief. However, if a Group for Complaint is subsequently formed, the Commission shall cease all activity regarding such relief until a final decision has been reached concerning a major sanction.]

## **[I. Charging Party Initiates Appointment of Hearing Board]**

[If the charging party believes that the respondent has committed misconduct in research, the charging party shall proceed as indicated in Section V.]

## **[J. Involvement of Other University Committees]**

[Some forms of misconduct in research, such as failure to adhere to requirements for the protection of human subjects or to ensure the welfare of laboratory animals, are governed by specific federal regulations and are subject to the oversight of established University committees. However, violations involving failure to meet these requirements may also be covered by the procedures discussed here or by other duly established University rules and regulations.]

# **IV. [V] Major Sanction**

## **A. Charging Party Requests Formation of Hearing Board: Respondent's Options**

1. If the charging party believes that a major infraction of University behavioral standards has occurred, the charging party shall promptly request that the Chair of the Faculty Senate determine, within three working days, whether the respondent wishes to be heard by a University Tribunal or the school CAFR. If the respondent chooses the University Tribunal, the Chair of the Faculty Senate shall prepare [provide] a list of 10 faculty members from the University Just Cause Panel who will constitute the potential members of the University Tribunal.

2. The 10 potential members are to be drawn from a randomly ordered list of members of the University Just Cause Panel that is stratified to insure that at least two shall hold primary appointments from the school of the respondent and no more than three shall hold primary appointments from a single school. Only the Chair of the Faculty Senate and the Executive Assistant to the Faculty Senate Chair shall know the order of the names on this list. The Chair of the Faculty Senate shall provide the potential members [them] with copies of these procedures.

## **B. Charging Party and Respondent Informed of Potential Members of Hearing Tribunal**

If the respondent chooses to be heard by a University Tribunal, the Chair of the Faculty Senate shall, within 5 [five] working days following the respondent's choice, provide to the charging party and the respondent an alphabetic listing of the potential members of the Tribunal.

## **C. Disqualification of Potential Members of Hearing Board**

1. The charging party and the respondent each shall be entitled to move to disqualify for prejudice any potential member of the Hearing Board. Such motion shall set forth, in writing, the reasons therefor and shall be delivered to the Chair of the Faculty Senate if the hearing is to be conducted by a University Tribunal or to the chair of the School CAFR if the Hearing is to be conducted by that body not later than 15 [fifteen] working days after the potential members have been named [prior to the date set for the hearing].

2. Motions to disqualify members of the school CAFR shall be decided by the remaining members of the committee. If the remaining members decide that disqualification is proper, an alternate member, if any is available, shall serve as a substitute for the disqualified member. If an alternate member is not available, the remaining members shall select a substitute.

3. If the respondent has chosen to be heard by a University Tribunal, the Chair of the Faculty Senate shall convene the potential members of the Tribunal after the deadline for motions to disqualify has passed, but no later than 25 [twenty-five] working days after the potential members have been named. The potential members shall immediately elect a pro tem chair from those members who are not named in a motion to disqualify. These members shall decide, by majority vote, whether to disqualify the members named in the motions. The pro tempore chair shall provide the list of potential members who have not been disqualified to the Chair of the Faculty Senate. The Chair of the Faculty Senate will designate the six

of the remaining eligible members who rank highest on the randomized list as the University Tribunal for this case.

#### **D. Members of University Tribunal Named**

If more than four members of the group or all members of the faculty of the school of the respondent are disqualified, the Chair of the Faculty Senate shall, without identifying those who were not excused, provide an additional list of four more than the number excused, in the manner provided in paragraphs IV.A., B., and C. [V(A)].

#### **E. Hearing Board Determines Whether to Proceed**

1. Once the composition of the Hearing Board is determined, the charging party shall promptly send to the Chair of the Hearing Board, the respondent and the Dean and Provost [the report of the Preliminary Investigating Committee and] a [succinct] written statement which sets forth in as much detail as is practicable [based on the earlier investigations, which summarizes] the grounds for the complaint and for the recommendation of a major sanction. In the case of misconduct in research, the report of the formal investigation committee issued under the Misconduct in Research Procedures [Formal Investigating Committee] shall be included. The notice to the respondent shall be by certified mail. To determine whether formal hearings shall take place, the Hearing Board shall immediately consider the statement from the charging party, consult the relevant documents, [including the records of previous Hearing Boards], and afford the charging party opportunity to present oral and written argument, but shall not hold a hearing to receive evidence.

2. If the Hearing Board concludes that the grounds stated, if true, would clearly not constitute just cause for imposition of a major sanction, it shall issue a report to that effect, sending copies to the charging party, the President, any complainant, and the respondent. The substance of the complaint shall not be the basis of any further proceedings with respect to major sanctions. However, the Hearing Board may remand the case to the Dean or Provost for further proceedings or actions in accordance with paragraph III.A. [III(A)] that relates to a minor sanction.

3. If the Hearing Board concludes that the grounds stated, if true, might constitute just cause for the imposition of a major sanction, and it believes that there is probable cause that in further proceedings the grounds stated will be found to be true, it shall conduct such proceedings as hereinafter provided.

4. The Hearing Board shall normally issue its determination within 15 [fifteen] working days of receiving the complaint, unless circumstances clearly warrant a delay, in which case the record shall detail reasons for the delay [If the Hearing Board fails to issue a determination within thirty working days, the substance of the complaint shall not be the basis of any further proceedings with respect to major sanctions].

#### **F. Notification of Right to a Hearing [Submit Evidence]**

If further proceedings are conducted, the Chair of the Hearing Board shall send to the respondent, by certified mail, written notice that the respondent may preserve the right to a hearing [submit evidence] by notifying the Hearing Board's Chair, in writing, within 15 [fifteen] working days following the respondent's receipt of such notice. The Hearing Board may at its discretion and in exceptional circumstances, grant a short extension of this time period at the respondent's request and upon a showing of good cause. The charging party shall supply to the Chair of the Hearing Board a [A] summary statement of the evidence to be presented by the charging party, including a list of witnesses, copies of relevant extracts from the Statutes and standing resolutions of the Trustees of the University of Pennsylvania, a copy of these procedures, [this document] and copies of any other University documents that are relevant to the respondent's procedural rights in this matter. The Chair of the Hearing Board shall furnish these documents with the notice to the respondent [and shall be included with the notice. These documents shall have been supplied to the Chair of the Hearing Board by the Dean or Provost].

#### **G. Hearing Board Procedure in the Absence of Participation by Respondent**

If the respondent does not request a hearing [ask to submit evidence before the Hearing Board], the charging party shall nevertheless present evidence to the Hearing Board. The Hearing Board shall then make a written report of its findings, conclusions and recommendations and send

a copy of its report and a transcript of the testimony prepared as in paragraph IV.I. [Paragraph V(I)] below to the charging party and the respondent within 20 [twenty] working days following the receipt of the charging party's evidence. If the Hearing Board concludes that the charging party has not shown clear and convincing evidence of just cause for the imposition of a major sanction, no major sanction may be imposed, and the substance of the complaint shall not be the basis for any further proceedings with respect to major sanctions. However, based on clear and convincing evidence of a minor infraction, the Hearing Board may recommend that the Dean or Provost impose a minor sanction and he or she will normally implement that recommendation. If the Hearing Board concludes that the charging party has shown clear and convincing evidence of just cause for the imposition of a major sanction, the Hearing Board shall promptly send to the President a copy of its report recommending the major sanction and a transcript of the testimony.

#### **H. Hearing Board Procedure when Respondent Participates**

If the respondent requests a hearing [asks to submit evidence] before the Hearing Board, the Chair of the Hearing Board shall notify the charging party and the respondent in writing of the date and place of the hearing, within 5 [five] working days following the receipt of the respondent's request. The hearing shall be held at the earliest date that is practicable to the respondent, charging party and Hearing Board, and ordinarily no more than three months from the notification date. Delay of the hearing beyond three months from the notification date shall require a written request to the Hearing Board from the charging party or respondent, and be granted only if the Hearing Board deems that more time is required. Not less than 15 [fifteen] working days prior to the date of the hearing, the respondent shall provide to the Chair of the Hearing Board a written answer to the charging party's statement of the grounds for the complaint and for the recommendation of a major sanction.

#### **I. Procedures During a Hearing**

Hearings shall be private with two exceptions. The respondent shall have the right to invite as observers representatives of national professional academic associations concerned with matters of academic freedom and tenure. Other observers may be invited to attend if the charging party, the respondent and the Chair of the Hearing Board consent. A [verbatim] transcript of the hearing shall be made at the expense of [taken by a stenographer furnished by] the University. The charging party has the burden of proving by clear and convincing evidence that there is just cause for imposition of a major sanction against the respondent. Both the respondent and the charging party may appear personally throughout the hearing; both may have the assistance of counsel. The Hearing Board shall afford the respondent and the charging party the opportunity to present oral and written argument. The respondent and the charging party shall have the right to confront the witnesses and to question them personally or through counsel. They may call witnesses and shall receive the cooperation of the University administration in securing the attendance of such witnesses and the production of such documents as may be relevant. The extent of document production shall be determined by the Hearing Board. The Hearing Board may permit the use of electronic or other means, such as telephone conference calls in lieu of the appearance of witnesses.

#### **J. Report of Hearing Board and Objections of Respondent**

1. Upon concluding the hearings, the Hearing Board shall deliberate privately. It shall determine solely upon the basis of information presented at the hearings whether or not the charging party has established by clear and convincing evidence that a major infraction has occurred. If so, the Hearing Board shall recommend what the major sanction should be. Decisions shall require a majority of the members participating. If the Hearing Board determines that just cause for the imposition of a major sanction has not been established, no major sanction may be recommended. In that event, the Hearing Board may recommend a minor sanction if it determines that a minor infraction has occurred.

2. The Hearing Board shall conclude its deliberations promptly and send to the President a written report in which it shall set forth its findings, conclusions, recommendations, and a transcript of the hearings. Copies of these documents shall also be sent to the respondent by certified mail, and to the charging party, and the Dean and/or Provost.

3. The respondent may request a reconsideration of the sanction by submitting a written statement to the Chair of the Hearing Board within 5

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days of the receipt of the panel's recommendation. In the event of such a request, the Chair shall reconvene the Hearing Board within 5 days of the receipt of the request and hear statements from both the complainant and the respondent, delivered either personally or through counsel. The Hearing Board may, by majority vote, elect to recommend an increased or a decreased sanction; if the Board votes not to change its recommendation, the initial recommendation remains in force. The Chair of the Hearing Board shall communicate its recommendation to the President and to the respondent in writing no later than 5 days after the hearing on the request for reconsideration of sanction.

4. In either case the [The] respondent may, within 30 [thirty] working days following the receipt of the documents (i.e., 30 days, including the 15 days allowed for a reconsideration of sanction), send to the President any objections to the findings, conclusions or recommendations of the Hearing Board.

## K. President's Actions

1. The President, relying only upon the materials forwarded by the Hearing Board and objections submitted by the respondent, shall normally accept the Hearing Board's recommendations.

2. The President may depart from the Hearing Board's recommendations only in exceptional circumstances and only after consulting the individuals then serving as the Chair, Past Chair and Chair-elect of the Faculty Senate ("the three Chairs"). Permissible departures are limited to (a) discontinuance of the proceedings for failure of proof and (b) the reduction in the severity of a sanction [imposition of a minor instead of a major sanction]. When a departure is proposed, the President shall send to the three Chairs all of the documents received from the Hearing Board and the respondent and shall secure their views before taking action. Should any of the three Chairs be unable to serve, the other two Chairs shall select a replacement from the available former Chairs of the Faculty Senate.

3. If the proceedings are discontinued, the substance of the complaint shall not be the basis for any further proceedings with respect to major sanctions.

4. The President may request reconsideration of the sanction recommended by a hearing board by submitting a written statement to the Chair of the Hearing Board within 5 days of the receipt of the panel's recommendation and the respondent's objections. In the event of such a request, the Chair shall reconvene the Hearing Board within 5 days of the receipt of the request and hear statements from both the President and the respondent, delivered either personally or through counsel. The Hearing Board may, by majority vote, elect to recommend an increased or a decreased sanction; if the Board votes not to change its recommendation, the initial recommendation remains in force. The Chair of the Hearing Board shall communicate its recommendation to the President and to the respondent in writing no later than 5 days after the hearing on the request for reconsideration of sanction.

5. The President may remand the matter to the Hearing Board because there has been a significant defect in procedure. If the matter is remanded to the Hearing Board, the President shall send to the Hearing Board the respondent's objections, if any. The Hearing Board shall reconvene, take steps to repair any procedural defects, and hold an additional hearing, if needed, granting to the parties those procedural rights provided in paragraph IV.I. [V(I)]. The Hearing Board shall then send a second report to the President, along with the transcript of any second hearing, with copies to the respondent by certified mail, and to the charging party and the Dean and/or Provost.

6. [5.] Within 10 days [two weeks] of the receipt of the materials forwarded by the Hearing Board, the President shall send to all interested parties a letter stating his or her decision and the reasons. The President's decision, except a decision to remand or a decision that is the subject of an appeal under paragraph IV.L. [V(L)], is final within the University.

## L. Appeal of President's Decision

If the respondent objects that there has been a significant defect in procedure but the President declines to remand the matter to the Hearing Board under paragraph IV.K.4. [V(K)(4)], the respondent may appeal on that ground in writing to SCAFR. The President shall promptly forward to SCAFR all of the documents upon which the decision was made. SCAFR shall review the documents forwarded by the President and the respondent's

written statement of appeal and shall decide the appeal within 30 [thirty] working days of the receipt of the documents. If SCAFR finds that there has been a significant defect in procedure, it shall remand the matter to the Hearing Board for further proceedings in accordance with paragraph IV.K.3. [V(K)(3)]. Otherwise, the President's decision shall be final.

## M. Termination

If the Hearing Board recommends that the respondent's appointment be terminated, it shall also recommend a date of termination and a date of termination of salary and benefits, which cannot be more than one year beyond the date of the President's final action. [If the President accepts the Hearing Board's recommendation to terminate the respondent's appointment, he or she must also accept the termination date recommended by the Hearing Board. Salary and benefits shall cease on that date.]

## N. Hearing Board Records

On the completion of the case the Hearing Board shall transfer all of its records to the office of the Faculty Senate. These records shall be stored in a locked file. The Chair, Past Chair and Chair-elect of the Faculty Senate, are responsible for obtaining and maintaining these records.

## V.[VI.]Interim Suspension

A faculty member shall not be suspended prior to the conclusion of proceedings under this policy unless continuance poses a threat of immediate harm to the faculty member or others. Any such suspension shall be with salary. A Dean's decision to suspend a faculty member shall be accompanied by a concise statement of the factual assumptions on which it is based and the grounds for concluding that the faculty member's continuance threatens immediate harm. Such a decision should be made only after consultation with the school CAFR, which should, whenever possible, afford the faculty member an opportunity to be heard, and to present evidence why interim suspension should not be imposed.

## VI. [VII.] General Matters

### A. No Public Statements When Proceedings Are in Progress

To preserve the integrity of the process, members of the University community should avoid public statements about charges and proceedings that involve minor or major sanctions until the proceedings have been completed.

### B. Actions When Charges Are Unfounded

If final action under Section IV [V] completely exonerates the respondent, the University shall reimburse that individual for the reasonable costs and expenses, including attorney fees, incurred in his or her defense. In that event the administration should also attempt to ameliorate [repair] any damage wrongly done to the reputation of the respondent or of any complainant, provided that the complainant acted in good faith. If it appears that the complainant did not act in good faith, the administration shall investigate and take appropriate action.

### C. Statements Following a Minor Sanction

If the respondent has been subjected to a minor sanction, the Dean or Provost, after consultation with the President and discussion with the Chair of the Faculty Senate, may publicize this fact.

### D. Statements Following a Major Sanction

If the respondent has been subjected to a major sanction, the President, after informal discussion with the Chair, Past Chair and Chair-elect of the Faculty Senate, shall publish in *Almanac* a statement describing the case and its disposition in appropriate detail.

## Aide Memoir: Initialization of Panels

The following statement shall be sent to the Chair of the Faculty Senate on approval of this policy:

Initially, one-third of the members of the University Just Cause Panel chosen from each school shall serve for one year, one-third for two years and one-third for three years. Thereafter, all appointments shall be for three-year terms, except where appointments are made to complete the terms of persons who leave the panel before the end of their terms.