

# Almanac

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*Let's Get the Word Out  
About Why Science Matters*  
(Neal Lane, Director of NSF)

## Keeping Up with Construction

Once it was customary for construction sites to be surrounded with plywood walls, some punctuated with peepholes waggishly designated for "key-holders." But Sansom Common is being built out in the open, with only a chain-link fence surrounding the site at 36th and Walnut. The work still goes on the hard way (see the *Compass Feature "Mud, Sweat and Gear"*), but people can now keep track of this and other construction projects without leaving their desks. Facilities Management posts drawings and photographs at [www.upenn.edu/fm/](http://www.upenn.edu/fm/). By clicking on a map, browsers can see floor plans of the coming Inn at Penn, for example, and follow the progress of BRB II, the Perelman Quad, and the Roy and Diana Vagelos Laboratories for Advanced Science and Technology. The site also records the fire that tragically suspended work on the Charles Addams House.

Photo by Candace diCarlo

## NEWS IN BRIEF

### Street Smarts: September 17

Chicago Police Detective J.J. Bittenbinder, renowned for his his dramatic PBS TV workshops on personal safety, returns to Penn Wednesday, September 17 for a presentation in the Palestra 7:30 to 9:30 p.m. His tough-target tactics are designed to enhance people's ability to protect themselves, their property and their community, said a spokesman for the Division of Public Safety, sponsor of this second visit as well as the one given last fall. The demonstration is required for all freshmen, but is also open to all other students and to faculty, staff and Health System personnel. There is no charge for admission.



J.J. Bittenbinder

### Visions of Independent Africa

All members of the University community are invited to a celebration of Penn's African Heritage to be held Friday, September 12.

The program, titled "Visions of Independent Africa," honors the distinguished South African novelist Ezekiel (Es'kia) Mphahlele, a former faculty member here; Nnamdi Azikiwe, the first president of Nigeria; and H.E. Kwame Nkrumah, first president of Ghana. President Judith Rodin will open the program at 3:30 p.m. in Room 200 College Hall, followed by speakers Dr. Robert Lucid, Ambassador Patrick Cole, the Hon. Alassane D. Ouattara, and Dr. Francis K. Nkrumah.

A Louis Massiah film entitled *W.E.B. DuBois—A Biography in Four Voices* precedes the program; it starts at 1:15 p.m., and commentary by the filmmaker will follow.

### Penn Family Day: October 4

Saturday, October 4, is Penn Family Day—sponsored by the Division of Human Resources and supported by the Athletics Department and the Museum. The celebration will include free admission to the Museum for Penn faculty and staff families where visitors can tour the newest exhibitions, *Roman Glass* and *Eggi's Village*. There will be a Festival of Fun in Hill Field beginning at 3 p.m. featuring interactive games, activities and entertainment. Capping the day is football: *Penn vs. Towson*, at 6 p.m. at Franklin Field. Admission to the game is free for faculty and staff with tickets, and \$2 per ticket for family and friends. Details are to come.

### 25-Year Club: October 7

The 25-Year Club's 1997 dinner will be held Tuesday, October 7, in the University Museum; details are to be announced.

**Corrections:** In *Almanac* September 2, photograph of Dr. Kathryn Engebretson, p.3, was missing its credit; it is by *Candace diCarlo*. On the Faculty Senate's new nominations list, p. 5, At-large Candidate Dr. Mark Stern is incorrectly placed in sociology; he is at the *School of Social Work*.

## Associate Dean of Nursing: Dr. Marla Salmon

Dr. Marla Salmon, director of the Division of Nursing for the Department of Health and Human Services for the past six years, has joined the University as Associate Dean of the School of Nursing, where she will lead the School's master's and doctoral programs.

The appointment brings "truly an enormous asset to students and faculty at the School and throughout the University," said Dean Norma Lang.

Since 1991, when she took the highest nursing position in the federal government, Dean Lang said, "Dr. Salmon has been influential in facilitating nurses' involvement in health policy decision-making and has worked to ensure an adequate supply and distribution of qualified nursing personnel to meet the nation's health needs." She is a specialist in the areas of nursing workforce policy, public health nursing, and the development of public policies to guide nursing education and practice. At Penn she will guide the work of doctoral students and faculty interested in this area, and will participate in the School's Center for Health Services and Policy Research.

An alumna of the University of Portland who took her Ph.D. at Johns Hopkins, Dr. Salmon is recognized nationally and internationally for work such as the "Salmon White model" published in 1982, a conceptual model that delineates the scope and substance of public health nursing practice. Before joining DHHS she was chair of the curriculum in public health nursing at the University of North Carolina-Chapel Hill and director of the public health nursing program at the University of Minnesota. Currently she chairs the Global Advisory Group on Nursing and Midwifery for the World Health Organization (WHO) and provides international consultation also to the Pan American Health Organization and the Kellogg Foundation.



Dr. Salmon

## Assistant to VPUL: Dr. Max King



Dr. King

The coordinator of Penn State's University Scholars Program, Dr. Max King, has been named Assistant to the Vice Provost for University Life at Penn, where he will serve as staff officer for the VPUL's Director's Group and Core Resource Management Team; coordinate research and assessment activities in collaboration with the Provost's Research Office, faculty, staff, and students; and participate in policy development, planning, and the development of divisional reports and communications. "Max will work actively as a partner with graduate, professional, and undergraduate students on focus areas of high priority to Penn students," said the VPUL, Dr. Valarie Swain-Cade McCoullum.

Dr. King holds three degrees from Penn State: a B.S. in Biological Health, M.S. in Health Education, and Ph.D. from the Interdisciplinary Program in Educational Theory and Policy. His research focus is the multidimensional Methodology of Q-Analysis, or Polyhedral Dynamics, a higher-level structural analysis

approach derived from algebraic topology. He provided the first practical demonstration of the British mathematician Jeff Johnson's Theory of Stars.

Although his appointment there was primarily administrative, Dr. King also held an appointment as an Affiliate Assistant Professor and a member of the graduate faculty in the Department of Administration, Policy, Foundations, and Comparative/International Education. He taught educational foundations, comparative education, British education, research methods, and international education. He also has extensive experience in computer systems, developing mainframe and microcomputer research and thesis applications.

His program at Penn State is "consistently cited as one of the top honors programs in the country," Dr. McCoullum said. "Under his stewardship, the number of applicants to the 300-member Scholars Program more than doubled to 1600, and SAT averages of the incoming freshman group rose to 1470." Dr. King also directed a London Study Tour, in which University Scholars pursued university/archival research or theatre study options, and he had broad responsibilities in fostering undergraduate research—including the development of Honors Thesis writing workshops and research methods workshops. He is a member of the Board of Governors of the National Conferences on Undergraduate Research, serving on the Development and Finance Standing Committees.



The following statement is published in accordance with the Senate Rules. Among other purposes, the publication of SEC actions is intended to stimulate discussion among the constituencies and their representatives. Please communicate your comments to Senate Chair Vivian Seltzer or Executive Assistant Carolyn Burdon, Box 12 College Hall/6303, 898-6943 or [burdon@pobox.upenn.edu](mailto:burdon@pobox.upenn.edu).

## **Actions Taken by the Senate Executive Committee Wednesday, September 3, 1997**

**1. Academic Planning and Budget Committee and Capital Council.** Past Faculty Senate Chair Peter Kuriloff reported that the committee had not yet met this academic year.

Capital Council has met once to discuss ongoing projects. Voting on projects takes place by mail.

**2. Informal discussion with the President and Provost.** Faculty Senate Chair Vivian Seltzer noted that some questions for the President and Provost had been submitted in advance of the meeting by SEC members.

President Rodin drew attention to her [Welcome Back feature in Almanac September 2, 1997](#), giving an account of the University's progress on the [Agenda for Excellence](#). Responding to a SEC member, the President said the administration is concerned about holding down tuition costs and has taken cost-cutting steps. They are also working with the Federal government to realize overhead cost return on research at a time when the government share continues to decrease. The President stated that the SAS Dean search continues and that Professor Walter Wales will continue as interim dean.

The President observed that at the June international conference on information technology she was struck by how much further along Penn is in the use of technology than many other institutions. A Penn retreat was held one week later attended by a wide range of people. The Provost said the retreat produced a set of proposals that include consideration of new technologies and their effect on teaching as well as their global effect on a residential university. Questions emerged about the importance of the residential component of education as we confront issues of distance education.

Another question from a SEC member was whether the Financial Management Information System (FinMIS) reports to research investigators could provide only the information that was needed and omit the large amount of detail that was not needed to track research grant funds. The Provost said that shadow systems had been done away with and that under the new system a report standard has been set. The President noted that FinMIS now provides aggregated data that is defensible to the Federal government. Some people will receive more information than they require. Everyone has had to learn how to read the new reports generated by FinMIS and the form of the reports is regularly adjusted to meet campus needs. He invited faculty to organize a small group to meet with the Comptroller or to have the Comptroller attend a SEC meeting.

A brief discussion was held on the purpose and function of a survey recently conducted by the Director of Communication. Concern was expressed over the small number of individuals surveyed on which decisions may be made. The Faculty Senate Chair asked the President to get back to SEC with additional information.

At a SEC member's request the President reviewed the proposed vendor policy. Statistics show that as vending sites have been closed in other parts of the city the number of vendors has increased markedly in West Philadelphia around the University. Four years ago the campus area had 45 vendors. In 1997 that number has grown to 99 vendors. She said the goal is to rationalize vending on campus, not to close it down, and to provide healthy vending and safe vending areas for everyone who uses the vendors. She further stated that a communication problem had brought about the misunderstandings about the plans. Vendors had been consulted about the plans from the beginning. The proposed vendor policy will be discussed in City Council in the Fall.

Regarding the role of the University in setting up and supporting research, the President assured SEC that most research funding is provided by the University and invited SEC to communicate any University research funding cutbacks to her.

**3. Disability Policy.** The policy on short-term disability proposed by the 1996-97 Faculty Senate Committee on the Faculty (see below) was adopted unanimously.

**4. Information Technology.** Vice Provost for Information Systems and Computing James O'Donnell stated that they have an ongoing task of measuring and responding to technology demand. He pointed out that the information technology restructuring group recommended decentralized computing support and that was implemented July 1, 1997. The first point of computing support is now provided by individuals within the schools and units of the University rather than by a central office. He noted the overwhelming success of a new program that hires freshmen to provide basic level computer support in the residences. This semester 11 college houses are covered and all residences will be covered by next year. Then ISC will need to determine how and what services to provide for students living off campus. He went on to say that an information technology steering group of campus citizens meets twice a month to make harmony out of the varied groups on campus; many of the members are users as well as providers. The group discusses problems and solutions. Vice Provost O'Donnell also mentioned a two-day international conference organized by Engineering Dean Gregory Farrington. The first day was sponsored by the Consortium on Financing Higher Education (COFHE) on the future of distance education and implications for universities. The second day [one week later] focussed on specifics of addressing the questions raised the first day.

A speedy solution to providing computer support to students residing off-campus was urged by a SEC member given the rapidly increasing use of technology in teaching.

Responding to a question, the Vice Provost said that by using technology for information interchange that faculty-student face-to-face time can be more effective and more valuable.

Regarding a question about the rising cost of software and site licenses, the Vice Provost replied they would set up key servers for suitable software and had already done that for statistical software. He then invited people to let him know about other software that might be in demand and suitable.

**5. Faculty Liaisons to Trustee Committees.** Discussion was deferred to the next meeting.

## **Incident at VHUP**

Investigation continues into the report of an assault on a graduate student on August 28 at the Small Animal Hospital of the School of Veterinary Medicine, said Maureen Rush, director of police operations at Penn Public Safety.

About 7:30 a.m. that Thursday, workmen entering the corridor leading to the women's locker room found a 28-year-old woman unconscious, her mouth taped and her hands bound. She was taken to Thomas Jefferson Hospital where she was treated and released the same day, after providing police with the information that she had been struck from behind and had not seen her attacker.

At a press conference on the 29th, both Penn's Public Safety chief Thomas Seamon and Lt. Kenneth Coluzzi of the Philadelphia Police said that in May the student had reported a similar incident in a restroom at VHUP, and over the weeks that followed she had reported receipt of pornographic and threatening mail. Both also said they thought the woman was targeted specifically and that "It wasn't a random act toward a student or staff," as Mr. Seamon put it. Later Ms. Rush issued a statement for faculty, staff and students which noted "a great deal of rumor, and attendant publicity..." about the incident but added:

Candidly, we don't know exactly what happened, or why. We are, though, relieved that the victim, a student, is in good condition following a thorough examination at the hospital, and she is at home. We are very, very grateful for that. This incident is under investigation by the Philadelphia Police Department; we are cooperating and University Police are actively participating in the investigation. The evidence at this point gives us no reason to believe that anyone at the Veterinary School, or at Penn, is at risk from anything connected with this incident.

We will continue to keep you advised as the investigation of this incident progresses.

## **Revisions in Research**

Two documents affecting research at the University are published with revisions in this issue:

In the *Policy on Misconduct in Research*, [\[in this issue\]](#), a substantive change is the addition of a section that pertains to projects funded by the U.S. Public Health Service.

Guidelines for application to the internally-funded *Research Foundation*, [\[in this issue\]](#), have been rewritten and now emphasize that a specific cover sheet is required. The cover sheet, which could not be reproduced in a usable format in *Almanac*, is now on the Web and can be printed from the site, or requested from the Office of the Vice Provost for Research.

Sixty-three projects were funded in the Foundation's Spring 1997 cycle; [See this issue](#) for the topics and investigators.



*Dr. Hobstetter, c. 1968*

## John Hobstetter, Scientist and Planner

Dr. John N. Hobstetter, the first director of the Laboratory for Research in the Structure of Matter (LRSM) and a central figure in academic planning of the University during major changes that took place in the 'seventies, died on August 30, the day after a stroke from which he did not recover consciousness. He was 80.

A 1935 alumnus of MIT, where he took his bachelor's degree in chemical engineering, Dr. Hobstetter did graduate work in physical chemistry there, but in 1941 he moved to Harvard to pursue his doctorate in physical metallurgy. While earning his degree, he was a teaching fellow conducting undergraduate courses in physical and process metallurgy—but concurrently, during the intensive war years of 1942-46, he was engaged as technical director of a Harvard-based federal research project on the behavior of materials exposed to extreme conditions. He won two citations for his work there.

Awarded his S.D. in 1946, Dr. Hobstetter became an instructor and then assistant professor of engineering science at Harvard, teaching both graduate and undergraduate courses until 1952 when he joined Bell Laboratories as a

consultant on theoretical metallurgy and as the metallurgy unit's liaison to the Labs' physics groups.

Penn's Engineering school brought him back to academia in 1958 as associate professor of metallurgy, promoting him to full professor the following year—when he also won an award for distinguished undergraduate teaching. Meanwhile, he took part in the planning of a new kind of institute, one of four in the nation that ARPA (the Advanced Research Projects Agency) had designed in cooperation with scientists in academe—the Laboratory for Research in the Structure of Matter, devoted to the materials sciences and embracing solid-state physics, metallurgy, and inorganic and physical chemistry.

In 1960 he was named LRSM's first director, and long before he completed his seven years in office LRSM had established itself as the new national model for collaborative research.

In 1967 he was named Vice Provost for Research, assuming also the deanship of the Graduate School of Arts and Sciences the following year. Then in 1971, as Penn prepared for the massive new planning exercise that was to culminate in the "One University" project and the then record-breaking \$255 Million Campaign for the Eighties, Dr. Hobstetter was named Associate Provost for Academic Planning and Budget Administration. From this post he was to oversee the evolution of responsibility center budgeting and the development of new systems to support it. He was a markedly communicative planner, writing and speaking readily to convey the new ways of budgeting and planning to academics and nonacademics alike.

"John Hobstetter was one of our great educators," said Dr. Louis Girifalco, the University Professor of Materials Science and Engineering who was one of Dr. Hobstetter's successors both as director of LRSM and as Vice Provost for Research. "In addition to his outstanding teaching and excellent scientific work, John made important, lasting contributions to the policies and organizations of the University. He had a brilliant, integrative mind that anticipated many of the changes we have seen in academe in recent years. His contributions as Director of the Laboratory for Research on Matter, Vice Provost for Research and Associate Provost greatly increased our capacity to deal with these changes. Our research policy, planning procedures and responsibility center accounting owe their existence largely to his wisdom and foresight.

"His most important characteristic," Dr. Girifalco continued, "was an absolute integrity and commitment to academic values. He believed in the idea of the University in the highest sense and acted on that belief throughout his career. He was a wonderful human being who will be sorely missed."

Dr. Hobstetter is survived by a brother, James E. Hobstetter; a stepbrother, George K. Gaskell; his nephews and nieces and many friends. A memorial service is being planned at the University, and will be announced in *Almanac*.

— Prepared with the assistance of Perry Shuler  
ALMANAC September 9, 1997



*The symbol of Penn's Campaign for the Eighties was reportedly based on a scrap of paper retrieved after a meeting where John Hobstetter had explained the interrelatedness of programs at Penn.*

## Dr. Jack Reece, Historian and Teacher

Dr. Jack E. Reece, a historian of modern Europe who was noted both for his teaching and his prescient research into ethnic issues within European nations, died of a heart attack at Graduate Hospital on August 31, at the age of 56.

Retired for the past two years because of illness, Dr. Reece had been active on the faculty for over 25 years. A Phi Beta Kappa at Michigan, where he had taken his B.A. in 1963 and his M.A. in 1964, Dr. Reece had studied at Columbia and at McGill, and was completing his dissertation for the Ph.D. at Stanford when he became an instructor here in 1968. With the award of his doctorate he was made assistant professor in 1971. The importance of his research was summed up in a 1974 *Pennsylvania Gazette* cover story by Mary Ann Meyers, who said, "His book, *The Bretons Against France: Ethnic Minority Nationalism in 20th Century Brittany*, was published that year [1971] by the University of North Carolina Press. Al Reiber calls it 'a pioneering work that never got the full recognition it deserved because, at the time it was published, scholars thought the study of small nationalisms was a marginal area.' Now, of course, the toll taken by nationalistic rivalries in the former Yugoslavia suggest that Reece had hold of an important and persistent threat in the continental tapestry." In retirement he was at work on a book on Fascism, the Mafia and the emergence of Sicilian separatism.

Dr. Reece won the Lindback Award in 1973, and he was honored by the College of General Studies as "Teacher of the Year" in 1989. He held ACLS and NEH, and was renowned as a guest lecturer both here and abroad.

He was also known for his activities as vice president of the Penn AAUP chapter during a heated period in the 'eighties when open expression was a rising issue on the nation's campuses, and for the many other varied forms of University service he took on over the years—historian of Phi Beta Kappa, member and chair of the Mellon Humanities Coordinating Committee,

member of the Research Foundation Committee, and member of the 1985 Senate Ad Hoc Committee on Racial and Sexual Harassment and the later Council Committee on Sexual Harassment, to name a few.

Dr. Reece is survived by his mother, Beulah Reece; four brothers, Ron, Tom, John and David; a sister, Janet; and a large extended family. Contributions have been suggested for the Carmelo Terlingo Cancer Fund in Philadelphia 19101-2589 or South County Community Services in Vickburg, Michigan. The Penn history department also plans a graduate scholarship fund in his honor; details are available from Dr. Lynn Lees at [lhlees@mail.sas](mailto:lhlees@mail.sas), or 898-8444.



*Dr. Reece on the Gazette cover, June 1994.*  
Photo by Michael Bryant



## John H. Ware III, Trustee and Congressman

John Haines Ware III, the 1930 Wharton alumnus and longtime Penn trustee for whom Ware College House is named, died on July 29 at the age of 88, after a long bout with cancer.

Mr. Ware spent the early part of his career in varied business pursuits—running a cabinet factory, a candy factory and a movie theater, among other things. In 1944 Mr. Ware founded Penn Fuel Gas Co. in Oxford, Pa., which he headed for 45 years while also operating a string of weekly newspapers in Chester County and in Maryland. From 1961 to 1984 he was also chairman of the board of the American Water Works Co. in Voorhees.

After serving as Burgess of Oxford, he entered the larger political arena as a state senator in 1961, and from 1970 to 1975 he was a member of the U.S. Congress, representing the Ninth Congressional District. He was also a member of the Republican National Finance Committee and chairman of the state GOP Finance Committee.

Mr. Ware received an honorary degree from the University of Pennsylvania at the 1978 Commencement, where he was cited for over fifty years' dedication to the institution as "class president, trustee, and an ever-interested alumnus. A Mask and Wigger, whose numerous student activities included literary societies, the arts and the student newspaper, his post-graduate affiliations have been as diversified as they have been copious." In addition to his Penn affiliations, he was on the boards of Lincoln and Widener Universities, Ursinus College, the Pennsylvania College of Optometry, West Nottingham Academy and the Elwyn Institute, and was active in numerous civic organizations including the Boy Scouts and Rotary."

Mr. Ware is survived by his wife, Marian S. Ware; sons John H., IV, and Paul W.; daughters, Marilyn W. Lewis and Carol W. Gates; 12 grandchildren and four great-grandchildren.



## Speaking Out

### Faculty Salaries: More to Know

I applaud this year's Committee Report [on the Economic Status of the Faculty, *Almanac May 13*]. The Committee has done well to point out:

- The need for greater informational transparency on faculty salaries.
- The need to look at faculty salaries, in real terms, after appropriate adjustment for the CPI.\*
- The large discrepancies between schools and within schools.

It is disappointing that the University is not willing to be more open about these issues. That promotes an "us against them" view of the world which is damaging to the spirit of the faculty and to governance of the University.

It is difficult to reconcile equity with market forces. This is true in the world at large, academia in general, and within the University. As an economist, I cannot deny that market forces are important, but proper allocation of resources on the basis of the market requires:

1. a proper income distribution
2. information
3. a long run perspective.

These underlying assumptions are not met at the University.

\* Despite recent discussions that the CPI overrates inflation, my colleagues and I are not fully convinced. If there is bias, it is only 0.3% to 0.4%, not 1.1% as the CPI Combustion suggested. Moreover, what is relevant is not the general CPI, but one that specifically affects faculty. The problem is that faculty buy much larger quantities of educational materials (books, periodicals, etc.), travel, and health services, than the typical lower middle income CPI respondent. I suspect that the effective CPI for university professors is increasing more rapidly than for the public in general. This is something the Committee might want to look into. (Is there a foundation that would support this kind of research?)

In the case of the University, the proper distribution of income lies in the incomes of the schools and in their ability to bid for top quality people. In the contest of the University's responsibility center accounting system where each school is supposed to make it on its own resources, some units are very much better off than others. Perhaps that is as it should be from a market view, but is that okay from the perspective of "One University"? A strong School of Arts and Sciences is an essential of a strong University. But, at Penn, SAS is poor. It is not surprising that the School of Arts and Sciences short-changes its faculty. They do not have the money to do otherwise. It is unlikely that we can develop a quality SAS unless we take steps to change its unfavorable financial balance.

The one-sidedness of the information available—the dean and department chairmen know about salaries, faculty members do not—results in unfairness and misallocation of resources. Does the University really intend to take advantage of faculty members' ignorance of the prevailing salary scale?

The failure of the parties involved to take a long run perspective takes the form of rewarding activities that have short run market visibility. Huge premiums are being paid for people who do splashy research in currently fashionable fields. Faculty members with long range research programs, or with interests in teaching and service activities, have less market exposure and, therefore, less chance to come up with outside offers. This distorts priorities, at least from what I thought they were.

Because salary increases are much dependent on presenting credible outside offers, the older professor becomes less able to use market forces as a way to achieve salary increases. The consequence is compression in salaries as between the younger people who are "marketable" and the older people who, even if they are able to get outside

offers, are less likely to take them.

The Committee is moving in the right direction. I encourage you to extend your research into more detail, on the departmental level. I urge you to insist that information on salaries be made available to the Committee and that better and more realistic information be distributed to the faculty at large.

— F. Gerard Adams,  
Professor of Economics

### Penn's Museum Revisited

It was a Tuesday morning in mid-July. I had just completed business at the University Hospital and was leaving by way of its imposing new 34th Street Portal. As I headed north, my hat-band and shirt-collar told me the temperature was in the low 90's and climbing. My office in the Franklin Building at 36th and Walnut seemed many hot miles away. Any excuse to postpone the inevitable unshaded journey deserved serious consideration. Waiting for the traffic light at Spruce Street to change, I considered the options.

Looking east across 34th Street, I observed Penn's Museum. It appeared to be beckoning to me, offering a promise of relief and some long-deferred enlightenment. It had been years since my interior design services required that I visit the museum, so I could hardly be considered a total stranger.

My next move was prompted in large part by the soaring temperature and, to a lesser degree, by procrastinator's guilt. I crossed 34th Street to the museum, climbed the steps, went through the imposing wrought-iron gates, and entered the courtyard. Passing the lily pond on the way to the building's entrance, I was struck by the sparse(ity) of lilies and the anemic upper thrust of the single-spout fountain. The massive oak main-entrance doors, however, provided a more fitting introduction to the museum. I passed through the doors bringing the heat and humidity with me. Just inside, I was greeted by

*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.*

a receptionist who informed me that the admission policy required either a University I.D. card, or a modest admission fee. I satisfied the lady of my legitimacy and was waved on in.

Immediately past the reception station I found a sort of mini-lounge where one may sit down and watch a brief video presentation: its purpose, to inform first-time visitors of the museum's mission and its contents. I found it to be most helpful and heartily recommend that newcomers (and previous visitors as well) avail themselves of this opportunity to learn of the many remarkable exhibits being offered.

That done, and because of my time constraints with the work day still ahead, I was forced to plan the next move. I soon realized that the comfort level inside was not much different from the out-of-doors I had hoped to escape. Perhaps some breakdown in the museum's climate control, I presumed. A few floor-mounted wind machines, strategically placed, were making a futile effort to remedy the situation. Not daunted, I pushed on.

Where to direct my footsteps with the limited time permitted? My decision was not

a difficult one. It called for a short walk past the Ruth and Earl Scott Gallery, where the arts, crafts and the habitat of Southwest Indian Tribes are exhibited, to where the Mayan Era exhibit is located.

Why settle on the Mayan Era, you might ask. To recapture memories of time spent during visits to Mexico. I had always considered those travel experiences the most exotic and rewarding of my life. To see the museum's collection of artifacts, the stela, the excavation photographs, the Mayan handicraft, took me back to another time and place. I could almost feel the red ant bites suffered after climbing, step by step, to the top of Teotihuacan's pyramid, and sitting down to rest.

Whether touring the actual excavation sites or merely observing the museum's Mayan Era exhibit, it can be a humbling experience to reflect on the advanced cultural level achieved by these ancient people we think of as primitive.

But time was running out for me that Tuesday morning and there was so much more to see. I had only scratched the surface of what promised to be a fascinating Archaeological Odyssey.

Will it take another heat wave to give me cause to resume the Odyssey? We shall see.

—Maurice S. Burrison  
Director, Faculty Club Art Gallery

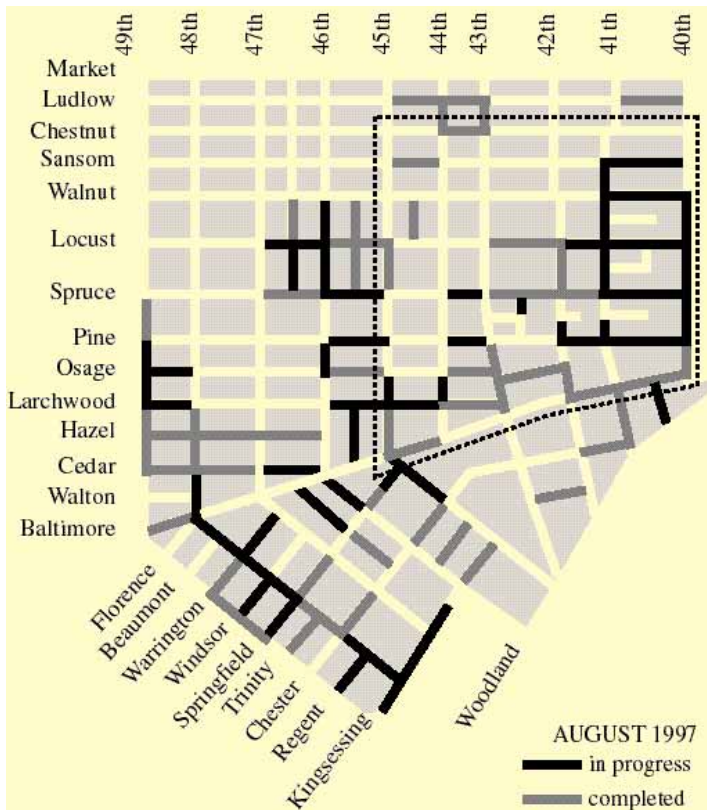
## Knit@pobox

We are a group of Penn employees at different levels of knitting proficiency who would like to meet knitting buddies to share good times, knitting tips, and two lunch hours a month. You may be faculty, staff, or a student (we are not picky). We will be waiting for you on the second and fourth Mondays of each month at around 12:30 in the second-floor lunch area of 3401 Walnut (right in front of the elevators). Our first meeting will be on September 8. If you can't join us that day, try again on September 22.

We have also set up a distribution list on pobox. If you would like to be added to the list, send an e-mail to: [rld@pobox.upenn.edu](mailto:rld@pobox.upenn.edu). If you would like to send a message to the distribution list, e-mail:

[knit@pobox.upenn.edu](mailto:knit@pobox.upenn.edu).

— Roberta L. Dougherty  
for Penn Knitting Enthusiasts;  
Middle East Bibliographer,  
Van Pelt-Dietrich Library



The map above shows UC Brite installations completed and in progress by the end of August. At right is a detail of the outlined area where students are concentrated, showing actual lighting conditions that have resulted from joint efforts of area landlords and UC Brite.

Maps by Roy David, UC Brite

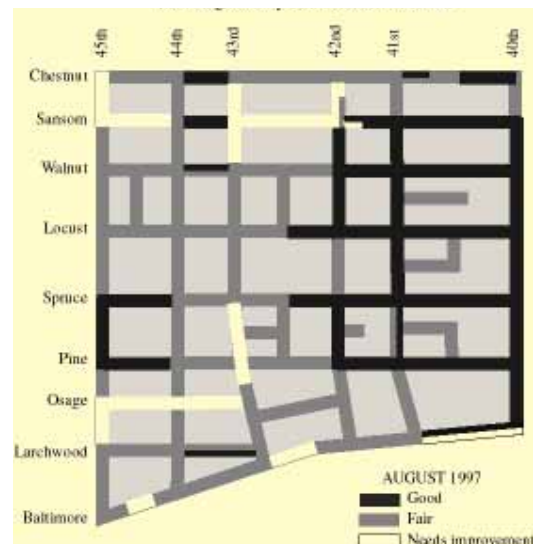
## Update on UC Brite

Thank you for the lead article on the work of UC Brite in lighting up the neighborhood streets of University City. We are pleased and proud of the progress made through this cooperative effort with the community.

There is an important clarification to note in [last week's article](#). At the end of August, lighting projects have been completed or are in progress for virtually all blocks between 40th to 42nd Streets and from Chestnut Street to Baltimore Avenue. For the last two months, the UC Brite staff has engaged in an extraordinary effort to light these core areas. The landlords are responding to our initiative and several blocks have been lighted at no expense to the University.

Two new maps provide a clarification of the current status: one shows the results of UC Brite efforts. The other reflects the actual lighting conditions of the area from 40th to 45th Streets and Chestnut Street to Baltimore Avenue where many students reside.

— Carol Scheman, Vice President for Government, Community and Public Affairs





The University's Internally-funded Research Foundation makes awards twice each year, reviewing proposals from faculty under the guidelines presented by the Vice Provost for Research on page 10 of this issue. These guidelines are also available in each Dean's office, and are now on the Web at [www.upenn.edu/VPR/VPRHP.html](http://www.upenn.edu/VPR/VPRHP.html). Below are the researchers whose work was chosen for funding in the Spring Cycle 1997.

## Research Foundation Awards Spring Cycle 1997

Jeanine Alesch, Romance Languages, SAS; *Maternal Sources of Authority: The Influence of Jeanne de Vietinghoff on the Works of Marguerite Yourcenar.*

Elizabeth Alpern, Pediatrics, Medicine; *Prevalence and Outcome of Occult acteremia in an Urban Pediatric Emergency Department: A Four Year Experience.*

Stephen Baylor, Physiology, Medicine; *Matching Funds for a Confocal Microscope Attachment to Study Calcium Sparks in Skeletal Muscle.*

Regina Bendix, Folklore and Folklife, SAS; *Visions of Empire, Images for Consumption: (Multi-) Cultural Representation in Austria from One Fin-De-Siecle to the Next.*

Julie Blendy, Pharmacology, Medicine; *Establishment of C57Bl/6 Embryonic Stem Cells and a Non-Injection Method for the Production of Knock-Out Mice.*

William Braham, Architecture, GSFA; *Colors of Architecture: Twentieth-Century Material Palettes.*

Warren Breckman History, SAS; *Foundations and Justice: French Political Thought Since World War Two.*

Charles Bridges, Surgery, Medicine; *Mechanisms of Transmyocardial Laser Revascularization.*

Linda Brown, Nursing; *Breastfeeding Services for Low Income Women - Maternal and Infant Incomes.*

Elizabeth Capezuti, Nursing; *The Effect of Restraint Reduction on Nighttime Siderail Use and Falls/Injuries Among Nursing Home Residents.*

Chun-Hsi Chung, Orthodontics, Dental Medicine; *Microflora Changes in Supragingival and Subgingival Plaque of Adult, Crowded Anterior Teeth Before and After Orthodontic Treatment.*

Bryan Crenshaw, Neuroscience, Medicine; *A Genetic Approach to Mammalian Forebrain Development.*

Daniel Deudney, Political Science, SAS; *The Problem of Place, Space and the Indigenous in the Formation of National, Liberal and Environmental Identity.*

Peter Dodson, Geology, SAS; *Global Warming 55 Million Years Ago: How Was the Vegetation of South America Affected?*

Peter Drain, Physiology, Medicine; *Molecular Basis of ATP-Dependent Inhibitory Gating in Chimeric K-ATP Channels.*

Arthur Dunham, Biology, SAS; *Lipid Metabolism in the Lizard Sceloporus Merriami: Validation of Competing Methods.*

W.J. Ewens, Biology, SAS; *Developing a New Paradigm for Questions in Ecology and Evolution.*

Ann Farnsworth-Alvear, History, SAS; *The Practice of Community in the Colombian Choco.*

Sherman Frankel, Physics, SAS; *Research in Physics and Public Policy: Theater Missile Defense; Countermeasures to ABM Systems in Boost Phase, and Endothermic Re-Entry.*

Rebecca Freeman, Language Education, Graduate Education; *Puerto Ricans at School Ideologies of Language, Literacy and Opportunity.*

George Gerton, Center for Research on Reproduction, Medicine; *Development of a New*

*Generation Contraceptive Agent.*

Joan Gluch-Scranton, Dental Care Systems, Dental Medicine; *Dental Students' Learning Style Preferences in Relation to Computer Skill and Usage.*

Mauro Guillen, Management, The Wharton School; *Ideologies of Foreign Investment: A Comparative Study of Spain, Argentina, and South Korea.*

Laszlo Gyulai, Psychiatry, Medicine; *Quantitative Analysis of Daily Mood Fluctuations in Bipolar Disorder -Methods to Improve Diagnosis and Treatment.*

Jinyong Hahn, Economics, SAS; *Optimal Inference with Many Instruments.*

Alan Hillman, Medicine, Medicine; *How Changes in Government Funding Affect Biomedical Research: An Exploratory Study.*

Renata Holod, History of Art, SAS; *Archaeological/Ethno-Historical Survey of the Island of Jerba, Tunisia.*

Arthur Johnson, Geology, SAS; *The Geobiology of 45 Million-Year-Old Fossil Forests from the Canadian High Arctic.*

Klaus Kaestner, Genetics, Medicine; *Control of Mammalian Gastrointestinal Proliferation by Gut Krueppel Like Factor (GKLF).*

Malek Kamoun, Pathology & Lab Medicine, Medicine; *Identification of a Novel Growth-Regulated Ser/Thr Phosphoprotein Phosphatase in Lymphocytes.*

Ellen Kennedy, Political Science, SAS; *The Bundesbank: Germany's Central Bank in the International Monetary System (Revised and Expanded Edition).*

David Knill, Psychology, SAS; *Visual Control of Action.*

Eiki Koyama, Anatomy & Histology, Dental Medicine; *Sonic Hedgehog and Craniofacial Development and Abnormalities.*

Patricia Labosky, Cell & Developmental Biology, Medicine; *A Link Between the TGF-Beta Family of Signalling Molecules and the Winged Helix Family of Transcription Factors During Early Mouse Embryogenesis.*

Cecilia Lo, Biology, SAS; *Computer Imaging Facility.*

Laurie Loevner, Radiology, Medicine; *Magnetic Resonance Imaging in the Detection of Deep and Pre-Epiglottic Space Spread in Patients with Squamous Cell Carcinoma of the Head and Neck.*

Armando Maggi, Romance Languages, SAS; *Renaissance Emblematic Literature and the Image of One's Identity.*

Daniel Malamud, Biochemistry Dental Medicine; *HIV Inhibitory Factors in Human Saliva.*

Roberto Mariano, Economics, SAS; *The Impact of Monetary Shocks on Output, Inflation and Exchange Rates: Evidence from South East Asia.*

Michael Meister, History of Art, SAS; *An Integrated Study of Hindu Shahi Sites in Pakistan.*

Catherine Meyers, Medicine, Medicine; *Regulation of T Cell-Mediated Events In Autoimmune Glomerulonephritis.*

Jeanne Carol Myers, Biochemistry & Biophysics, Medicine; *In Vivo and In Vitro Processing of Human Type XV Collagen.*

Yiorgos Mylonadis, Management, The Wharton School; *Learning to Protect the Natural Environment: A Cross-National Study of the Relationship Between Firms and Communities of Practice.*

Rolf Noyer, Linguistics, SAS; *Adjacency Conditions on Morphological Merger.*

Vicki Petropoulos, Restorative Dentistry, Dental Medicine; *Comparative Study of the Load Distribution of Various Attachments on Implant-Retained Overdentures.*

Georgette Poindexter, Real Estate, The Wharton School; *Light, Air or Manhattanization? Communal Aesthetics in Zoning Central City Real Estate Development.*

Jean-Michel Rabate, English, SAS; *Turn of the Century: End of Analysis?*

Andrew Rappe, Chemistry, SAS; *Understanding and Design of Molecule-Surface Interactions from First Principles.*

Sylvia Santaballa, Romance Languages, SAS; *Representing the Virgin of Guadalupe in Seventeenth-Century Mexico.*

James Saunders, Otorhinolaryngology, Medicine; *Otoacoustic Emissions Following Exposure to Intense Sound.*

Barbara Savage, History, SAS; *Broadcasting Freedom: Radio, War, and the Politics of Race, 1938-1948.*

Wen Shieh, System, SEAS and Leon Weiss Animal Biology, Veterinary Medicine; *An Innovative Treatment Scheme for Closed, Recirculating Aquaculture Systems (Equipment).*

W.J. Smith, Biology, SAS; *The Neural Basis of Singing Behavior in the Carolina Wren (Thryothorus Ludovicianus).*

Larry Sneddon, Chemistry, SAS; *The Design of New Inorganic Polymers and Materials: Matching Funds for Inert Atmosphere Equipment.*

Paul Sniegowski, Biology, SAS; *Molecular Population Genetics of Yeast.*

Yanyan Wang, Pharmacology, Medicine; *Functional Role of Subtypes of Dopamine D2 Receptor.*

Richard Waterman, Statistics, The Wharton School; *Models for Under Dispersed Multivariate Categorical Data.*

Josef Wegner, Asian & Middle Eastern Studies, SAS; *Archaeological Excavation and Analysis of Middle Kingdom State-Initiated Institutions at Abydos, Egypt.*

Liliane Weissberg, Germanic Language, SAS; *The 1940 Harvard Prize Essay Competition: My Life in Germany Before and After January 30, 1933.*

Karen Winey, Materials Science, SEAS; *Adjustable Flight Path and Precision Sample Holder for Existing X-Ray.*

Yan Yuan, Microbiology, Dental Medicine; *Optimization of the External Guide Sequence (EGS) Technique.*

Jo-fang Zhang, Pharmacology, Medicine; *Molecular Mechanisms or the Specificity of Calcium Signaling in Control of Gene Expression Associated with Long-Term Changes in Synaptic Strength*

Qing Zhu, Radiology, Medicine; *A Novel Coupling of Ultrasound and NIR Imaging Methods.*

*In April, Vice Provost for Research Ralph Amado forwarded to the Faculty Senate for review an addendum of technical changes in Penn's Policy on Misconduct in Research recommended by the Office of Research Integrity of the U.S. Public Health Service. These changes were discussed by the Senate Committee on Academic Freedom and Responsibility. SCAFR found no academic freedom concerns raised by the addendum and upon their recommendation the Senate Executive Committee approved the changes on May 7, 1997. The following procedures, which include the approved addendum, become effective immediately and supersede those published in Almanac September 3, 1991. This fall, the Faculty Senate and administration are setting up a committee to review these procedures as a whole. The membership and charge of the committee will be published soon.*

— Stanley Chodorow, Provost

## Procedures Regarding Misconduct in Research

### Introduction

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

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

For the purpose of these procedures, misconduct is defined as fabrication, falsification, plagiarism, or other serious deviation from accepted practices in proposing, carrying out, or reporting results from research. It does not include honest error or honest differences in interpretations or judgments in evaluating research methods and results. Some forms of misconduct such as failure to adhere to requirements for the protection of human subjects or to ensure the welfare of laboratory animals are governed by specific federal regulations and are subject to the oversight of established University committees. However, violations involving failure to meet these requirements may also be covered through the procedures discussed here governing misconduct in research or possibly by other University procedures when so determined by responsible committees or institutional officials.

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

1. The University expects each faculty member to maintain and further the highest standards of ethical practices in research. Especially important are integrity in recording and reporting results, care in execution of research procedures, and fairness in recognition of the work of others.
2. Improper limitations on access to information, as defined by the scholarly community, are encroachments on the free pursuit of new knowledge within the scholarly community. These improper limitations are unacceptable and should not be tolerated.
3. Committees on Appointments and Promotions at all levels are encouraged to evaluate in detail the quality of published work in assessing the scholarly productivity of candidates for appointments and promotions. The most specialized internal peer review should take place at the department level. Faculty who make recommendations concerning appointments and promotions should acquire as deep an understanding as possible of the research of the individual under consideration, thereby minimizing the possibility of research misconduct and promoting the highest standards of research.
4. The University expects faculty members to be responsible for the integrity of the research carried out under their supervision, no matter who actually performs the work or under what circumstances.
5. While there is no institutional policy stating who should be named as authors of reported work, authorship implies a definable major contribution to the work and an acceptance of responsibility for the methods and findings of the work.
6. Investigators are expected to keep thorough and verifiable records and to insure that exact copies of these records are preserved by the unit in which the work is done.
7. Part of the maintenance and perpetuation of high ethical standards

includes the responsibility to report research misconduct. If University colleagues or others observe misconduct, they are expected to report it to the appropriate dean.

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

### Procedures for handling alleged research misconduct by standing and associated faculty

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

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

#### 1. Preliminary inquiry

**1.1** Before filing a complaint, an individual is encouraged to review the matter with his or her department chair, dean, and/or University ombudsman, to seek advice from individuals he or she trusts, and through such consultation to determine whether the matter should be pursued. Inquiry into misconduct in research should be initiated by written complaint from any individual, whether or not affiliated with the University and filed with the dean of the School in which the respondent has his or her primary appointment. The dean will then notify the Provost. The complaint must be detailed and specific, and accompanied by appropriate documentation. The dean and the Provost have the responsibility to protect the position and reputation of the complainant so long as the complainant's allegations were made in good faith. The Provost will notify the Chair of the Faculty Senate that a complaint has been filed and the nature of the complaint, but will not identify either the complainant or the respondent, in order to preserve maximum confidentiality at this very preliminary stage of inquiry.

**1.2** Upon receipt of a properly documented complaint, the dean shall inform the respondent of the nature of the charges making every effort to avoid identifying the complainant. The dean shall also appoint a preliminary inquiry committee consisting of at least two individuals, none of whom are members of the same department as, or collaborators with, the complainant or respondent. The members of the committee shall be unbiased and have appropriate backgrounds to judge the issues being raised. They may but need not be members of the faculty of the University. Upon appointment of the preliminary inquiry committee, the dean will notify the complainant and the respondent of the names of the committee members. The dean shall also make every effort to protect the identities of both complainant and respondent with respect to the larger community. The appointment of the preliminary inquiry committee will ordinarily be completed within two weeks of the receipt of a properly documented complaint.



**1.3** The preliminary inquiry committee shall gather information and determine whether the allegation warrants a formal investigation. The committee shall then submit a written report of its findings to the dean with a copy to the Provost, the complainant and the respondent. The report shall state what evidence was reviewed, summarize relevant interviews and include the committee's conclusions. This report shall ordinarily be submitted within 30 calendar days of receipt of the written complaint by the dean. The respondent shall be given the opportunity to make a written reply to the report of the preliminary inquiry committee within 15 calendar days following submission of the report to the dean. Such reply shall be incorporated as an appendix to the report. The entire inquiry process shall be completed within 60 calendar days of the receipt of a properly documented complaint by the dean unless circumstances clearly warrant a delay. In such cases the record of inquiry shall detail reasons for the delay.

**1.4** If the report of the preliminary inquiry committee finds that a formal investigation is not warranted, the dean may (i) initiate a formal investigation despite the recommendation of the preliminary inquiry committee, or (ii) not initiate a formal investigation, but take such other action as the circumstances warrant, or (iii) drop the matter. This decision shall be reviewed by the Provost. The dean and Provost ordinarily shall complete their review within 10 days of the receipt by the dean of the report. If the Provost agrees with the dean, the dean shall inform the concerned parties of their decision. If the Provost disagrees with the dean, the Provost shall determine the appropriate course of action which the dean shall initiate. In the event that the dean and Provost determine not to initiate a formal investigation, they shall, as appropriate, use diligent efforts to restore the reputation of the respondent and to protect the position and reputation of the complainant if the complaint is found to have been made in good faith. The Provost will notify the chair of the Faculty Senate that the case has been dropped.

**1.5** If no formal investigation of the respondent is conducted, sufficient documentation shall be maintained for at least 3 years following the inquiry to permit a later assessment of the reasons that a formal investigation was not deemed warranted.

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

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

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

## **2. Formal Investigation**

**2.1** To initiate a formal investigation, the dean shall appoint a formal investigation committee of not less than three individuals, none of whom shall have been members of the preliminary inquiry committee but whose appointment shall be subject to the same provisions for appointment of the preliminary inquiry committee as described in section 1.2. The formal investigation shall be initiated within 30 calendar days of completion of any inquiry which finds that such an investigation is merited.

**2.2** The formal investigation committee shall undertake a thorough examination of the charges, including, without limitation, a review of all relevant research data and proposals, publications, correspondence, and memoranda of telephone calls. Whenever possible, interviews shall be conducted with the complainant and respondent, as well as with others having information regarding the allegations. Summaries of these interviews shall be prepared, provided to the interviewed party for comment or revision, and included as part of the investigatory file. During its proceedings, the committee shall have access to and consult legal counsel. When appearing before the committee the respondent and the complainant may each be accompanied by an adviser, who may be a lawyer but who may not participate in the proceedings. The committee shall not conduct formal hearings. Except in unusual cases, the respondent and the complainant shall not appear before the committee at the same time.

**2.3** Following the completion of its investigation the committee shall submit a written report with full documentation of its findings of fact to the dean with copies to the Provost and the respondent. This report shall describe the policies and procedures under which the investigation was conducted, how and from whom information was obtained, the findings, and the basis of the findings and texts or summaries of the interviews conducted by the committee. This report shall ordinarily be submitted to

the dean within 90 days of the appointment of the formal investigation committee. The respondent shall be permitted to make a written reply to the Provost within 21 days of submission of the report to the dean. If appropriate, a copy of the report will also be sent to the complainant who will also be offered the opportunity to make a written reply to the Provost within 21 days of the sending of the report. Such replies shall be incorporated as appendices to the report of the formal investigation committee. The Provost shall then report the outcome of the investigation to agencies funding the research and the Senate Consultation Committee. The Provost shall also provide a copy of the report to the funding agency, as required. The entire formal investigation process shall be completed within 120 calendar days of its initiation, unless circumstances clearly warrant a delay. In such cases, the reasons for a delay shall be documented.

**2.4** The Provost and dean shall, during the course of the formal investigation, take administrative action, as appropriate, to protect funds for sponsored research and ensure the purpose of any external financial assistance. The Provost shall apprise agencies funding the research of any development during the formal investigation which may affect current or proposed funding of respondent's research. If the Provost and dean decide to terminate an investigation before it is completed, the Provost shall notify the funding agencies in writing of the reasons for terminating the investigation.

## **3. Resolution**

**3.1** If the report of the formal investigation committee finds the charges to be unfounded, the matter shall be dropped and the concerned parties shall be informed. The dean and the Provost have the responsibility to take an active role to repair any damage done to the reputation of the respondent or the complainant (provided the complainant acted in good faith), and to take appropriate action should they determine that the accusation was knowingly false.

**3.2** If the report of the formal investigation committee finds the charges against a faculty member to be substantiated, the dean shall proceed to take whatever actions are appropriate to the seriousness of the offense and in accordance with University procedures and which consider the previous record of the respondent. For major offenses by members of the standing or research faculties, the dean shall consult with members of the faculty concerned to aid in determining whether there is substantial reason to believe that just cause exists for suspension or termination, and shall take other steps as may be appropriate under the University's procedure for Suspension or Termination of Faculty for Just Cause. For less serious offenses, which do not warrant suspension or termination, the dean may impose penalties including, but not limited to, removal from a particular project, a letter of reprimand, special monitoring of future work, probation, or below average salary increases, including zero salary increases, for one or more years.

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

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

## **4. Procedures**

**4.1** If the dean is the complainant or respondent or in any other way has a conflict of interest or the appearance of a conflict of interest, he or she is obligated to remove him- or herself from the case during the preliminary inquiry and formal investigation and to transfer to the Provost responsibility for carrying out these procedures. In carrying out the latter the Provost shall assume the role specified for the dean and the President that specified for the Provost in sections 1, 2 and 3.

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

**4.3** The University may act under these procedures irrespective of possible civil or criminal claims arising out of the same or other events. The dean, with the concurrence of the Provost, after consulting with the general counsel, shall determine whether the University shall, in fact, proceed against

## OF RECORD: Misconduct in Research (continued from page 9)

a respondent who also faces related charges in a civil or criminal tribunal. If the University defers proceedings, it may subsequently proceed irrespective of the time provisions set forth in these procedures.

### Addendum

#### *Additional Procedures for Allegations Involving Research Funded by the US Public Health Service*

#### 1. Preliminary Inquiry

A. Under Section 1.1, the Provost will notify the Office of Research Integrity (ORI) if the alleged misconduct has caused any immediate health hazards, or if there is a need to protect Federal funds or equipment or individuals affected by the inquiry, or if the alleged incident will probably be publicly reported. If reasonable indication of possible criminal violations is found, ORI will be notified within 24 hours of the Provost's knowledge of such findings.

B. Under Section 1.1, the Dean will take appropriate administrative

actions to protect Federal Funds and to ensure that the purposes of the Federal financial assistance are being carried out.

C. At any time, if a decision is made to terminate an inquiry for any reason without completing all relevant requirements under these procedures, the Provost will notify ORI in writing including a description of the reasons for such termination.

#### 2. Formal Investigation

A. The Provost will notify ORI of any situation similar to 1.A above.

B. The Provost will notify ORI that a formal investigation will be initiated on or before the date that the investigation begins.

C. The Provost will submit to ORI a request for extension if unable to complete a formal investigation within 120 days. Any such request will include an explanation for the delay, an interim report on the progress to date, an outline of what remains to be done, and an estimated date of completion.

## Revised Research Foundation Guidelines

Also Available on the Web (<http://www.upenn.edu/VPR/VPRHP.html>) and in Deans' Offices

### Statement of Purpose

The Research Foundation encourages the exploration of new fields across a broad spectrum of disciplines. In doing so, the Foundation expands opportunities for faculty to attract support and resources from external sources while encouraging work in fields that are traditionally underfunded. **The Research Foundation is principally for faculty.**

The Foundation supports two levels of grants. The first level, Type A grants, provide support in the range of \$500 to \$5,000. The second level, Type B grants, provide support in the range of \$5,001 to \$50,000. You may be interested to know that last year about half of all proposals were funded and that they were funded at half of the amount requested (on average). The standard application for a Type A grant is briefer than that for a Type B grant, reflecting the funding levels. However, the review criteria for Type A and Type B grants are similar, and several general factors are considered in evaluating an application for either type of grant. They are:

- Its contribution to the development of the applicant's research potential and progress.
- The quality, importance and impact of the proposed research project.
- Its potential value for enhancing the stature of the University.
- Its budget appropriateness in terms of the project proposed, including consideration of need and availability of external support.

### The Application Process

The Research Foundation Board will review both Type A and Type B applications in the fall and spring of each academic year. Applications for the fall cycle are due on or before *November 1* of each year, while spring cycle applications are due on or before *March 15* of each year. All research projects involving human subjects or animals must receive Institutional Review Board approval prior to funding. Questions concerning human/animal research should be directed to Mrs. Ruth Clark at 898-2614. All research projects involving the use of hazardous or biohazardous materials and/or radioactive materials, must receive approval from the Office of Environmental Health and Radiation Safety (OEHRs) prior to funding. Questions about this approval process should be directed to (OEHRs) at 898-4453.

An Original and Ten Copies of the proposal with the cover sheet should be submitted to the Office of the Vice Provost for Research, 212 College Hall/6381.

**Type A** Proposals are limited in length to ten single spaced pages and should contain a brief description of the research and the specific needs which the grant will cover. The proposal should include:

1. *The Research Foundation Proposal Cover Sheet\**. Failure to fully complete the Cover Sheet or exceeding page limitations will risk disqualification from the competition.
2. 100-word abstract of the project for the educated non-specialist.
3. Amount of current research support (including start-up packages).
4. Other pending proposals for the same project.
5. List of research support received during the past three years. Include funds from University sources such as school, department, or Research Foundation. If you were funded by the Research Foundation in the last three years, please submit a brief progress report with publications and grants proposed or received (no more than one page).
6. A one-page biographical sketch of each investigator listing educational background, academic positions held, and five recent publications.
7. A three- to four-page mini-proposal, outlining the project and its significance.
8. A budget that justifies the specific items requested and assigns a priority to each item.

Research Foundation support for Type A proposals will focus on:

- Seed money for the initiation of new research.
- Limited equipment requests directly related to research needs.
- Travel expenses for research only.
- Publication preparation costs.
- Summer Stipends, with preference for applications from Assistant Professors.

**Type B** Proposals are limited in length to fifteen single spaced pages. The proposal should include:

1. *The Research Foundation Proposal Cover Sheet\**. Failure to fully complete the Cover Sheet or exceeding page limitations will risk disqualification from the competition.
2. 100-word abstract of significance of the project for the educated non-specialist.
3. Amount of current research support (including start-up packages).
4. Other pending proposals for the same project.
5. List of research support, including titles, amounts, and grant periods, received during the past three years. Include funds from University sources such as school, department, or Research Foundation.
6. A brief curriculum vitae including publications for the principal investigator and each researcher listed on the proposal.
7. A proposal of not more than nine single spaced pages giving the objectives and scholarly or scientific significance of the proposed work, a description of the research plan and methodologies to be employed, a description of the significance and impact of the project, a description of how a Research Foundation grant will facilitate acquisition of future research funds.
8. Budget (one page). Budget items should be listed in order of priority.

Research Foundation support for Type B proposals focus on several areas of need. These are:

- Matching funds, vis-a-vis external grant sources.
- Seed money for exploratory research programs.
- Support for interdisciplinary research initiatives.
- Faculty released time.

Requests for student tuition and dissertation fees will not be considered by the Foundation.

\* The *Research Foundation Proposal Cover Sheet* is not reproduced here, but can be found on (and printed from) the Web, or requested from the Office of the Vice Provost for Research.

# On Cutting Edge of Hungarian Constitutional Law

By Jon Caroulis

Following the “velvet revolution” in Eastern Europe, former Soviet satellites were able to write constitutions granting citizens new freedoms and rights. Call it democracy from scratch.

Kim Lane Scheppele, a professor of law, has been in Hungary for the past three years studying how the people of that nation are enduring the growing pains of freedom.

“Most of my work has been at the Hungarian Constitutional Court, which is basically running the country in the name of human rights, providing one of the most astonishing experiments in democratic institution-building in the region.

“The powers of the this court are so broad that after the Hungarian Parliament voted down a proposed law, the court told the parliament that it could not reject that legislation because it was in conflict with the Constitution.

“The government is run by the Constitutional Court,” she says.

Drawing a comparison with the United States, she says the Hungarian court “makes the Warren court look wimpy. No supreme court [has ever been granted] this kind of power.

“They gave me permission to come in and look at every document in the building.”

The court, says Scheppele, wanted her to come in. They wanted to show the world what they were doing and that it was an open process.

Scheppele even had an office in the Constitutional Court building.

How Scheppele became involved in observing the new Hungary was as much personal as professional.

“I had several friends from Eastern Europe who had come to the U.S. in various stages of dissidence before 1989 —so when 1989 happened, I followed them back. I started teaching in various human rights education programs, and when I came to Hungary for the first time in 1993, I knew I had to stay there. It’s a place where law in general and constitutionalism in particular have the most

amazing resonance in the general population. So I wrote a proposal to the National Science Foundation to come and study the development of constitutionalism here, got the grant, moved there in 1994.”



Photograph by Gregory Benson

*The Hungarian Constitutional Court makes the Warren court look wimpy. No supreme court [has ever been granted] this kind of power.*

— Kim Lane Scheppele

(When Scheppele started her studies in Hungary she was a member of the faculty at the University of Michigan. She joined the Penn faculty last year. A month ago she began teaching her first courses here.)

After her studies with the Court finished, she taught classes at Central European University (CEU) in Budapest (a

new university with graduate students from Eastern Europe) in privacy law and property law — two concepts that didn’t exist under the old Soviet regime and two ideas that Hungarians are having trouble defining. “They have to develop a relationship to other rights, a theory of property, if you will.”

CEU was founded by George Soros, a billionaire financier who left Hungary as a teenager and made his fortune in America. According to Scheppele, Soros “wants to make sure no one would have ever have to leave Hungary again” because of a lack of freedom.

The school, she says, has brought students from all over the former Soviet block to study issues that affect the “new” Hungary, such as law, economics and politics. Tuition and fees are paid for by Soros.

In addition to legal theory, Scheppele taught gender studies at the college. “I started a program in gender studies, giving the first degrees in the field anywhere in the former Soviet world. It’s been great fun.”

The roles of what it meant to be a woman or a man under the communist regime have changed now, she says.

“Everything a man got, he got from the state, and that was granted by the party.” Any job or position of status was defined by the government.

Now, the state does not grant that “status” anymore, and men there are having to redefine their roles and status, she says.

“Women had to work,” she says.

“There was no choice. Now there is a choice: women can stay home if they want.”

Scheppele hopes Penn law students will take advantage of the new opportunities to study in Hungary.

“You can’t see our own legal system unless you see other legal systems,” she says. “The best way to understand the American legal system is to see it as an outsider would see it.”





# Penn Researcher Finds Chinese Mummies' Surprising Roots

By Libby Rosof

Ancient mummies uncovered in Central Asia were virtually inaccessible to the West until a Penn professor with a fine sense of timing and a passion for the past overcame Chinese reticence and political fears.

Thanks to the efforts of Penn's Victor Mair, the mummies are revealing the migration patterns of people who dwelled in a far western desert area in China between 2,000 B.C. and 200 to 300 A.D. Even more exciting, they are revealing the extraordinary rate that culture and people traveled between Western Europe and Asia and between Southern and Central Asia.

Mummies, always a crowd-pleaser in any museum, were a crowd-pleaser in China, too, where they went on display in museums in Xinjiang Uyghur Autonomous Region beginning in 1987.

The first time Mair saw the mummies, he was "thunderstruck." The 3,000- to 4,000-year-old mummies "looked so lifelike. I had a hard time believing they were dead that long. The faces pretty much were the way they looked in life. They retained their original skin color. Quite a few were fair, with blond, light brown and reddish hair."

The mummies were recovered in the Taklamakan desert — the second-largest desert in the world. Its arid climate, with extreme summer heat and extreme winter cold, aided by the highly saline soil in some areas, was ideal and preserved the mummies, their clothes and burial objects.

But the research was slow in coming. The Chinese were concerned about the political implications of the discovery out of fear that the local people, the Uyghurs, would use the mummies to prove their

long-term residence in the westernmost reaches of China, thereby laying claim to the land.

Mair discounts the claim. Like the mummies, many of the Uyghurs look European, with fair hair and hazel or blue eyes. Evidence from their culture and language indicates their residence in the region dates from a ninth-century immi-



*This corpse dates from 400 B.C. "The faces pretty much were the way they looked in life. They retained their original skin color. Quite a few were fair, with blond, light brown and reddish hair." — Victor Mair*

gration. "The Uyghurs don't have a good historical leg to stand on," Mair said, "although it is true that they may have assimilated some of the descendants of the mummies."

A professor of Chinese language and literature, Mair's interest in the mummies grew out of his interest in the routes that people, languages and information took between India and China.

"I had been working on manuscripts from a cave in Dunhuang in the far Western part of China, where the Silk Road branches out and goes north and south," Mair said recently, recalling his reaction to the discovery of the mummies. "I was traveling near there a lot because of the manuscripts. I had previously studied Indian culture and languages and Sino-Indian cultural contacts. I wanted to know who was out there in the region between India and China and who was doing the transmitting."

The mummies, he thought, might help answer his question. But no one seemed interested in studying them. The mummies were too far west to interest most Sinologists, and too ancient to interest most Central Asia experts, whose interests relate chiefly to the former Soviet republics. "It's a no-man's land," Mair said. "It has to be done, and nobody else will do it."

Three years after the main group of mummies was discovered, the Chinese rewrote the archaeology rules to permit joint research as part of China's opening up to the world. "Before 1990, it was virtually impossible for any foreign scientist to do research in China," Mair said.

At about the same time, scientists started DNA studies on the mummified remains of the Austrian Iceman, who was discovered in the fall of 1991. "He was found close to my father's birthplace, on the other side of the

glacier," Mair said. "Those mummies in Central Asia were just as well preserved."

Undaunted by his lack of experience in DNA studies — Mair has a Ph.D. from Harvard in Chinese and an M.Phil. from the University of London School of Oriental and African Studies — he enlisted distinguished Stanford University geneticist Luigi Luca Cavalli-Sforza, got grant money and approached the Chinese, who at last were amenable to foreign researchers.

Which is not to say that getting permission was simple. Only a week before he was to leave for China in 1993, Mair finally got the go-ahead. But once he got there, he found his permission was problematic. "The Chinese were being cautious. They were not experienced with dealing with foreigners."

After face-to-face negotiations, the Chinese finally allowed Mair to proceed with his work.



Italian geneticist Paolo Francalacci, who came along when Cavalli-Sforza was unable to take the trip, took 52 tissue samples from a dozen of the 120 mummies. Of the 52 samples, the Chinese insisted that 46 had to remain in China, in the freezer of the director of the Institute of Archaeology. Mair and Francalacci were terribly disappointed, but went to work on their six samples.

"To study the ancient DNA, Francalacci had to find new ways to amplify and interpret it," Mair said. "The DNA was weak, attenuated and easily contaminated." It took two years to get results. The DNA findings confirmed those of a Chinese physical anthropologist. The mummies were Caucasoid.

But that alone was not enough to tell Mair what he wanted to know. "The DNA tests are not specific," Mair said. "They don't tell you about language or culture."

Mair has gone back each year since, taking along anthropologists, textile experts, and on the most recent trip in late spring, an archaeologist and paleopathologist, each specialist helping him put together another piece of the puzzle of who these people were.

The earliest group of mummies, dating from 2000 to 1000 B.C., were not simply Caucasoid. Mair believes they are the ancestors of the Tocharians, a group that spoke an Indo-European language related to Celtic languages and to Hittite, the oldest known Indo-European language, from Anatolia or modern Turkey.

"It's hard to comprehend that these people so far to the east had linguistic features related to the Celtic group and Hittite," Mair said.

Their clothes seem to confirm the Celtic connection. Some of the tartans are strikingly similar to Celtic tartans

found in Danish bogs and Hallstatt-culture salt mines in Austria. Hallstatt, an Iron Age culture, dates to a time similar to that of the mummies, around 1200 B.C., Mair said.

"Wool production comes from the West. The West is the source of all that textile technology. ... Now that we have the bodies, it's giving us some archeological data on which to pin this linguistic connection into the past."

In the 1995 trip, Mair took along the world's foremost prehistoric textiles expert, Elizabeth Barber, from Occidental College in Los Angeles; and Irene Good, a Penn graduate student in anthropology.

"Much of the clothing is beautifully preserved," said Mair. "Their clothes are all wool until the 6th century B.C., then a little bit of silk. You can tell when the Chinese started coming in."

Comparing the wool garments and how

*Mummies ... (continued on page 10)*

## MUD, SWEAT AND GEAR



Photographs  
by  
Candace  
di Carlo

***Construction crews with giant machines are transforming the muddy earthworks at 36th and Walnut streets into Sansom Common, which will include Penn's new bookstore and shops, townhouses and a hotel.***

*Mummies ... (continued from page 9)*

they were made, Mair's group also found a connection between the cloth there and other places in Eurasia.

"People were very mobile," he said. "I think that's the biggest lesson of this work."



*It's hard to comprehend that these people so far to the east had linguistic features related to the Celtic group and Hittite.*

— Victor Mair

This year, when Mair went back, he succeeded in having the 46 tissue samples that had remained frozen in the Uyghur region moved to the Academy of Sciences in Beijing, where Chinese scientists have agreed to do the genetics testing. "This was a very successful expedition," he said.

Mair brought along archaeologist Jeanine Davis-Kimball, head of the Center for the Study of Eurasian Nomads at Berkeley, and also forensic archaeologist Charlotte Roberts from Bradford University in England.

They found relationships between contemporary dwellers in the area and the prehistoric people — carts with the same mortise-and-tenon construction, buckets from a hollowed-out log with an inserted base, 3,000-year old nan breads exactly like the modern nan used there and in other parts of Asia.

The lifestyles remained similar as well. "The oasis people still plant wheat or barley and herd sheep and goats for meat and wool," Mair said. "The nomadic people in the mountainous region are still engaged in nomadic herding, similar to 3,000 years ago."

In examining small bags some of the mummies wore around their necks, Mair's team found a connection to Iranian culture. The bags, which were buried with some mummies buried between 1000 B.C. to 200-to-300 A.D., contained ephedra, a medicinal shrub used in Zoroastrian religious rituals. "The ephedra indicates that some of these people were almost certainly speaking an Iranian language," he said.

Roberts, the forensic archaeologist and

paleopathologist, in addition to identifying some diseases and medical practices from the mummies, also recognized that the skulls were European.

The excitement of decoding the information the mummies offer has attracted media attention, including numerous

television crews, only two of which succeeded in working with the Chinese bureaucracy.

The first crew made a 12-minute segment that has aired numerous times as part of a Scientific American series hosted by Alan Alda.

The second crew taped this summer. However, when Mair arrived, the crew was still waiting for the permission to film. "We had an amazing meeting in the Holiday Inn [in the capital of Xinjiang Uyghur Autonomous Region] for five days. Is the Chinese government going to

let us do this?" On Mair's last day for making a decision to return to the states, the Chinese government let the crew film.

"Every step of the way, parts of the Chinese government were at odds with other parts of the Chinese government," he said.

Mair canceled commitments at Yale and an NEH workshop in Chicago at the last minute for the film. "I couldn't let this opportunity pass by, and because the situation in Xinjiang is kind of tense, who knows if the opportunity to film there will ever happen again."

The recent taping, scheduled to air in November, was filmed by Union Pictures of London for WGBH Boston's "Nova" and Channel 4 in England.

Mair hopes the film will have an impact not all that different from that of the spectacular migrations he has been studying. It will spread information and culture. "This film is important, because tens of millions are going to see the mummies now. It will have a tremendous educational impact and help open up China more."



## District Cleans Up

*Carl Morrison pushes the Green Machine and Alicia Smith drives the Mad Vac along 40th and Chestnut streets as part of the the new University City District (UCD), a special services district serving the University City neighborhoods of West Philadelphia. Sponsorship of UCD is a collaborative effort between a number of University City institutions, including Penn, Drexel, Philadelphia College of Pharmacy and Science, the University City Science Center, Amtrak, the U.S. Postal Service and the Veterans Affairs Medical Center. UCD provides cleaning, security and other services and covers 30th Street on the east to 43rd Street on the west; extending further west along Woodland, Baltimore, Spruce, Walnut, Chestnut and Market streets from 43rd to 48th streets; northern and southern boundaries are Spring Garden Street and Woodland Avenue.*



Photograph by Candace di Carlo

— Phyllis Holtzman



## To the University Community

In September 1989, the University of Pennsylvania received from the United States Department of Justice a request for information in connection with an inquiry into potential agreements among colleges and universities relating to financial aid, tuition, and faculty and administrative salaries. Cooperating fully with the investigation, the University provided many thousands of documents to the Justice Department.

The Justice Department's inquiry culminated in the entry on September 20, 1991, of a final judgment in the United States District Court for the Eastern District of Pennsylvania. Under the terms of that judgment, the University of Pennsylvania and seven other Ivy League schools agreed not to exchange certain types of information, such as financial aid data and "plans and projections, including budget assumptions, regarding future student fees or general faculty salary levels...."

In 1992, Congress modified the requirements of the final judgment by enacting legislation that allowed colleges and universities to agree to award institutional financial aid on the basis of need; the law did not authorize them to discuss financial aid awards to specific common applicants. That law, which expired on September 30, 1994, was replaced by legislation that permits colleges and universities that practice "need-blind" admissions to: (a) agree to award aid only on the basis of financial need; (b) use common principles of analysis for determining need; (c) use a common aid application form; and (d) exchange certain limited financial aid data with respect to commonly admitted applicants prior to making an aid award.

"Need-blind" admissions is defined as making admissions decisions "without regard to the financial circumstances" of the student. The law does not authorize colleges and universities to discuss specific awards to common applicants. Under the final judgment, the University is still required to maintain an enforcement program that disseminates the rules set out in the judgment and monitors compliance with the antitrust laws.

In accordance with the requirements of the final judgment, I have been designated Antitrust Compliance Officer with responsibility for implementing the antitrust compliance program. While complying with the final judgment is a priority, it should not impede appropriate communication among schools. Accordingly, we are republishing the final judgment in *United States v. Brown University, et al.* and the University's guidelines on cooperative exchanges of certain University information. Attorneys for the University are available to confer with you regarding compliance with the final judgment and the antitrust laws. Please direct your questions to the Office of the General Counsel, 221 College Hall; telephone: 898-7660.

— Shelley Z. Green, General Counsel

## Guidelines on Cooperative Exchanges of Certain University Information

1. These Guidelines apply to University information pertaining to tuition (including fees for room and board), financial aid and salary levels for faculty and administrative personnel.

2. University officials may disclose policies and information to the public and may communicate to others policies and information once they have been made public. However, no University official shall communicate to an official of another school any plans or projections, including budget assumptions, regarding tuition and fees or general faculty salary levels prior to their final approval by the administration or the Trustees, as appropriate.

3. University officials must not participate in one-on-one or roundtable discussions with representatives of other institutions about projected or anticipated levels of tuition, fees, and salaries, or budget assumptions, and if such discussions occur, University officials must excuse themselves.

4. Decisions by the University relating to the setting of tuition, fees and salaries or the awarding of financial aid must not be based upon or refer to projections of tuition, fees, and salaries or financial aid by other educational institutions. University officials cannot solicit information concerning projected levels of tuition, fees and salaries or the methodology for awarding financial aid at other educational institutions.

5. No University official may request from, communicate to or exchange with any college or University confidential financial aid information. For purposes of this policy, confidential

financial aid information includes but is not limited to the application of a Needs Analysis Formula to, or how family or parental contribution will be calculated for, a specific applicant; the University's plans or projections regarding summer savings requirements or self-help; the aid awarded or proposed to be awarded any applicant except as required by federal law.

6. In general, current and historical data relating to tuition, fees and salaries may be discussed and exchanged with representatives of other institutions, unless such disclosure is proscribed (for reasons other than the antitrust laws) by University or legal regulations. (For example, the University generally will not disclose the salary of any identified individual without his or her consent.) Thus, University officials may release to representatives of other institutions and to the press information relating to current or past levels of tuition, fees and aggregate salaries, and may participate in discussions with representatives of other institutions about such current or past information. However, University officials cannot disclose budget assumptions about future tuition, fees and salaries, or suggest that the University will maintain current levels of tuition, fees and salaries or will modify them in any particular way (e.g., to agree that tuition and fees will rise by a specified percentage).

7. Any University official who learns of a violation of these Guidelines or of Section IV of the Final Judgment, must report it to the Antitrust Compliance Officer.

Questions about these Guidelines should be directed to the Office of the General Counsel.

Final Judgment of the U.S. District Court for the Eastern District of Pennsylvania begins on **next page**.

**UNITED STATES DISTRICT COURT  
FOR THE EASTERN DISTRICT OF PENNSYLVANIA**

UNITED STATES OF AMERICA,

Plaintiff,

v.

BROWN UNIVERSITY IN PROVIDENCE  
IN THE STATE OF RHODE ISLAND  
AND PROVIDENCE PLANTATIONS;

THE TRUSTEES OF COLUMBIA  
UNIVERSITY IN THE CITY  
OF NEW YORK;

CORNELL UNIVERSITY;

THE TRUSTEES OF DARTMOUTH  
COLLEGE;

PRESIDENT AND FELLOWS OF  
HARVARD COLLEGE, MASSACHUSETTS;

MASSACHUSETTS INSTITUTE OF  
TECHNOLOGY;

THE TRUSTEES OF PRINCETON  
UNIVERSITY;

THE TRUSTEES OF THE UNIVERSITY  
OF PENNSYLVANIA; and

YALE UNIVERSITY,

Defendants.

Civil Action No. 91-3274

FINAL JUDGMENT

Filed:

September 19, 1991

Entered:

September 20, 1991

the student's income from term time employment offered by, or through, the college or university).

(E) "Merit Aid" means Financial Aid that is not based on economic need.

(F) "Needs Analysis Formula" means any formula for calculating or ascertaining a student's need or Family or Parental Contributions.

(G) "Summer Savings Requirement" means the amount the college or university requires the student to earn during the summer to contribute to his or her Student Fees for the following year.

### III. APPLICABILITY

This Final Judgment shall apply to each defendant and to each of their officers, trustees, and other members of their governing boards, employees, agents, successors, and assigns, and to all other persons in active concert or participation with any of them who shall have received actual notice of this Final Judgment by personal service or otherwise.

### IV. PROHIBITED CONDUCT

Each defendant is enjoined and restrained from:

(A) agreeing directly or indirectly with any other college or university on all or any part of Financial Aid, including the Grant or Self-help, awarded to any student, or on any student's Family or Parental Contribution;

(B) agreeing directly or indirectly with any other college or university on how Family or Parental Contribution will be calculated;

(C) agreeing directly or indirectly with any other college or university to apply a similar or common Needs Analysis Formula;

(D) requesting from, communicating to, or exchanging with any college or university the application of a Needs Analysis Formula to, or how family or parental contribution will be calculated for, a specific Financial Aid applicant;

(E) agreeing directly or indirectly with any other college or university whether or not to offer Merit Aid as either a matter of general application or to any particular student;

(F) requesting from, communicating to, or exchanging with any other college or university its plans or projections regarding Summer Savings Requirements or Self-help for students receiving Financial Aid;

(G) requesting from, communicating to, or exchanging with any other college or university, the Financial Aid awarded or proposed to be awarded any Financial Aid applicant except as required by federal law;

(H) requesting from, communicating to, or exchanging with any other college or university any information concerning its plans or projections, including budget assumptions, regarding future Student Fees or general Faculty Salary levels; and

(I) entering into, directly or indirectly, any contract, agreement, understanding, arrangement, plan, program, combination, or conspiracy with any other college or university or its officers, directors, agents, employees, trustees, or governing board members to fix, establish, raise, stabilize, or maintain Student Fees or Faculty Salaries.

### V. COMPLIANCE PROGRAM

Each defendant is ordered to maintain an antitrust compliance program which shall include designating, within 30 days of the entry of this Final Judgment, an Antitrust Compliance Officer with responsibility for accomplishing the antitrust compliance program and with the purpose of achieving compliance with this Final Judgment. The Antitrust Compliance Officer shall, on a continuing basis, supervise the review of the current and proposed activities of his or her defendant institution to ensure that it complies with this Final Judgment. The Antitrust Compliance Officer shall be responsible for accomplishing the following activities:

(A) distributing, within 60 days from the entry of this Final Judgment, a copy of this Final Judgment (1) to all trustees and governing board members, and (2) to all officers and non-clerical employees who have any

## Final Judgment

Plaintiff, United States of America, filed its Complaint on May 22, 1991. Plaintiff and consenting defendants, by their respective attorneys, have consented to the entry of this Final Judgment without trial or adjudication of any issue of fact or law. This Final Judgment shall not be evidence or admission by any party with respect to any issue of fact or law. Therefore, before any testimony is taken, and without trial or adjudication of any issue of fact or law, and upon consent of the parties, it is hereby ORDERED, ADJUDGED AND DECREED:

### I. JURISDICTION

This Court has jurisdiction of the subject matter of this action and of each of the parties consenting to this Final Judgment. The Complaint states a claim upon which relief may be granted against each defendant under Section 1 of the Sherman Act, 15 U.S.C. § 1.

### II. DEFINITIONS

As used in this Final Judgment:

(A) "Student Fees" means the tuition, room, board, and mandatory fees, or any of these individually, a college, or university charges.

(B) "Family Contribution" means the amount the student and the student's family pay from their income and assets towards the Student Fees.

(C) "Parental Contribution" means the portion of the Family Contribution the student's parent or parents contribute from their income and assets.

(D) "Financial Aid" means a reduction of the total Student Fees for a particular student. It consists of grants (gift aid) and self-help (loans and

responsibility for recommending or setting of fees, salaries, or financial aid in the offices of the President, Vice Presidents, Provost, Deans, Financial Aid, Admissions, Budget, Controller, Treasurer, and other similar offices;

(B) distributing in a timely manner a copy of this Final Judgment to any officer, employee, or trustee who succeeds to a position described in Section V(A);

(C) briefing annually those persons designated in Section V(A) on the meaning and requirements of this Final Judgment and the antitrust laws and advising them that each defendant's legal advisers are available to confer with them regarding compliance with the Final Judgment and the antitrust laws;

(D) obtaining from each officer, employee, or trustee designated in Section V(A) an annual written certification that he or she: (1) has read, understands, and agrees to abide by the terms of this Final Judgment; (2) has been advised and understands that non-compliance with this Final Judgment may result in his or her conviction for criminal contempt of court; and (3) is not aware of any past or future violation of this decree that he or she has not reported to the Antitrust Compliance Officer; and

(E) maintaining a record of recipients to whom the final Judgment has been distributed and from whom the certification in V(D) has been obtained.

## VI. CERTIFICATION

(A) Within 75 days after the entry of this Final Judgment, each defendant shall certify to the plaintiff whether it has designated an Antitrust Compliance Officer and has distributed the Final Judgment in accordance with Section V above.

(B) For 10 years after the entry of this Final Judgment, on or before its anniversary date, the Antitrust Compliance Officer at each defendant school shall certify annually to the Court and the plaintiff whether that defendant has complied with the provisions of Section V.

(C) At any time, if a defendant's Antitrust Compliance Officer learns of any past or future violation of Section IV of this Final Judgment, that defendant shall, within 45 days after such knowledge is obtained, take appropriate action to terminate or modify the activity so as to comply with this Final Judgment.

(D) If any person designated in Section V(A) learns of any past or future violation of this decree, he or she shall report it to the Antitrust Compliance Officer promptly.

## VII. SANCTIONS

(A) If, after the entry of this Final Judgment, any defendant violates or continues to violate Section IV, the Court may, after notice and hearing, but without any showing of willfulness or intent, impose a civil fine upon that defendant in an amount reasonable in light of all surrounding circumstances. A fine may be levied upon a defendant for each separate violation of Section IV.

(B) Nothing in this Final Judgment shall bar the United States from seeking, or the Court from imposing, against any defendant or person any other relief available under any other applicable provision of law for violation of this Final Judgment, in addition to or in lieu of civil penalties provided for in Section VII(A) above.

## VIII. PLAINTIFF ACCESS

(A) To determine or secure compliance with this Final Judgment and for no other purpose, duly authorized representatives of the plaintiff shall, upon written request of the Assistant Attorney General in charge of the Antitrust Division, and on reasonable notice of the relevant defendant, be permitted:

(1) access during that defendant's office hours to inspect and copy all records and documents in its possession or control relating to any matters contained in this Final Judgment; and

(2) to interview that defendant's officers, employees, trustees, or agents, who may have counsel present, regarding such matters. The interviews shall be subject to the defendants's reasonable convenience and without restraint or interference from any defendant.

(B) Upon the written request of the Assistant Attorney General in charge of the Antitrust Division, a defendant shall submit such written reports, under oath in requested, relating to any of the matters contained in this Final Judgment as may be reasonably requested.

(C) No information or documents obtained by the means provided in this Section VIII shall be divulged by the plaintiff to any person other than a duly authorized representative of the executive branch of the United

States, except in the course of legal proceeding to which the United States is a party, or for the purpose of securing compliance with this Final Judgment, or as otherwise required by law.

## IX. LIMITING CONDITIONS

(A) Nothing in this Final Judgment shall prevent defendants that are members of a common athletic league from: (1) agreeing to grant financial aid to recruited athletes or students who participate in athletics on the sole basis of economic need with no differentiation in amount or in kind based on athletic ability or participation, provided that each school shall apply its own standard of economic need; (2) agreeing to permit independent auditors access to Financial Aid information to monitor adherence to this agreement so long as the monitoring process does not disclose financial aid information, needs analysis or methodology to other league members; or (3) interpreting this agreement and enforcing it so long as such interpretation and enforcement do not disclose financial aid information, needs analysis or methodology to other league members.

(B) Nothing in this Final Judgment shall prohibit any defendant from advocating or discussing, in accordance with the doctrine established in *Eastern Railroad Presidents Conference v. Noerr Motor Freight, Inc.*, 365 U.S. 127 (1961), and its progeny, legislation, regulatory actions, or governmental policies or actions.

(C) Nothing in this Final Judgment shall prevent any defendant from: (1) disclosing policies or information to the public; or (2) communicating to others policies or information once they have been made public. However, no individual designated in Section V(A) shall communicate to any individual similarly situated at another defendant institution any plans or projections, including budget assumptions, regarding Student Fees or general Faculty Salary levels prior to their approval by that defendant's Governing Board.

(D) Nothing in this Final Judgment shall prohibit any defendant from unilaterally adopting or implementing a Financial Aid program based, in whole or in part, on the economic need of applicants.

(E) Nothing in this Final Judgment shall prohibit or regulate conduct that federal legislation enacted subsequent to the entry of the Final Judgment authorizes or exempts from the antitrust laws.

(F) Nothing in this Final Judgment shall prevent the defendants from each unilaterally utilizing or appointing an independent agency, whether or not utilized by other defendants, to collect and forward information from Financial Aid applicants concerning their financial resources. The agency may only forward the financial aid information requested by that particular defendant.

(G) Nothing in this Final Judgment shall prohibit defendants or their representatives from continuing their consultations with the College Scholarship Service concerning the processing and presentation of its data in the same manner and degree as currently exists.

(H) Nothing in this Final Judgment shall prohibit an individual designated in Section V(A) from serving as and performing the normal functions of a trustee or governing board member of another college or university that is not a defendant to this action. However, the individual may not disclose any non-public information including student fees, faculty salaries, or financial aid to any other college or university.

(I) Nothing in this Final Judgment shall prohibit any defendant from disclosing information as part of the accreditation process. However, any individual participating in the accreditation process may not disclose any non-public information including student fees, faculty salaries, or financial aid to any college or university.

(J) Nothing in this Final Judgment shall prohibit any defendant from providing financial aid for an individual student in situations where such defendant is jointly providing education or financial aid for that student with another college or university.

## X. FURTHER ELEMENTS OF DECREE

(A) This Final Judgment shall expire 10 years from the date of entry.

(B) Jurisdiction is retained by this Court for the purpose of enabling any of the parties to this Final Judgment to apply to this Court at any time for further orders and directions as may be necessary or appropriate to carry out or construe this Final Judgment, to modify or terminate any of its provisions, to enforce compliance, and to punish violations of its provisions.

(C) Entry of this Final Judgment is in the public interest.

*Dated: September 19, 1991*

—Louis C. Bechtle, Ch.J.



# 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 September 2-5, 1997

### ANNENBERG SCHOOL

Contact: Monique Thompson

**INFORMATION MANAGEMENT SPECIALIST II** (081396MT) Support graduate school department computer system; provide program support; develop solutions for integrating software applications; setup & support software; assist in systems hardware setup & maintenance; assist & train end users & write & distribute end-user documentation. **QUALIFICATIONS:** BA/BS in Computer Science, MIS or equivalent with 5 years related experience; experience with ability to support MS Office software suite; visual basic program experience strongly preferred; strong organizational & communication skills essential; experience in academic computing environment preferred. **GRADE:** P6; **RANGE:** \$32,857-42,591; 9-2-97 Annenberg

### ARTS AND SCIENCES

Contact: Sue Hess

**INFORMATION SYSTEMS SPECIALIST I** (081300SH) Provide end-user computer support; manage AppleShare network; install, service & troubleshoot hardware & software problems; perform system maintenance chores; train & assist users; write & produce training documentation; design & implement local databases; assist with special projects; assist other SAS departments/offices. **QUALIFICATIONS:** BA/BS required, preferably in Computer Science; experience with MacOS, MS Word, FileMaker Pro 3, Excel, PageMaker, PhotoShop, MacTCP, AppleShare, PageMill & other MacOS applications; knowledge of networking required; knowledge of University systems such as SRS & DataWarehouse a plus; Windows NT a plus; ability to work under minimal supervision, manage multiple projects & keep professional attitude toward end-user support essential. **GRADE:** P3; **RANGE:** \$24,617-31,982; 9-4-97 The College  
**VICE DEAN** (07969SH) Serve as chief financial & administrative officer for the School reporting to the Dean; manage school administrative & financial operations & oversee administration, human resources, facilities, finance & administrative support information systems; coordinate school-wide strategic planning process,

manage budget in excess of \$200 million, oversee productivity & managerial controls. **QUALIFICATIONS:** Graduate degree from recognized university desired, preferably an MBA with concentration in managerial accounting; senior-level management experience with leadership skills in not-for-profit or university setting; strategic financial planning & operations management experience essential; previous responsibility for facility management desirable. **GRADE/RANGE:** UNGRADED; 9-4-97 Dean's Office

### DENTAL SCHOOL

Contact: Monique Thompson

**SECRETARY III** (081381MT) Serve as backup secretary/receptionist; perform varied secretarial tasks; handle library research & special projects; compose routine correspondence; arrange appointments & meetings; handle standard inquiries; organize & maintain files. **QUALIFICATIONS:** HS diploma with business curriculum or equivalent; 1 year secretarial experience preferred; ability to type 55 WPM; familiarity with word processing packages/office automation equipment; ability to work independently. **GRADE:** G8; **RANGE:** \$16,171-20,240; 9-2-97 Student Affairs

**STAFF DENTIST** (40 HRS) (081380MT) (081382MT) Examine & treat patients; perform endodontic, orthodontic, periodontic work based on needs of patient; complete & maintain records & report on patients; teach & supervise students & residents. **QUALIFICATIONS:** DMD degree, licensure in PA; 1 year general practice residency completed or equivalent experience. **GRADE/RANGE:** UNGRADED; 9-2-97 Dental Care Center  
**STAFF HYGIENIST** (081414MT) Perform patient evaluations; record & update health history; chart existing oral conditions, needs & vital signs; monitor & motivate patients; perform scaling, root planing, curettage & polishing; instruct students & residents; maintain equipment & sterilize clinical instruments; order & maintain supplies. **QUALIFICATIONS:** Registered dental hygienist; certification & licensure in PA; 2 years direct clinical experience; evidence of continuing education; ability to work well with

variety of patients & staff; **POSITION LOCATED IN NORTHEAST PHILADELPHIA.** **GRADE:** P3; **RANGE:** \$24,617-31,982; 9-2-97 Dental Care Center

### EXECUTIVE VICE PRESIDENT

Contact: Sue Hess

**STUDENT FINANCIAL COUNSELOR** (06782SH) Provide customer service support to Penn students & families; identify & analyze financial inquiries & resolve multi-faceted & complex problems related to student billing accounts & financial assistance programs; interpret & communicate University, state & federal programs & regulations related to student financial aid funding & disbursement; participate in special peak period or special events. **QUALIFICATIONS:** BA/BS preferred, some college or equivalent work experience; 2 to 5 years customer service experience preferable in educational or financial environment; strong verbal & written communication skills; ability to work under pressure in fast-paced office & communicate complex financial information to diverse population; ability to speak in public; knowledge of computers & aptitude to learn new systems; initiative & decision-making skills a must. **GRADE:** P3; **RANGE:** \$24,617-31,982; 9-3-97 Student Financial Services

### LAW SCHOOL

Contact: Andrew Belser

**DIRECTOR IV** (081423BEL) Formulate program objectives & initiatives for media relations & for publications which includes overseeing production of full complement of publications, including Penn Law Journal, The Dean's Report, The Annual Report of Law School, & any other communications vehicles of instruments as may be appropriate to meet program objects & goals; develop strong & effective contacts; serve as a member of the Law Development & Alumni Relations management group & serve on appropriate Law Development, Law School, University Development & other University of Pennsylvania committees; collaborate & coordinate

# OPPORTUNITIES at PENN

dinate Law School publications & communications activities with other University offices. **QUALIFICATIONS:** BA/BS required, graduate degree preferred; 5 years experience in public or media relations, marketing & communications as well as working knowledge of publications design & production; outstanding writing, editorial & oral communications skills; superior interpersonal skills & demonstrated success in program & budget management; ability to be constructive in establishing the Law School's communications & media relations program as a productive system of outreach to all Law School audiences through a blend of publicity, marketing, media exposure & traditional publications & communications vehicles with innovative, creative, market & client-oriented perspective; successful track record in creating & directing comprehensive communications programs with significant external responsibilities, is highly desirable. **GRADE:** P7; **RANGE:** \$36,050-46,814; 9-5-97 Law Development & Alumni Relations

## MEDICAL SCHOOL

Contact: Ronald Story/Anna Marcotte

**ADMINISTRATIVE ASSISTANT I (40 HRS)** (081422AM) Coordinate seminars & special events, including scheduling of travel & meetings for outside visitors; maintain & update database files & computer & hard copy files on special events. **QUALIFICATIONS:** HS Diploma with 3 years administrative, secretarial or related experience required; ability to type 45 WPM; strong computer, written, verbal & organizational skills required; excellent interpersonal skills; ability to handle multiple tasks, work with diverse group of people; strong customer service skills, especially in stressful environment; hours 8:30-5:30. **GRADE:** G9; **RANGE:** \$20,130-25,133; 9-2-97 Pharmacology

**ADMINISTRATIVE ASSISTANT I (40 HRS)** (081420AM) Coordinate courses for medical students, plus student laboratories & conferences; provide administrative support to course director, department faculty & Graduate Student Coordinator; provide customer service. **QUALIFICATIONS:** HS diploma, BA/BS preferred; 2 years administrative experience; demonstrated word processing skills, preferably Microsoft Word on Mac; good grammar & spelling essential; medical or scientific terminology helpful. **GRADE:** G9; **RANGE:** \$20,130-25,133; 9-2-97 Pharmacology

**ADMINISTRATIVE ASSISTANT II (40 HRS)** (081432AM) Assist & coordinate maintenance of equipment. Maintain equipment & supply inventory; prepare service contracts & monitor/call for service; set up training for new equipment/employees; handle purchasing of supplies; keep records and prepare journals; collect, sort & distribute mail; monitor building problems, emergencies, environmental rooms; maintain financial records; coordinate schedules. **QUALIFICATIONS:** HS diploma, some college desired; 3 years equivalent experience in University setting or equivalent required; knowledge & training in FinMIS & Macintosh computer systems using Microsoft Excel and Word; experience with office automation equipment; familiar with laboratory equipment; detail oriented; ability to prioritize & handle multi-task projects; strong

verbal & written communication skills, problem-solving skills; excellent interpersonal skills. **GRADE:** G10; **RANGE:** \$22,013-27,427; 9-4-97 Cancer Center

**ADMINISTRATIVE ASSISTANT III (081417AM)** Provide administrative support to deans & staff; prepare correspondence; maintain database for faculty promotions & teacher awards; assist with coordinating course reviews; prepare mailings; coordinate meetings. **QUALIFICATIONS:** BA/BS required; 1 to 2 years experience in administrative support position; Mac OS, Microsoft Office for Mac experience required; work with minimal supervision & under pressure of deadlines; strong interpersonal, written & verbal communication skills; strong sense of accounting. **GRADE:** G11; **RANGE:** \$20,497-26,008; 9-2-97 Academic Programs

**CLERK V (40 HRS)** (081421AM) Provide administrative & clerical support in Chairman's office; manage office & telephone reception, word processing, receipt & distribution of packages & mail, errand running & other duties as requested. **QUALIFICATIONS:** HS diploma with business training (2 years), BA/BS or equivalent experience preferred; ability to type 45 WPM; strong computer skills, written & verbal communication skills & organizational skills; ability to work well with diverse group of people, handle multiple tasks, determine priorities; hours 8:30-5:30. **GRADE:** G8; **RANGE:** \$18,481-23,132; 9-2-97 Pharmacology

**PSYCH TECH I (28 HRS)** (081430RS) Conduct research interviews; schedule line interviews to be conducted in subjects' homes throughout Philadelphia area; collect interview & subject data; collect blood samples & prepare for storage; conduct cognitive tests & make physical measurements; approximately 9 home visits/week with evenings & weekends required. **QUALI-**

**FICATIONS:** BA/BS or equivalent required; demonstrated ability to recruit & conduct research interviews; attention to detail; good interpersonal skills; research experience preferred; phlebotomy certification, car & valid driver's license required; *position contingent upon grant funding.* **GRADE:** G10; **RANGE:** \$15,409-19,199; 9-4-97 Ctr Res Repro Women's Hlth

**RESEARCH COORDINATOR JR (40 HRS)** (071205RS) Prepare & maintain required regulatory documents for research projects; serve as primary contact for project participants, schedule meetings, manage & analyze data; responsible for security & integrity of data collected; recruit & enroll patients. **QUALIFICATIONS:** RN with PA license, BSN preferred; 3 to 5 years research experience. **GRADE:** P5; **RANGE:** \$29,664-38,677; 9-5-97 Radiology

**RESEARCH LAB TECH II, PART-TIME (20 HRS)** (081418RS) Manage & maintain zebrafish facility; maintain biological & particle filters, UV lights; assay water quality daily; maintain reverse osmosis & buffering water systems; feed fish; maintain brine shrimp hatcheries; order fish room supplies. **QUALIFICATIONS:** BA/BS in biological sciences or related experience; 1 to 2 years laboratory experience. **GRADE:** G10; **RANGE:** \$11,007-13,718; 9-2-97 Cell & Developmental Biology

**RESEARCH LAB TECH III (40 HRS)** (091438RS) Under limited supervision conduct solution chemistry, chromatographic & spectroscopic studies related to protein-ligand complexation; order laboratory supplies; synthesis & purification of peptides, spectroscopic characterization of peptides, description of anesthetic-protein interactions. **QUALIFICATIONS:** BA/BS in Biology, biochemistry, or chemistry; some laboratory & computer experience preferred; *end date 10-1-98.* **GRADE:** G10; **RANGE:** \$22,013-27,427; 9-5-97 Anesthesia

**RESEARCH SPECIALIST JR (081431RS)** Perform routine laboratory procedures, including mouse husbandry, DNA preparation; maintain lab records; perform minor equipment maintenance; order lab supplies; assist in planning protocols. **QUALIFICATIONS:** BA/BS in Biology or related field; laboratory experience preferred. **GRADE:** P1; **RANGE:** \$20,291-26,368; 9-4-97 Genetics

**RESEARCH SPECIALIST JR (071039RS)** PCR assembly of cDNAs for cytoskeletal proteins; prepare proteins & expression plasmids; plasmid transfections of cells; DNA sequencing; tissue culturing of cell lines & primary cells; assist in plan for protocol; maintain supplies; record data, keep logs & write reports; perform bibliographic searches & assist in writing manuscripts. **QUALIFICATIONS:** BA/BS in Biology, Chemistry or Molecular Biology; at least 1 year experience in Molecular Biology techniques helpful. **GRADE:** P1; **RANGE:** \$20,291-26,368; 9-2-97 Cell & Developmental Biology

**RESEARCH SPECIALIST JR (081419RS)** Draft protocols involving molecular analysis of early muscle development; perform in-situ & filter hybridization techniques; prepare recombinant DNA vectors; conduct DNA cloning & sequencing; cell transfections; establish primary cell cultures; histological procedures; document data by photomicrography; conduct RNA & DNA analysis of transgenic mice; analyze data; main-

## How to Apply

*The University of Pennsylvania is an Affirmative Action and 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.



# OPPORTUNITIES at PENN

tain mouse colony; order supplies. **QUALIFICATIONS:** BS in Biology or equivalent; some experience in molecular or developmental biology. **GRADE:** P1; **RANGE:** #20,291-26,368; 9-2-97 Cell & Developmental Biology

**RESEARCH SPECIALIST JR/I** (40 HRS) (081429RS) Assist in planning experimental protocols & perform experiments; demonstrate techniques & assign tasks to technicians & students; keep logs & write laboratory reports; attend meetings and conferences; perform library bibliographic searches; maintain lab equipment, order supplies, assist with writing methods sections of manuscripts. **QUALIFICATIONS:** BA/BS in related field; experience in molecular biology (RNA isolation, plasmid DNA purification, restriction mapping, etc.), tissue culture, handling small animals; **RS I:** 1 to 3 years related experience. **GRADE:** P1/P2; **RANGE:** \$20,291-26,368 / \$22,351-29,098; 9-4-97 Ctr Res Repro Women's Hlth

**RESEARCH SPECIALIST I** (081411RS) Perform advanced molecular biology techniques including sequence-based typing of HLA alleles; analyze HLA typing data; train & supervise employees; work independently & coordinate complex activities; assist in writing new procedures; develop new sequence-based typing assays & review scientific literature; make recommendations in laboratory procedures. **QUALIFICATIONS:** BA/BS in scientific field; 1 to 3 years experience in molecular biology, PCR; strong computer skills. **GRADE:** P2; **RANGE:** \$22,351-35,844; 9-4-97 Pathology

**RESEARCH SPECIALIST II** (081416RS) Perform lab techniques including PCR, Southern blotting, DNA/RNA preps, subcloning & tissue culture; test new procedures; order supplies; monitor expenses; research & suggest protocols & techniques; perform complex data analysis;

train & direct students & maintain lab safety. **QUALIFICATIONS:** BA/BS in Biology or related field; 3 to 5 years experience; extensive surgical experience. **GRADE:** P3; **RANGE:** \$24,617-31,982; 9-2-97 Genetics

## PRESIDENT

Contact: Sue Hess

**ADMINISTRATIVE ASSISTANT I** (40 HRS) (081427SH) Perform administrative & clerical duties for Medical Center Alumni Development; prepare travel itineraries & arrange accommodations; maintain extensive database systems; assemble mailings; compile & summarize data for donor & campaign reports; organize & maintain filing systems; serve as contact with alumni & other constituents; schedule meetings; word process correspondence; process gifts & payment of invoices; sort & open incoming mail. **QUALIFICATIONS:** HS diploma & related post-HS secretarial training; at least 2 years of secretarial experience required, with 1 year in development or marketing setting preferred; knowledge of Macintosh environment including Microsoft Word, Excel, Powerpoint and Filemaker Pro; sensitivity to confidential materials; ability to prioritize workflow, exercise judgment & communicate effectively with others; personable phone skills essential; excellent organizational skills. **GRADE:** G9; **RANGE:** \$20,130-25,133; 9-4-97 Med Center Development & Alumni Relations

**ADMINISTRATIVE ASSISTANT II** (091426SH) Provide administrative support to development staff; provide customer service for 15,000+ contributors; answer phones; perform data entry; prepare mailings; assist with fundraising & administrative tasks; oversee inventory & order supplies. **QUALIFICATIONS:** HS diploma required; 2 years as administrative assistant or equivalent; punctuality & customer service skills essential; ability to handle large volume of work using complex computer system; good phone manner, accurate typing, word processing experience, strong organizational skills, attention to detail & ability to meet deadlines required; knowledge of Memsys database desirable. **GRADE:** G10; **RANGE:** \$19,261-23,999; 9-4-97 WXP

**MAJOR GIFTS OFFICER I** (081332SH) Plan, implement & manage major individual gift appeals for alumni & major class reunion gifts, including direct solicitations, strategies for individual projects; facilitate staff, volunteer & physician interaction with prospects; perform needs analysis to establish development objectives; identify, cultivate & solicit prospects in consultation with faculty & development staff; direct & prepare major proposals, cultivation & solicitation materials; plan, coordinate & direct visits & special events for prospects & volunteers; oversee stewardship activities with assigned prospects & donors. **QUALIFICATIONS:** BA/BS with at least 3 years progressively responsible experience in institutional development, with emphasis on major gift solicitation from individuals & organizations or equivalent experience in alumni relations; experience in planned giving & in academic medical center of large scientific/health care research institution preferred; strong verbal & written communication

## Human Resources Q & A

• Do you have a question about employment at Penn?

You can e-mail your question to [askhr@pobox.upenn.edu](mailto:askhr@pobox.upenn.edu). We hope to answer the most frequently asked questions in this space soon in order to keep you up-to-date about Employment at Penn!

• Interested in temporary employment? Or, temporary employment while you look for a full-time position at Penn?

Contact Today's Penn Temps, the sole-source provider of temporary services at Penn. Contact Today's Penn Temps at 573-9600, or stop by their office in the Funderburg Information Center.

## Relative Investment Performance on Tax-Deferred Annuities

The Benefits Office regularly receives inquiries on the relative performance of investment funds offered under the University's tax deferred annuity program.

At right is a table which shows the performance of the various funds for the period ending 03/31/97. The first column shows an abbreviation for the investment philosophy of the fund. (Abbreviations are described below.) The second column shows the overall asset size of the fund in millions of dollars. Columns three through seven show the performance of the funds over various time horizons. Columns eight and nine show the best and worst year for the last five years.

The Benefits Office will periodically publish this information in Almanac to assist faculty and staff in monitoring the performance of their tax deferred annuity investments. Any faculty or staff member who would like additional information on these benefit programs may call the Benefits Office at 8-7281.

—Albert Johnson

Acting Manager of Benefits

### PHILOSOPHY KEY

Domestic:

AA 30:40:30

Asset Allocation 30% Stocks:40% Bonds:30%  
Cash Benchmark Fund

AA 60:35:5

Asset Allocation 60% Stocks:35% Bonds: 5%

Cash Benchmark Fund

B Balanced Fund

D Diversified Common Stock Fund

DI Diversified Common Stock Fund With  
Somewhat Higher Income

FII Fixed Income Fund (Intermediate-Term  
Maturity)

FIIG Fixed Income Fund (Intermediate-Term  
Maturity —Government Obligations)

FIJ Fixed Income Fund (Low-Rated Bonds)

FIL Fixed Income Fund (Long-Term Maturity)

FILG Fixed Income Fund (Long-Term Maturity  
— Government Obligations)

FIM Fixed Income Fund (Mortgage-Related  
Securities)

FIS Fixed Income Fund (Short-Term Maturity)

FISG Fixed Income Fund (Short-Term Maturity  
— Government Obligations)

MM Money Market Fund

S Specialty Stock Fund

SC Specialty Fund With Small Company  
Common Stock Orientation

International:

EM Emerging Markets Fund

ICS International Common Stock Fund

Global:

GAA Global Asset Allocation

60% Stocks:30% Bonds:10% Cash  
Benchmark Fund

GCS Global Common Stock Fund  
Source: Lipper Analytical Services and fund  
families.

\* Total Return: Dividend or interest plus capital appreciation or depreciation.

CREF Notes:

(1) CREF Equity Index Account was introduced on April 29, 1994.

(2) CREF Growth Account was introduced on April 29, 1994.

Vanguard Notes:

(1) Vanguard Intermediate-Term, Long-Term, and Short-Term Bond Portfolios were introduced on March 1, 1994.

(2) Vanguard Intermediate-Term Corporate Portfolio was introduced on November 1, 1993.

(3) Vanguard Horizon Funds were introduced on August 14, 1995.

(4) Vanguard International Equity Index Fund Emerging Markets Portfolio was introduced on May 4, 1994.

## 403(b) Performance Update Periods Ending March 31, 1997 Total Returns\*

	Philosophy	Size \$mm	Latest Quarter	1-Year Averg. Annual	3-Year Averg. Annual	5-Year Averg. Annual	10-Year Averg. Annual	Best & Worst Year For the last Five Years	
								Best	Worst
<b>Calvert Funds:</b>									
First Government Money Market Fund	MM	246	1.2	4.8	4.7	4.0	5.4	5.2	2.7
Income Fund	FIL	42	-0.5	4.8	6.3	7.1	8.1	18.6	-7.0
<b>Social Responsibility Funds</b>									
<b>Calvert Funds:</b>									
Social Investment Bond Portfolio	FII	62	-0.7	4.0	5.6	6.8	NA	17.4	-5.3
Social Investment Equity Portfolio	D	115	-0.6	14.5	10.0	7.6	NA	24.4	-12.1
Social Investment Managed Growth	B	605	-1.6	6.9	10.0	8.5	8.1	25.9	-4.7
Social Investment Money Market	MM	166	1.2	4.8	4.5	3.9	5.4	5.2	2.5
<b>CREF Funds</b>									
CREF Bond Market Account	FII	1,030	-0.6	4.6	6.3	7.1	NA	17.8	-4.4
CREF Equity Index Account (1)	D	1,079	0.7	16.3	NA	NA	NA	NA	NA
CREF Global Equities Account	GCS	4,260	-0.4	12.6	13.5	NA	NA	NA	NA
CREF Growth Account (2)	D	2,806	0.8	18.8	NA	NA	NA	NA	NA
CREF Money Market Account	MM	3,924	1.3	5.3	5.3	4.5	NA	5.9	3.0
CREF Social Choice Account	D	1,654	1.6	14.4	16.0	13.4	NA	29.5	-1.4
CREF Stock Account	D	80,979	0.5	14.0	17.4	14.3	11.8	30.9	-0.1
<b>Vanguard Funds:</b>									
Asset Allocation Fund	AA60:35:5	2,784	1.1	13.8	17.5	14.3	NA	35.4	-2.3
Balanced Index Fund	B	880	0.2	11.2	14.4	NA	NA	NA	NA
<b>Bond Index Fund:</b>									
Intermediate-Term Bond Portfolio (1)	FII	515	-1.1	4.1	NA	NA	NA	NA	NA
Short Term Bond Portfolio (1)	FIS	352	0.4	5.1	NA	NA	NA	NA	NA
Long Term Bond Portfolio (1)	FIL	46	-2.8	3.3	NA	NA	NA	NA	NA
Total Bond Mkt Portfolio	FII	4,918	-0.6	4.9	6.8	7.1	7.8	18.2	-3.4
Convertible Securities Fund	DI	165	0.5	11.9	9.8	10.6	8.7	19.4	-5.7
Equity Income Fund	DI	1,517	2.9	17.3	20.4	15.6	NA	37.3	-2.2
Explorer Fund	SC	2,037	-7.5	-0.6	11.5	11.4	10.1	27.7	-0.6
<b>Fixed Income Securities Fund:</b>									
GNMA Portfolio	FIM	7,365	-0.2	5.9	7.6	7.0	8.3	17.0	-1.2
High-Yield Corporate Portfolio	FII	3,705	0.2	9.4	9.9	10.6	9.0	19.2	-1.7
Intermediate-Term Corporate (2)	FII	600	-0.9	4.2	NA	NA	NA	NA	NA
Intermediate-Term U.S. Treasury	FIIG	1,257	-1.2	3.6	6.4	NA	NA	NA	NA
Long Term Corporate Portfolio	FIL	3,115	-2.2	3.7	7.2	8.6	9.0	26.4	-7.1
Long-Term U.S. Treasury Portfolio	FILG	865	-3.0	2.7	7.0	8.6	8.4	30.1	-10.1
Short-Term Corporate Portfolio	FIS	4,519	0.5	5.3	6.2	6.4	7.5	12.7	-0.1
Short-Term Federal Portfolio	FISG	1,340	0.4	5.0	5.7	6.0	NA	12.3	-0.9
Short-Term U.S. Treasury Portfolio	FISG	967	0.4	4.8	5.7	NA	NA	NA	NA
<b>Horizon Fund:(3)</b>									
Aggressive Growth Portfolio	D	238	-0.8	16.2	NA	NA	NA	NA	NA
Capital Opportunity Portfolio	D	90	-9.0	0.8	NA	NA	NA	NA	NA
Global Asset Allocation Portfolio	GA.60:30:10	79	0.4	8.6	NA	NA	NA	NA	NA
Global Equity Portfolio	GCS	113	0.2	9.0	NA	NA	NA	NA	NA
<b>Index Trust:</b>									
500 Portfolio	DI	33,706	2.6	19.7	22.2	16.3	13.1	37.5	1.2
Extended Market Portfolio	D	2,117	-3.5	7.0	15.5	13.6	NA	33.8	-1.8
Growth Portfolio	D	1,079	3.5	22.9	24.0	NA	NA	NA	NA
Small Cap Stock Fund	SC	1,715	-5.0	6.3	13.6	13.3	9.7	31.6	-0.5
Total Stock Market Portfolio	D	3,848	0.7	15.4	19.7	NA	NA	NA	NA
Value Portfolio	D	1,159	1.7	16.5	20.3	NA	NA	NA	NA
<b>International Equity Index Fund:</b>									
Emerging Markets Portfolio (4)	EM	806	4.9	10.3	NA	NA	NA	NA	NA
European Portfolio	ICS	1,808	4.9	22.6	17.4	15.3	NA	29.1	-2.3
Pacific Portfolio	ICS	913	-9.8	-18.6	-3.6	5.7	NA	45.6	-18.2
Intern't'l Growth Portfolio	ICS	5,889	2.4	11.5	11.4	14.3	9.5	44.8	0.8
<b>Money Market Reserves:</b>									
Federal Portfolio	MM	3,239	1.3	5.2	5.2	4.4	5.8	5.8	3.0
Prime Portfolio	MM	25,377	1.0	5.3	5.2	4.4	6.0	5.8	3.0
U.S. Treasury Portfolio	MM	3,115	1.2	5.1	5.0	4.2	5.6	5.5	2.8
Morgan Growth Fund	D	2,068	-1.0	15.0	19.4	14.2	11.9	36.0	-2.7
PRIMECAP Fund	D	4,599	4.7	19.9	23.4	19.4	13.4	39.0	9.9
Quantitative Portfolios	D	1,367	1.8	18.3	20.9	16.2	13.2	35.9	-0.6
STAR Fund	B	6,005	0.7	12.9	15.7	12.9	11.0	28.6	-0.2
<b>Trustees' Equity Fund:</b>									
International Portfolio	ICS	890	1.1	7.3	7.7	10.1	9.1	30.5	2.1
U.S. Portfolio	DI	135	1.2	16.9	16.7	15.0	10.6	33.2	-3.9
U.S. Growth Portfolio	DI	5,953	0.6	18.6	23.3	14.2	12.9	38.4	-1.4
Wellesley Income Fund	B	6,696	-0.6	10.1	11.9	11.6	10.6	28.9	-4.9
Wellington Fund	B	16,756	0.5	13.0	7.1	14.0	1.2	2.9	-0.5
Windsor Fund	DI	17,636	3.5	23.2	20.1	17.8	12.7	30.1	-0.2
Windsor II	DI	16,889	1.6	18.1	21.9	17.1	13.1	38.8	-1.2
<b>Sector Funds:</b>									
Energy	S	912	-4.1	19.3	17.6	17.4	11.9	37.1	-4.5
Gold & Precious Metals	S	478	-3.8	-17.4	-2.5	7.0	1.3	93.3	-17.4
Health Care	S	2,976	2.6	14.2	27.9	18.6	17.7	45.2	-2.3
Utilities Income	S	603	-1.4	5.5	11.1	NA	NA	NA	NA
<b>Indexes To Compare Performance Against</b>									
S&P 500			2.7	19.8	22.3	16.4	13.4	37.6	1.3
Lipper Capital Appreciation Funds Average			-3.3	6.1	13.8	12.5	10.5	30.2	-3.6
Lipper Growth Funds Average			-1.3	11.7	16.2	13.4	11.6	30.5	-2.2
Lipper Growth & Income Funds Average			1.1	15.5	17.9	14.2	11.6	30.6	-1.0
Salomon Bros. High-Grade Index			-2.2	4.2	7.6	8.4	9.0	27.2	-7.6
Lehman Brothers Gov't/Corporate Bond Index			-0.9	4.5	6.6	7.3	8.1	19.2	-4.1
Morgan Stanley Capital International-EAFE Index			1.6	1.4	6.5	10.6	6.0	32.6	1.7
Morgan Stanley Capital International-EMF Index			8.5	8.3	3.6	10.3	NA	74.8	-17.7
91-Day Treasury Bills			1.3	5.3	5.3	4.5	5.7	5.8	3.1



# OPPORTUNITIES at PENN

skills & administrative skills; local & national travel; valid driver's license required; *application deadline 9/10/97*. **GRADE:** P7; **RANGE:** \$36,050-46,814; 9-3-97 Med Center Development & Alumni Relations

**OFFICE SYSTEMS ADMINISTRATOR II** (081277SH) Develop & run reports using Crystal programming language in support of Medical Center Development & Alumni Relations; prepare and present proposals on system and software needs, capabilities, compatibility, modifications and upgrades; provide departmental MAC & PC support & training; prepare charts as needed & instruct/assist in data presentation graphics; evaluate compatibility of systems to department's needs; negotiate price, delivery, installation & maintenance with vendors; serve as liaison with central development & University's communications and computing services; manage & maintain prospect data bases. **QUALIFICATIONS:** BA/BS required; 3 to 4 years experience in office systems planning, analysis and/or administration; 1 year minimum of programming using SQL, FOCUS or CRYSTAL reporting; thorough knowledge of office related computer electronics equipment & software; strong verbal & written communication skills. **GRADE:** P3; **RANGE:** \$24,617-31,982; 9-4-97 Med Center Development & Alumni Relations

## PROVOST

Contact: Sue Hess

**ASSISTANT DIRECTOR II** (071151SH) Manage relations & stewardship activities, assist with research on prospective donors & oversee daily development activities for several sport programs. **QUALIFICATIONS:** BA/BS required; 2 to 3 years experience in institutional advancement or special events; must be highly organized & self-initiating, manage simultaneous projects, work evenings & weekends as required; demonstrated public relations skills & strong verbal & written communication skills. **GRADE:** P3; **RANGE:** \$24,617-31,982; 9-5-97 Intercollegiate Athletics

**HEALTH & SAFETY TECH** (40 HRS) (081415SH) Collect/receive surplus chemicals & determine appropriate method for reuse or disposal; assure disposal methods conform to University procedures & policies; provide information to faculty & staff on proper storage and disposal of chemicals; participate in the University's Hazardous Materials response team; participate as needed in University's asbestos management, biosafety & radiation safety programs; answer routine questions related to Environmental Health & Radiation Safety Programs. **QUALIFICATIONS:** BS in Science or equivalent;

ability to demonstrate through either formal training or work experience understanding of hazardous materials and knowledge of proper hazardous materials disposal; valid driver's license; ability to lift & carry heavy materials (40-60 lbs.); ability to wear personal protective equipment such as respirators, safety shoes, goggles; knowledge of database systems helpful. **GRADE:** G11; **RANGE:** \$23,425-29,723; 9-4-97 Environmental Health

**STORE CLERK I** (081408SH) Unpack, receive & check inventory; pack & process wholesale & retail orders; stock, price & maintain items for sale; take & fill order requests; lift & carry shop inventory; handle inquiries; record data; take inventory. **QUALIFICATIONS:** HS degree or equivalent; at least 1 year retail experience in selling, packaging, shipping & receiving; physical strength, stamina & mobility required; ability to operate cash register system & office machinery; strong interpersonal skills; basic knowledge of Shop operations; *Tues-Sat position*. **GRADE:** G4; **RANGE:** \$11,743-14,471; 9-2-97 Museum

## WHARTON SCHOOL

Contact: Anna Marcotte

**OPERATOR, DUP MACHINE IV** (081384AM) Perform routine functions of Xerox Network Publishing System, including mail merge, image merge, cut & paste, crop, rotate & mask images for production; release network orders using Novell, UNIX & Xerox servers; perform routine & advanced functions on Xerox 5790 Network Color Laser Printer; assist in receiving, storage & inventory of raw materials. **QUALIFICATIONS:** HS diploma or equivalent required; 3 years relevant experience required; training in graphic design & computer systems & applications including PageMaker, PhotoShop & Illustrator required; excellent math & communication skills; knowledge of MS Windows 3.1 & DOS commands; must be able to lift 50 lbs.; *overtime required; hours 4:30 PM-12:30 AM*. **GRADE:** G10; **RANGE:** \$19,261-23,999; 9-2-97 WCIT

## Drinking and Depression

Are you drinking because you are depressed? Are you depressed because you are drinking? The drinking and depression cycle can be stopped. Call the University of Pennsylvania's Treatment Research Center, between 9 a.m.-5 p.m., Monday-Friday at 243-9959 for more information.

—Perry Monastero,  
Treatment Research Center

## Schizophrenia Study

The Schizophrenia Mental Health Clinical Research Center at the Medical Center is conducting a clinical study of new antipsychotic medications. They are seeking participants between 16 and 40 years old who have suffered from the first episode of a psychotic illness. Participants will receive medications, clinical care, and ongoing studies of cognitive function and brain imaging for up to five years at no charge. For more information, call Nancy at 662-7388.

## Marshall Sherfield Fellowships

To mark the 50th anniversary of the Marshall Plan, the Marshall Aid Commemoration Commission will offer two new postdoctoral Marshall Sherfield Fellowships in 1998.

The Fellowships, which are being funded by the British Government, and administered by the Marshall Commission, will enable an American scientist or engineer to undertake post-doctoral research for up to one year at a British university or research institute.

The aim of the Marshall Sherfield Fellowships is to introduce American scientists and engineers to the cutting edge of UK science and engineering. It is intended that this in turn will build longer-term contacts and international links between the United Kingdom and the United States in key scientific areas.

To qualify, candidates must be U.S. citizens and hold a doctorate in science or engineering. These awards are not available for study for a higher degree. Applications may be obtained from:

Ms. Ann Kuhlman,  
Associate Director  
Office of International Programs  
133 Bennett Hall/6275

Completed applications must be sent to the British Embassy, Washington DC, postmarked no later than October 14, 1997.

—Joyce M. Randolph, Director  
Office of International Programs

## Morris Arboretum Guide Training

A nine-week training program for new volunteer guides begins September 24 at the Morris Arboretum in Chestnut Hill. Guide trainees learn about the Arboretum's plant collections, wildlife, research and history as well as guiding techniques. Active guides enjoy regularly scheduled enrichment workshops and field trips and receive free or reduced rates for Arboretum courses. The training program meets Wednesdays from 10 a.m.-1 p.m., September 24-November 19. Prospective guides may register by calling the Education Department at 247-5777, ext. 157. The cost for the course is \$40.

## 1997-98 Penn Student Directories

University of Pennsylvania Student Directories are now available for faculty and staff. Departments should send a representative to the Penn Student Agencies office in Houston Hall to receive Directories. For more information, call 898-6815.

## 1997-98 Penn Calendar/Planner

Penn Student Agencies' annual *Penn Calendar* and *Penn Planner* are now available at the PSA office in Houston Hall. This year's *Calendar* features 12 great color pictures of Penn and Philadelphia and includes every important date on campus as well as local cultural events. The 1997-1998 *Penn Planner* includes dozens of photos highlighting a myriad of student activities and will help organize the tightest of schedules. The prices are as follows: *Penn Calendar* —\$9.95; *Penn Planner* —\$8.95.

The ProCard and the University Budget Codes are accepted at PSA. Free delivery of *Calendars* and *Planners* is also available for large orders. For more information, call Penn Student Agencies at 898-6815.

## Classified

### HOUSE FOR SALE

Rose Valley/Media area. 4 bedrooms, 2 1/2 baths; unique design; close to train. Available March; \$295,000. (610) 566-4248.

Note: For classified information, call 898-5274.

# Update

SEPTEMBER AT PENN

## EXHIBITS

**Now** Artists Guild of Delaware Valley September Exhibition of Members' Art; Houston Hall. Through September 29.

## FILMS

**12** *W.E.B. DuBois—A Biography in Four Voices* (Louis Massiah); 1:15 p.m., Room 200, College Hall (part of Visions of Independent Africa).

**17** *Mother Tongue* (Patrice Mallard, 1994; 7 minutes) and *Drive-By Shoot* (Portia Cobb, 1994;

12 minutes); 7 p.m., Greenfield Intercultural Center (African American Resource Center; Office of Health Education).

## Neighborhood Film/Video Project

Films are shown at InternationalHouse, 3701 Chestnut Street. Full descriptions available on line: [www.libertynet.org/~ihouse](http://www.libertynet.org/~ihouse). Information/tickets: 895-6542.

**13** *The Lost World: Jurassic Park* (Steven Spielberg, 1997, USA) open captioned; 7 p.m.

**14** *Hercules* (Disney, 1997, USA) open captioned; 2:30 p.m.

*The Lost World, Jurassic Park*, 4:30 p.m.

## FITNESS/LEARNING

*English as a Second Language courses*; ad-

vanced written communication, pronunciation TOEFL preparation, listening and speaking; 6-8:30 p.m. Call 898-8681 for more information or to register.

## SPECIAL EVENTS

*Annual Tropical Plant Sale*; Rose's Florist, Houston Hall. Through September 10.

**17** *Faculty Club Open House*; 4-6 p.m., Faculty Club; for current and prospective faculty, staff and alumni members.

## TALKS

**10** *Insulin Resistance and the Polycystic Ovary Syndrome*; John E. Nestler, Medical College of Virginia, Virginia Commonwealth University; noon, Hirst Auditorium, First Floor, Dulles, HUP (Center for Research on Reproduction and Women's Health).

**12** *Broadcasting & Democracy*; Reed E. Hundt, FCC Chairman; 2-3 p.m., Annenberg School Auditorium (Annenberg Public Policy Center).

**15** *Mechanisms of Genomic Target Selection by DNA-Damaging Chemicals: Studies with Eneidine Anticancer Drugs*; Peter Dedon, division of toxicology; MIT; noon, Pharmacology Seminar Room, John Morgan Building (Pharmacology & Center for Experimental Therapeutics).

*Using Simulated Microgravity for Building Biological Tissue Constructs*; David F. Meaney, bioengineering; 3:30 p.m., Room 337, Towne Building.

**Deadline:** The deadline for the October at Penn calendar is September 16. See addresses below.

## 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 **August 11, 1997 through August 31, 1997**. Also reported were **Crimes Against Property**, including **90 total thefts** (including **10 burglaries & attempts**, **27 thefts of bicycles & parts**, **8 theft & attempt of auto**, **16 thefts from autos**, **9 criminal mischief & vandalism**, **3 forgery & fraud**, and **3 trespassing & loitering**.) Full crime reports are in this issue of *Almanac* on the Web ([www.upenn.edu/almanac/v44/n3/crimes.html](http://www.upenn.edu/almanac/v44/n3/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 **August 11, 1997 through August 31, 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:** Aggravated assaults—1, Purse snatches—1, Threats & Harassment—5

08/11/97	5:03 PM	Mudd Building	Complainant reports harassment by staff member
08/14/97	11:53 AM	36th & Chestnut	Staff member harassed by student
08/14/97	9:18 PM	Sheraton Hotel	Employee threatened by unknown male
08/19/97	7:21 AM	Johnson Pavilion	Complainant reports being harassed
08/24/97	8:42 PM	34 & Civic	Male assaulted Phila. Police officer/arrest
08/26/97	2:27 PM	200 Blk 38th	Purse taken and later recovered/currency missing
08/29/97	10:24 PM	International House	Complainant threatened

**38th to 41st/Market to Baltimore:** Robberies (& Attempts)—3, Threats & Harassment—1

08/11/97	5:15 AM	40th & Chestnut	Complainant robbed by 4 males
08/12/97	12:22 AM	3800 Blk Sansom	Wallets taken from 2 complainants/unknown suspects
08/16/97	4:56 PM	40th & Spruce	Complainant robbed/unknown suspect w/baseball bat
08/31/97	2:49 AM	Beta Theta Pi	Complainant reports being threatened

**41st to 43rd/Market to Baltimore:** Robberies (& Attempts)—3, Simple assaults—1

08/16/97	5:25 AM	300 Blk 42nd	Complainant struck and threatened/arrest
08/22/97	7:10 PM	4100 Blk Market	Complainant robbed by unknown person of currency
08/24/97	2:21 AM	200 Blk 42nd	Complainants robbed by unknown suspects
08/28/97	5:28 PM	43rd & Sansom	Suspect identified by complainant in robbery/arrest

**30th to 34th/Market to University:** Robberies (& Attempts)—1, Simple assaults—1

08/15/97	9:01 AM	34th & Chestnut	Employee reported being assaulted/unknown female
08/23/97	3:09 PM	34th/Market Subway	Complainant robbed of necklace by unknown person

**Outside 30th-43rd/Market-Baltimore:** Rapes (& Attempts)—1, Threats & Harassment—1

08/16/97	7:36 PM	4203 Chester	Prior rape victim identified suspect/arrest
08/20/97	4:20 PM	2100 Blk. Chester	Complainant reports being harassed

### Crimes Against Society

**34th to 38th/Market to Civic Center:** Disorderly conduct—5, Alcohol & Drug offenses—1

08/12/97	7:34 PM	3400 Blk Walnut	Male refused to leave area/arrest
08/21/97	11:46 PM	3744 Spruce	Aggressive panhandler in area/arrest
08/22/97	8:18 PM	3744 Spruce	Disorderly male arrested
08/23/97	6:32 PM	38th & Chestnut	Aggressive panhandler arrested
08/25/97	11:28 AM	3400 Blk Walnut	Operator of vehicle stopped/drugs found/arrest
08/31/97	3:00 PM	Irvine Auditorium	Male cited for disorderly conduct

**38th to 41st/Market to Baltimore:** Disorderly conduct—2

08/29/97	2:18 AM	4000 Blk Irving	Suspect involved in disturbance/arrest
08/31/97	1:13 AM	41st & Locust	Disorderly male cited

**41st to 43rd/Market to Baltimore:** Disorderly conduct—1, Weapons offenses—1

08/14/97	9:48 PM	42nd & Walnut	Aggressive panhandler cited for disorderly conduct
08/20/97	9:51 PM	42nd & Locust	Weapons/possible narcotics confiscated/4 arrested

### 18th District Crimes Against Persons

The report for the period covering August 11-31, from the 18th District, covering the Schuylkill River to 49th Street, Market Street to Woodland Avenue, was not yet available at presstime.



Suite 211 Nichols House  
3600 Chestnut Street, Philadelphia, PA 19104-6106  
Phone: (215) 898-5274 or 5275 FAX: 898-9137  
E-Mail: [almanac@pobox.upenn.edu](mailto:almanac@pobox.upenn.edu)  
URL: [www.upenn.edu/almanac/](http://www.upenn.edu/almanac/)

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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ACTING MANAGING EDITOR/DESIGNER Libby Rosof  
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The *Compass*, Suite 210 Nichols House,  
3600 Chestnut Street, Philadelphia, PA 19104-6106  
Phone: (215) 898-1426 or 898-1427 FAX: 898-1203  
E-mail: [rososf@pobox.upenn.edu](mailto:rososf@pobox.upenn.edu)  
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Dear Colleagues,

*Neal Lane, the Director of the National Science Foundation, has asked me to give wide distribution to the letter below. I do so with great enthusiasm. His point about earning public support is well taken. We should all take time to make that case. If there is any way my office can help you get the word out, or if you have suggestions for how Penn can do it better please do not hesitate to call (898-7236) or e-mail me (amado@pobox.upenn.edu).*

— Ralph D. Amado, Vice Provost for Research

## Let's Get the Word Out Together About Why Science Matters

*An Open Letter to Scientists and Engineers by Neal F. Lane*

We are enjoying a golden age of discovery, as exciting research continues to uncover new knowledge about our universe. However, a different kind of golden age—that of ever increasing funding for American science and engineering—is clearly over. Some experienced researchers now look back nostalgically to the decades after World War II, when taxpayer support of science was almost unquestioned and an agenda for science was rarely discussed.

Today, public support must be earned. We can no longer expect it in the form of a blank check and an undefined agenda. This is entirely appropriate. I remain very concerned that the nation will not be doing enough to maintain and strengthen its position as a world leader in science and engineering over the next several years.

It is now more vital than ever for us, the research community, to make a convincing case to the public about the tangible societal benefits that flow from science and technology, and the importance of investing adequately in research and education.

At the National Science Foundation, our surveys continue to show that more than two-thirds of the public believes that science is a net good. But the vast majority of people have no understanding of the scientific process; 98 percent of them don't know what research means. This gap should trouble all of us.

It is also troubling that many scientists and engineers, while concerned, do not think that they can do anything about the gap. This may be because traditional scientific education does not prepare its graduates very well to assume a role as an activist in society, an ambassador for science.

I well understand the discomfort, from my own career experience. But during my years as director of NSF, I've come to understand the need for the research community to reach out to the public. In more personal terms, we need to engage in genuine public dialogues with our local communities, in the mold of what I call the "civic scientist." This concept embraces many types of outreach; not every researcher is well-suited (or available) for a particular type of activity, at a given time. But a little more awareness can go a long way. Even describing a

current research effort in accessible terms to a neighbor can have unexpected and sometimes unknown results.

I might even venture to say that such outreach should be numbered among the professional responsibilities of scientists and engineers, and that graduate education in science and engineering should emphasize communication skills along with research skills. The result would be much better teachers and communicators to the public.

Preparation for research careers has not focused on this dimension, and most of us could use some help. I have been urging researchers to seek out and take advantage of the public affairs resources at their own institutions in making a compelling case to the public.

One particularly effective means to make our case is through the news media, a type of outreach that, perhaps more than others, fill many of us with trepidation. According to survey results discussed recently on National Public Radio, a quarter of U.S. scientists have never spoken to a reporter, and most others do so only once every year or two. Our public affairs resources are particularly valuable here. Practice is essential; we simply must learn to speak in terms that the general reporter—representing our non-scientist friends and neighbors—can understand. The impact can be astounding, because the news media amplify our words. (And this cuts both ways.) With only one interview, we can reach people across the state or the nation.

Let us redouble our efforts to work together. When a newsworthy discovery is made or about to be published, NSF would like to join with you to get the message out. In this way, the story will reach a much larger audience; and that will be good for all of us, and good for the nation.

It is true that the climate for science has changed forever. But change brings opportunity. If the sobering budget outlook prompts us all to communicate more broadly, more frequently and more effectively, then we have learned an important and necessary lesson that will serve the science and engineering community well in any climate.