

UNIVERSITY of PENNSYLVANIA

Almanac

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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 John Keene or Executive Assistant Carolyn Burdon, Box 12 College Hall/6303, (215) 898-6943 or burdon@pobox.upenn.edu.

Actions Taken by the Senate Executive Committee Wednesday, November 3, 1999

1. Chair's Report. Faculty Senate Chair John Keene drew attention to item 4 on the agenda, and outlined the procedures for nominating candidates for the Senate Nominating Committee. He urged SEC to attend the November 10 University Council meeting to hear the president and provost's report on the state of the University.

2. Past Chair's Report on Academic Planning and Budget Committee and on Capital Council. There have been two meetings of the Academic Planning and Budget Committee since the last SEC meeting. The first focused on the computing system and the second included a progress report on the Campus Development Plan.

3. Nominations for Senate Nominating Committee. Eight of those who had been nominated earlier by SEC members were selected as nominees. A ninth nominee from among the SEC membership was chosen. (See page 3.)

4. Informal Discussion with Provost Barchi. Provost Barchi discussed the financial situation of the University of Pennsylvania Health System (UPHS) that led to the recent layoffs. In an effort to identify further economies, the UPHS and the Hunter Group are reviewing the Clinical Practices of the University of Pennsylvania (CPUP), test utilization, and billing operations. He mentioned Moody's downgrade of the Health System and of the University's bond ratings.

In response to a SEC member's question on whether there were efforts underway to increase UPHS income, Provost Barchi replied that UPHS is working with third-party payers to address this issue. The UPHS has encountered slow or partial payment of its bills, and in many cases, rejection. As an example, he stated that if a patient is admitted to the hospital for five days, the insurance companies automatically discount the last two days and the hospital has to negotiate to obtain payment for those two days. A SEC member noted that the Balanced Budget Act of 1997 is having a serious impact on teaching hospitals, a consequence unforeseen by the U. S. Congress, but that Congress is reconsidering its decision. Another problem is that UPHS is committed to providing free indigent care for which there is no reimbursement by the Commonwealth of Pennsylvania. The SEC member urged faculty to contact members of Congress and the State Legislature to discuss corrective legislation. Provost Barchi said that the practice of transferring one-half of UPHS profits to the School of Medicine is in jeopardy. He said the School of Medicine must make changes complementary to those made in the UPHS.

In response to a SEC member's question, the provost said there would be no reduction in faculty, but that some may leave if their programs are reduced or closed, as may be the case in disease management. The Medical School Faculty-2000 Project will take a serious look at faculty tracks and the changes required to meet the faculty's teaching, research, and patient care responsibilities. A SEC member asked whether they plan to look at retirement for senior faculty who do not bring in sufficient income. The provost said in some areas senior faculty have been brought back as contract employees so they could continue to share their wealth of medical knowledge. Provost Barchi noted that the Master Trust Indenture limits the University's responsibility on UPHS debt and he sees no risk to the University now. Responding to a SEC member, Provost Barchi said that for several years a group of nurses have been reviewing claims issues and contacting insurance companies to resolve them.

5. Discussion on Vacancy in Chair-elect of the Faculty Senate. Professor Keene stated that when 1999-2000 Faculty Senate Chair Peter Conn resigned in July to become deputy provost, he and Chair-elect Larry Gross agreed to split the year when Peter Conn would have been Senate Chair, in accordance with the Faculty Senate Rules. On January 1, 2000, when Larry Gross takes office as Senate Chair one semester early and John Keene shifts back to Past Chair, there will then be a vacancy in the position of Chair-elect. The position of Past Chair will become vacant in May 2000 in the normal course when Professor Keene completes his term. Professor Keene suggested two options: (1) have the current Senate Nominating Committee select a new Chair-

elect or (2) have the new Nominating Committee that is in the process of being elected accelerate its work and nominate a Chair-elect who would serve for three semesters.

It was noted that one benefit of voting for option 1 would restore the full complement of Chair, Past Chair, and Chair-elect, whereas a disadvantage would be that the 1998-1999 Nominating Committee would have nominated two persons for the office of Chair-elect, whereas the 1999-2000 Nominating Committee would not select a Chair-elect. In May, the 2000-2001 SEC will select a Past Chair at the time the vacancy occurs, following the provisions of the Senate Rules.

After further discussion it was moved and seconded that "The existing Senate Nominating Committee, chaired by Gregory Possehl, shall nominate a new Chair-elect of the Faculty for three semesters and elections shall proceed this fall." The motion was approved, none against, with two abstentions.

6. Update on the Campus Development Plan. Vice President Omar Blaik recalled the September presentation to SEC on the process for the creation of the Campus Development Plan and the five themes of study, working group membership, the consultation process and the work accomplished to date. Olin Partnership planner Susan Weiler stated that the first phase of the work, conducting an inventory of Penn's facilities, infrastructure, and physical planning issues, is almost completed. She summarized the findings. The administration will hold two forums in the next few weeks at which members of the University community can learn of the various proposals under consideration and provide input to the development of the Plan. She expected that a Draft Campus Development Plan would be available for comment by mid-winter.

7. Charitable Giving Campaign. Vice President Carol Scheman stated the campaign is jointly administered by the United Way and the Center for Responsible Funding. The pledge card has been simplified, a volunteer system is in place, and efforts are underway to create a culture of giving. She noted that the Black United Fund is now certified to participate and everyone will be notified of that fact.

Sold: The Christian Association Building

The University has acquired the historic Christian Association property at 3601 Locust Walk, according to a joint announcement last week by President Judith Rodin and the CA's Executive Director, the Rev. Dr. Beverly Dale.

Neither the purchase price nor the terms of the sale were disclosed, but plans for the CA's future were outlined: The organization will move to the University-owned Westminster House, at 37th and Sansom. Under a 25-year lease, Penn will make renovations and be responsible for exterior maintenance while the CA will take up all interior maintenance and operations.

Westminster House's present occupant, the new La Casa Latina, will move to "equally good or better space," Dr. Rodin said. She added her expectation that The Gold Standard—the CA's longtime tenant which also operates the Palladium and its Terrace—will continue to operate through the remainder of its lease with the Christian Association, which expires on December 31, 2002.

"This is a very important, indeed critical, acquisition as we consider our facilities needs at the heart of the campus," Dr. Rodin said. Provost Robert Barchi added that he will "listen to campus groups, inventory the need in the next month or two, and draw up a matrix of needs" to help determine the eventual use of the building.

For the Christian Association, the sale of its 70-year-old Collegiate Gothic building signals an increasing focus on "people, on the development of strong moral leadership skills of our students, rather than on bricks and mortar." The agreement with the University will "allow the board and staff to focus on our mission less encumbered than we have been in the past."

Under the Faculty Senate Rules, formal notification to members may be accomplished by publication in Almanac. The following is published under that rule:

To: Members of the Faculty Senate
From: John C. Keene, Chair
Subject: Senate Nominating Committee

1. In accordance with the requirements of the Faculty Senate Bylaws, notice is given to the Senate Membership, i.e. the Standing Faculty and Standing Faculty-Clinician Educators, of the Senate Executive Committee's 9-member slate of nominees for the Nominating Committee for 1999-2000. The Nominating Committee nominates candidates for election to the Offices of the Faculty Senate, to the at-large and assistant professor positions on the Senate Executive Committee, and to the Senate Committee on the Economic Status of the Faculty, the Senate Committee on Academic Freedom and Responsibility, and the Senate Committee on Conduct. The nine nominees, all of whom have agreed to serve, are:

- Dennis P. Culhane (assoc prof social work)
- Julie Fairman (asst prof nursing)
- Robert Hornik (prof communication)
- Madeleine M. Joullie (prof chemistry)
- Kenneth Lande (prof physics)
- David R. Manning (prof pharmacology/med)
- Francis Mante (assoc prof restorative dentistry)
- Gerald F. Porter (prof mathematics)
- Phyllis Rackin (prof genl honors in English)

2. Pursuant to the Bylaws, additional nominations may be submitted by petition containing at least twenty-five valid names and the signed approval of the candidate. All such petitions must be received by Tuesday, November 23, 1999. If no additional nominations are received, the slate nominated by the Executive Committee will be declared elected. If additional nominations are received, a mail ballot will be distributed to the Senate membership. Please forward any nominations by petition via intramural mail to the Faculty Senate, Box 12 College Hall/6303. Please forward any questions to John Keene or to Carolyn Burdon by e-mail at burdon@pobox.upenn.edu or by telephone at (215) 898-6943.

Town Meeting on Hate Crimes

Seeking Common Ground, a coalition of a dozen campus organizations, will hold a *Town Meeting on Hate Crimes in the United States* on Thursday, November 18.

The evening starts with a panel discussion at 5 p.m. in the Iron Gate Theater, with Angel Ortiz of Philadelphia City Council; Joo-Hyun Kang of the Audre Lord Project; psychologist Elizabeth Young-Bruehl; Emily Greytak of the Anti-Defamation League; and an unannounced member of a family touched by hate crime. The meeting will then move to the nearby Greenfield Intercultural Center for dinner and for discussions centering on reactions to hate crimes and strategies for preventing them.

At approximately 7:30 p.m., a candlelight procession will march to the Peace Sign on College Green, where names of hate crime victims will be read in remembrance.

The event is open to the public; for information, contact Karlene Burrell-McRae, (215) 898-5044 or bones@pobox.upenn.edu.

University Council Meeting

Wednesday, November 10, 1999 • 4 to 6 p.m.

McClelland Hall, The Quadrangle

Members of the University who wish to attend as observers should so indicate by calling the Office of the Secretary, (215) 898-7005.

- I. Approval of the minutes of October 13, 1999 meeting: 1 minute.
- II. Status Reports by the Chairs of the Steering Committee, the Graduate and Professional Student Assembly, the Undergraduate Assembly, the Penn Professional Staff Assembly, and the A-3 Assembly: Time limit for reports and clarifications: 14 minutes.
- III. Remaining year-end report of the Committee on Research: 5 minutes presentation; 5 minutes discussion.
- IV. Extended reports by the president, provost and other administrators on the state of the University: 45 minutes presentation; 15 minutes discussion.
- V. Update on the Charitable Giving Campaign: 5 minutes presentation; 5 minutes discussion.
- VI. Remaining 1998-1999 year-end committee reports:
 - A. Personnel Benefits: 10 minutes presentation; 5 minutes discussion.
 - B. Recreation and Intercollegiate Athletics: 5 minutes presentation; 5 minutes discussion.
- VII. Adjournment by 6 p.m.

Speaking Out

My Buddy the Bike

At worst, professors Shapiro, Chance, Mann, Kunreuther and Malamud's piece concerning bikes on campus (*Almanac*, October 26, 1999) carried a sinister threat: deal with us, give us what we want, live with it—we're here to stay. At best, they indicated a fondness for Little Bo Peep's Theory of Social Equity: Leave Us Alone And We'll Come Home, Wagging Our Tails Behind Us.

Three times in as many paragraphs, I saw 'fast', 'rapid', and 'rapidly' to describe bicycle-riding on this campus. And that's the problem, isn't it? Sidewalks—footpaths in Commonwealth countries—are not multi-use facilities; not with pedestrians going 1-4 m.p.h., bicycles 20. The charge of the Light Brigade maintained a steady 17 m.p.h into the Russian guns. A letter to the *DP* some years ago had the writer actually suggest the problem bike riders faced was pedestrians making sudden, unanticipated lateral moves—like swinging a briefcase, scratching a nose, pointing to the skyline, looking at a watch.

He urged us to walk in straight lines.

A co-worker graced the cover of the *Summer Pennsylvanian*, speeding across the 38th St. Bridge—that same bridge with well-posted signs where a student's mother had her collarbone broken by a bike rider who remounted and made away, free as a white stallion thundering across the prairie. Both wheels in the photograph were entirely off the ground. On any vehicle—two-wheeler to eighteen-wheeler—that indicates no steering, no brakes. He was going so fast he was airborne, 100% out of control.

One of the sweetest, kindest women I know smacked her bike into one of the biggest men I know. He was coming out of the men's room. She regularly rides down a

long, inside corridor. If late for work, she moves at velocity.

So carefully designed 'speed bumps' are not going to change rude, reckless bikers intent on proving just how 'fast', 'rapid' or 'rapidly' they can crank their five hundred dollar heavy cavalry beasts through crowds of milling infantry.

The turmoil we leave in our wake sure doesn't help the cause. I don't own a driving license. My bike is my buddy. My buddy and I have twice gone as far as Australia; New Zealand four times. But bicyclists have become much too casual with other peoples' rights, dragging out such puerile excuses as automobiles don't respect our rights so that means we can jump the curb and zip passed your elbow, or there isn't a bike rack within my frame of convenience so I have to chain an expensive Mongoose to a handicap rail. We blithely ignore pleas to walk where cycling isn't permitted, ride dangerously close to building lines (1994; 3401; Fed Ex driver: broken wrist, broken back, her hand actually on the door-pull when struck) and act as self-righteous, go-anywhere wardens of the environment: 'I'm the planet's non-polluting future so everybody better scramble outta my way.' That arrogance risks bouncing us and our antics off this campus. All it takes is pancaking one important administrator or somebody's damaged parent not content to sue for \$50,000.

—Jerry Briggs, Mail Room,
 Van Pelt Library

Ed Note: In last week's *Speaking Out*, at the end of Dr. Paul Root Wolpe's letter of suggestions on bicycle safety, a response was promised for this week. The response has been delayed, but will be published as soon as it is received from the Administration.

Speaking Out welcomes reader contributions.

Short, timely letters on University issues can be accepted by Thursday at noon for the following Tuesday's issue, subject to right-of-reply guidelines.

Advance notice of intention to submit is appreciated.—Eds.



Some Awards Given....

Drexel Medal: Dr. de Laguna

Dr. Frederica de Laguna, the pioneering scholar of Alaskan cultures who undertook the first of her 13 expeditions for the University Museum almost 70 years ago, has been awarded the rarely-given Lucy Wharton Drexel Medal for archaeological achievement. She is the 26th recipient of the Medal since it was established in 1889 as the highest honor the Museum bestows on a scholar.

Dr. de Laguna, a member of the National Academy of Sciences and former president of the American Anthropological Association, has been honorary curator of the American section of the Museum since 1983. Her first expedition for the Museum, in 1930, was a groundbreaking archaeological and ethnographic survey of Prince William Sound and Cook Inlet, followed by intensive excavations that provided the foundation for the study of the prehistory of the region. In 16 books and over 100 articles she approached her work as "a dedicated, meticulous scholar, with deep sensitivities to her Native friends and teachers, and to her own students," said Dr. Jeremy Sabloff, the Museum's Williams Director, who presented the medal last month.

Pender Award: Dr. Holland

Penn Engineering's highest honor, the Harold Pender Award, was given this year to Dr. John H. Holland of the University of Michigan—a professor of electrical engineering, computer science and psychology who is regarded as "the father of the so-called genetic algorithms and one of today's most innovative and visionary thinkers in the study of complexity," as Dean Eduardo Glandt put it.

The Pender Award was created in honor of the founding dean of the Moore School, who held office 1923-49, and is given periodically to "an outstanding member of the engineering profession who has achieved distinction by significant contributions to society."

Dr. Holland, author of *Emergence: from Chaos to Order* and other seminal books, is a McArthur Award recipient and a Levy Medalist of the Franklin Institute who also holds a host of other awards in computer science.

HONORS & Other Things

Turn About

As she accepted the Drexel Medal (below) from Dr. Sabloff, Dr. de Laguna (left) made a presentation of her own—a late 19th-Century Tlingit bentwood box and two spoons.



Dr. Rodin's selection as a "Fronrunner" carried a \$50,000 award for Women's Studies at Penn.

Photo by Denise Kosman



Dr. Jemott, above, is one of two Penn faculty members just elected to the Institute of Medicine. Dr. O'Donnell, in regalia for his honorary degree at St. Michael's College of Vermont, told "How to Prove the World is Flat."



Six Alumni Awards

The University of Pennsylvania Alumni Society gave its Alumni Award of Merit to six Penn graduates last Friday, recognizing "extraordinary and longstanding service and commitment" to the University. The recipients are Robert A. Fox, C '52; H. Jane Gutman, CW '73; Jon H. Huntsman, W '59; Sally Stull Jannetta, SAMP '57; Lee F. Shlifer, CGS '74; and Douglas Q. L. Yee, W '65 and W '67.

The Alumni Society also gave a Class Award of Merit to the *Class of 1941*, a David N. Tyre Award for excellence in newsletter writing to the *Class of 1939*, and Regional Program of Merit Awards to the *Penn Club of Washington, D.C.* and the *Penn Club of Southern California*.

...and Some Received

Century of Women: Dr. Rodin

In a White House ceremony hosted by First Lady Hillary Rodham Clinton last month, Penn's President Judith Rodin was honored by the Sara Lee Foundation in its Century of Women "Front-runners" program as one of four women whose "trailblazing accomplishments have both shaped America's past and given inspiration for the future."

Dr. Rodin named the Penn Women's Studies Program to receive the \$50,000 award that accompanies the Foundation's selection of women it designates as Frontrunners. Dr. Rodin is the Frontrunner in the humanities this year, while the master chef Julia Child holds the award in the arts; Kraft Foods' EVP Anne Fudge in business, and Secretary of Labor Alexis Herman in government. Earlier Frontrunners include Maya Angelou, Toni Morrison, Elizabeth Dole and Donna Karan.

Honorary Degree: Dr. O'Donnell

This fall at the annual academic convocation of St. Michael's College of Vermont, the honorary degree doctor of humane letters was conferred upon Penn's Dr. James J. O'Donnell, who also gave the convocation's learned lecture: a talk on innovative pedagogy with the tongue-in-cheek title, "How to Prove the Earth is Flat." Dr. O'Donnell's three main positions at Penn are professor of classical studies; vice provost for information systems and computing; and faculty master of Hill House; and he is currently

in the news for his book *Avatars of the Word: From Papyrus to Cyberspace* (Harvard 1998). The St. Michael's degree also recognized earlier, internationally known work on Latin Christianity in late antiquity, including a "monumental three-volume introduction, text and commentary to Augustine's *Confessions*" (Oxford 1992).

Colburn Award: Dr. Diamond

Last week in Dallas, Dr. Scott L. Diamond, who joined SEAS in 1997 as associate professor of chemical engineering, was awarded the American Institute of Chemical Engineers' 1999 Allan P. Colburn Award for Excellence in Publications by a Young Member of the Institute. Dr. Diamond, associate editor of the *Annals of Biomedical Engineering*, focuses his research on vascular cell mechano-biology, drug and gene delivery, thrombosis and thrombolysis and bio-transport phenomena. His research in issues of cardiovascular disease of the arterial system also led to his receiving the 1999 American Heart Association's Established Investigator Award.

Clinical Scholarship: Dr. Aiken

Dr. Linda Aiken, the noted sociologist who is the Claire M. Fagin Leadership Professor of Nursing and director of the Center for Health Service and Policy Research, has received the Clinical Scholarship Award of Sigma Theta Tau, the honor society of nursing.

AAMC: Dr. Kelley

At last month's annual meeting of the Association of Medical Colleges, Penn's Dean William N. Kelley, CEO of the Penn Health System, received the David E. Rogers Award for improving health and health care in the United States.

Elections to Institute of Medicine

Two members of the Penn faculty are among the 55 scientists elected to the Institute of Medicine this year. They are:

Dr. Loretta Sweet Jemott, associate professor of nursing and director of the School of Nursing's Center for Urban Health Research;

Dr. David W. Kennedy, professor and chairman of otorhinolaryngology and head and neck surgery in the School of Medicine.

Two elected to the Institute last year are Dr. N. Scott Adzick, the C. Everett Koop Professor of Pediatric Surgery who is also professor of Ob/Gyn, and Dr. Stephen Ludwig, professor of pediatrics at CHOP.



Weekly Raffles

To qualify for raffles, Penn employees must turn in their completed confidential Penn's Way envelope to their school/center's coordinator or facilitator. Employees who mail in their envelopes directly to the Payroll Department can also qualify if they inform their coordinator or facilitator that their forms have been sent directly to Payroll. Selections will be made each Monday during the campaign based on the lists provided by the coordinators and facilitators to the Penn's Way Campaign by the close of business the preceding Friday.

Week 1: one month free parking to be used in Mod 6 garage—38th and Chestnut; one night at the University City Sheraton; Free Class at the Morris Arboretum; Lunch for 2 at La Terrasse; \$25 gift certificate at the Penn Book Center. Raffle winners were selected Monday, November 8, and will be announced in next week's *Almanac*.

Week 2: one Palm Pilot; one month free parking to be used in Mod 6 garage—38th and Chestnut; one night at the Inn at Penn; Dinner for 2 at the White Dog and shopping at the Black Cat; Family Membership to the University Museum. Please turn in your Penn's Way pledge envelopes to your coordinator or facilitator by November 12 to qualify for Week 2 raffle. Winners will be selected on November 15.

The Penn's Way Campaign would like to acknowledge the contributions of the following organizations for the Raffle Prizes for Week 1 and Week 2: The Morris Arboretum, University of Pennsylvania Museum, Computer Connection, Transportation & Parking Services, White Dog Cafe, the University City Sheraton, the Penn Book Center, The Inn at Penn, La Terrasse.

—Carol J. de Fries, Executive Director, Office of Government, Community and Public Affairs



Art for Women's Athletics: *Generations of Tradition*, a new painting of Penn by America's "contemporary Grandma Moses," Jane Wooster Scott, was unveiled Friday at the Inn at Penn as the start of a novel drive to benefit women's athletics at the University. Former Trustees Chairman Alvin Shoemaker commissioned the 30" x 40" painting of a stylized campus and Boathouse Row, which will hang at the Inn as part of Penn's permanent collection. He also commissioned a several editions of lithographs which he made available by mail order to benefit the Shoemaker Fund for Women's Athletics at Penn. *Trustee's Edition* lithographs, limited to 250 copies, feature signatures of the artist and President Judith Rodin and the Penn logo (\$1000). *Artist's Proof* lithographs, limited to 500 copies, feature the artist's signature and Penn logo (\$400). *Open Edition* lithographs are \$200 with the artist's signature and \$150 without. For more information, call (215) 898-6123.

For Comment

Recommended Changes to the Charter of the Student Disciplinary System

Preamble

In the Spring of 1999, the President and Provost convened a Working Group on Alcohol Abuse which, after an intensive series of meetings, set forth a comprehensive set of recommendations to address the issue of alcohol abuse on campus, particularly among undergraduates. The group's recommendations were far-ranging and, in general, advocated a proactive, educational approach to the problem. Among the many proposals, the Working Group addressed the issue of "responsibility and accountability".

In that context, a series of recommendations were made concerning "group responsibility and accountability." Among the recommendations was one which supported the concept that all student organizations should be held collectively responsible for compliance with University alcohol policy and with applicable laws. The question arose regarding the proper procedure to determine responsibility and impose consequences upon those organizations alleged to have knowingly violated such policies or laws. While some organizations are currently governed by existing procedures (i.e. Greek organizations), others were not. As a result of this perceived omission, an addition to the Student Disciplinary Charter was developed in order that all student organizations could be assured an effective mechanism for resolving disputes arising under the Code of Student Conduct, including the new University Alcohol and Drug Policy.

We invite your comments on the proposed changes (right) by December 1, 1999.

— Michele A. Goldfarb, Director, Office of Student Conduct (goldfarm@pobox.upenn.edu)

— Barbara J. Lowery, Associate Provost (loweryb@pobox.upenn.edu)

Proposed Changes

Jurisdiction: In Section I B, found on page 14 of the 1998-1999 *Pennbook*, and on-line at www.upenn.edu/osc/charter.html, a paragraph would be numbered I.B.4:

The Student Disciplinary System also handles complaints about alleged violations of University policy by student organizations. The disciplinary procedures applicable to student organizations are the same as those used for individual students, unless established written procedures already exist for resolving complaints against an organization (e.g. Fraternity and Sorority Board Judicial Charter). A student organization or its officers may be held collectively or individually responsible for the conduct of members which is knowingly tolerated by the organization and which is in violation of University policy. The officers/leaders or identifiable spokesperson for a student organization will represent the group during the disciplinary process.

Sanctions: In Section II H, found on page 19 of the 1998-1999 *Pennbook*, and on-line at www.upenn.edu/osc/charter.html, a new section would be numbered I.H.5 and inserted after the enumeration of the possible sanctions which might be imposed on individual students:

Sanctions for organizations may include:

- 1) revocation, suspension or denial of University recognition;
- 2) denial of use of University facilities;
- 3) loss of other privileges (e.g. representation on other University bodies; ability to host or sponsor social functions, etc.);
- 4) restitution for injury to persons or property;
- 5) community service;
- 6) fines;
- 7) other appropriate sanction.

The following is from a transcription of presentations by President Judith Rodin and Director of Student Financial Aid William Schilling at the October 13, 1999, meeting of the University Council.

Need-Blind Admissions and the Drive to Increase Endowed Scholarships

The President's Overview

For many years Penn has followed a policy of need-blind admissions. It is a widely used term, but sometimes we don't think sufficiently about what it means, which is:

- That students are admitted without regard to—in fact without knowledge of—their need for financial aid;
- That *after* they are admitted, a different office, the Office of Student Financial Services, begins to work with the students' financial aid forms to determine whether they have need; and
- That it is our policy to provide sufficient aid to make it possible for students to attend the University of Pennsylvania.

Consistent with this policy we've spent tens of millions of dollars every year for financial aid for undergraduate students, and this year we're providing \$55 million for them.

As Bill Schilling will show you in more detail, while we are not permitted to share publicly the actual names of those we consider our peer group with regard to the amount of financial aid that they provide,* we are able to show the overall cohort with whom we compare ourselves—the "Ivy-plus" cohort; and in his Figure 1 you will see an astonishing picture of how much Penn spends for undergraduate financial aid relative to our peers. It is really quite staggering.

This is a major financial obligation—and the lion's share of it is taken from Penn's operating budget, because we have a very small endowment for undergraduate financial aid, comparatively *extremely* small.

Just to give you the two opposite ends of the continuum, another Ivy university is at one extreme with 100% their undergraduate financial aid coming from endowment, funds put into the endowment by donors for the sole purpose of undergraduate financial aid. Penn is now at 6% of its undergraduate financial aid being taken from restricted endowment (that is, funds designated, when the gift was given, for undergraduate financial aid). So we are covering 94% of all of our financial aid dollars from each year's *annual operating budget*.

Many of you have said to one another or to me on occasion, "Well, why not just take it all from the endowment?" or "Why not raise the spending rule?" or "Why not do something that wouldn't put as much pressure on the operating budget so that we could indeed provide even more financial aid and more generous financial aid packages than those which carry any loan component?" With regard to endowment, the answer is that most of the gifts raised have do-

nor designations; and if they are given for the Religious Studies program or the Wharton School or the Humanities Forum or the Rugby Club—you name it—we could not, even if we raised the spending rule, take money that was generated from those restricted funds and put it towards undergraduate financial aid.

So the only thing that we would have access to, if we changed what was coming out of the endowment, would be that small part of the endowment that is already designated for undergraduate financial aid. So changing the nature of the spending rule wouldn't help.

In Penn's last development campaign, the Campaign for Penn that concluded in 1994 shortly after I arrived as president, the University did raise money for undergraduate financial aid. But almost all of it was for what in development terms are called "term funds"; that is, funds that are given to be fully expended.

And expended, indeed, they were. Annually, when money came in for undergraduate financial aid during the five-period of the Campaign, those term funds provided some cushion for the operating budgets of the schools. This did not lead to a significant increment in the amount of undergraduate financial aid given, since it was simply a replacement of funds that would have been taken from the operating budget.

Early in this administration, I decided that it was important to take a very different approach, and the Trustees agreed. So for the past several years we've aggressively raised funds to go specifically to undergraduate financial aid endowment. We felt that this would redound to the permanent benefit of our students.

The goal that we established two-and-a-half years ago was to raise \$200 million by 2003. We have already raised \$86 million, and we intend to raise \$30 million this year; so we are

43% of the way home toward that goal.

The actual amount of undergraduate financial aid endowment is now \$123 million. This includes what is newly raised and that which already was in the endowment before this was undertaken. The number of endowment funds has doubled in the last two years and last year we had a record-breaking year.

In addition, we decided not only to try to raise endowment funds but to actually increase the number of scholarships, and named scholarships, and no-loan aid packages that our students were receiving. Since we began this effort in 1996, an additional 268 students have received named scholarships during that period.

We now have a variety of fund raising approaches:

— We have a broad network of Trustee volunteers, including a Trustee and Alumni Undergraduate Financial Aid Committee [see page 9] that is extremely hard at work. It was chaired until this year by the Chairman of the Board, Roy Vagelos, and with Roy's retirement is being undertaken by George Weiss, who is one of our most enthusiastic alumni and fund-raisers and Trustees.

— We are soliciting staff and members of the Penn faculty as well as our own alumni and friends.

— We are conveying to all classes celebrating reunions that undergraduate scholarships are the number one priority for the University, and most of the classes for the last couple of years have given undergraduate financial aid as one of their reunion gifts.

— We have gone back to previous donors who have shown an inclination to be interested in undergraduate financial aid and shaken the tin cup a little harder, and been successful there.

(continued past insert)

Figure 1. Sources of Institutional Aid, Ivy and Selected Schools, 1997-98

(In thousands of dollars)

Key: I = Ivy Schools U = Other Schools

Institution	Restricted Funds	% of Total	Unrestricted Funds	% of Total	Total Institutional
I 1	24,146	100.0	0	0.0	24,146
I 2	27,978	68.9	12,654	31.1	40,632
U 1	14,957	54.0	12,755	46.0	27,712
U 2	18,715	53.1	16,538	46.9	35,253
I 3	6,517	33.6	12,879	66.4	19,396
I 4	8,034	32.7	16,532	67.3	24,566
I 5	8,974	32.1	18,987	67.9	27,961
I 6	11,783	30.3	27,090	69.7	38,873
I 7	6,663	26.8	18,224	73.2	24,887
U 3	4,406	17.4	20,975	82.6	25,381
Penn	3,425	6.7	47,393	93.3	50,818

* See *Guidelines on Cooperative Exchanges of Certain University Information*, Almanac October 26, 1999.

Figure 2. Cost, Aid and Self-Help Comparisons, 1979-1998

	1979-80	1998-99	Change
Tuition and Fee Charge	\$5,270	\$23,254	341%
Total Cost of Attendance Budget	8,600	32,990	284%
Federal/State Grants	6,408,000	7,036,000	10%
Penn Grants	8,495,000	49,314,000	481%
Average Freshman Self-Help Requirement	1,574	6,917	339%

— We have been approaching regional groups and affinity groups who have an interest in undergraduates in various need categories, and seeking funds for the endowment from them as well.

— We are hosting several regional dinners including one in Philadelphia annually for scholarship donors and students who receive their undergraduate financial aid. Those events have been growing in scope and number, and they've been incredibly successful. Many of our articulate students, some of whom are in this room, speak to the donors about the importance of undergraduate financial aid and the personal impact that aid has made on them. There's nothing that's more compelling to a donor than hearing from the recipient what that help has meant and we're trying very personally to get the donors and the recipients together at least once a year. Students who have received aid have been our best advocates, and have worked wonderfully with their donors to make it known how much the help is appreciated.

— We have been paying special attention to planned giving and memorial gifts; although clearly that will not impact the next year or two, it is a very important institutional move now to protect the future as we go forward.

I'm very pleased with the effort that we've made so far. After we raise this \$200 million we'll set another target and keep going—so Joanne [Hanna, of Development], we're not ready for you to retire.

The Deans' Role: Another thing that we've done during this program is to create an incentive program for the deans to raise undergraduate financial aid, independently of what we do in the central administration. During this five-year period, which still has over two years to run, we're providing a matching component for the endowment funds that deans raise specifically for undergraduate aid in their schools, so that we can continue to build and bolster the undergraduate financial aid endowment. In the last campaign—not surprisingly—when term funds were available, it was of benefit to the deans to use the term funds in the year in which they were received because it freed their operating budgets; were I a dean in the same situation I would have done the same thing. So we're trying to incent the deans to raise money for endowment by giving them some cushion in each operating year for the funds that they have raised.

In short, we're continuing to fund a very competitive financial aid package. As Bill will show you, some of our peers have now changed their financial aid packages to make them in some instances commensurate with things that we had already been doing. And we will continue working hard to provide resources to those students who need it.

Bill Schilling on How it Works

As President Rodin mentioned, we have three overriding principles in the undergraduate aid program: Our policies are need-blind, need-based, and full-need.

Need-blind is actually not an *aid* policy, it's an *admissions* policy. It means that when the admissions office is evaluating students, when the selection committees are making their decisions, they are not making them based on whether the student is an aid applicant or not.

Need-based means that financial need is a prerequisite for an award of institutional grant monies. We do award some loan money to students who may not be needy, but need is a prerequisite for getting undergraduate grant aid from Penn. We do not make any awards without regard to need.

Full-need means that once we have determined the individual student's level of need, we meet 100% of it—unlike the many schools in the country that will determine need but then put together packages that meet less than 100% of it. Let me give you a very simple overview of the process:

1. Student and family complete a financial aid application, which provides information about the family's financial circumstances. We then go through a process of determining the family's need—basically, the difference between the cost of education (which includes not only tuition, but room and board and allowances for books, supplies and personal expenses) and what we expect the student and the student's family to be able to contribute. To the extent there's a difference, there is financial need. Obviously, students from very low-income families could have needs of over \$30,000, since our cost of attendance with everything included is approaching \$34,000.

2. We then put together an aid package to meet the financial need; and the package has both a *self-help* component and a *grant* component.

What we call self-help is either a long-term student loan and/or work-study job opportunities—jobs largely on campus, but there are some that are off campus. The student loans are, in all cases, payable after the student graduates, so they are really an investment at this point in the education.

The grant can be either external grant—and we obviously want to maximize the grants from outside sources, such as the Federal Pell Grant and state grants—or University grant. While the University grants are the “last dollars” built in to aid packages, they are overall the biggest component.

The role of financial aid has changed dramatically over the past 20 years and here is a table I update every year [see Figure 2], start-

ing from 1979-80. The magic of that year is that it was the high-water mark of federal funding for grants for undergraduate students.

This chart gives an idea of what has happened throughout higher education, particularly private higher education, in the last 20 years. Tuition and fees rose dramatically over that period. Today, our minds may be attuned to the moderating increases of the last few years, but those of us who were around in the early 1980s can remember tuition increases of 12 and 14%. That continued through much of the decade: tuition and fees were increasing at rates higher than cost of living. The total cost-of-attendance budget, including living-expense items, also rose dramatically, but not by as much as tuition and fees—which surged by 341% over that period.

Meanwhile, federal and state grants remained virtually static. Looking at the Penn data, last year's total in federal and state grants is only about 10% more than the total received by our students in 1979-80.

The result of rising costs on the one hand, and the virtual absence of growth in federal grant programs on the other, was a shift—a dramatic shift—of the burden of meeting students' needs to the institutions, and to the students themselves.

The institution addressed that issue by an even more extraordinary increase in institutional grants over that period of time—a 481% increase. The self-help requirements—those loan and job components of the student aid packages—were also increasing, but not as much as the grants increased. Freshman self-help was increasing about at the rate of tuition and fees over that period of time.

Virtually all of our peer institutions could create a slide that looks something like that. This environment of the last 20 years has affected all of our institutions in the private sector.

What is unique about Penn, as President Rodin indicated, is the extent to which we are dependent on unrestricted revenue to fund our program. The data in Figure 1 comes from a COFHE [Consortium on Financing Higher Education] survey, and because of COFHE rules on the confidentiality of the data that the member institutions submit, we have coded the institutions. The institutions with an “I” prefix are fellow Ivy schools. The three “U”s are other COFHE universities that we generally compare ourselves to. We show the data for Penn at the bottom. This table shows how much of its undergraduate grants each of those schools funds from restricted and unrestricted sources.

There is one institution which in 1997-98 actually funded 100% of its program. It was using *none of its unrestricted revenue* for undergraduate financial aid. At the other end of the spectrum is Penn, where we funded about 6.7% of the program with restricted funds.

As President Rodin said, we've had some heartening developments on the fund-raising side. From 1997-98 to 1998-99, the good news is that the income from endowments that we spent on aid rose by 14% compared to tuition growth of 4% or so. The problem is that when you start from a base that low, 14% doesn't dramatically affect the mix of restricted and unrestricted. Even if you count I-1 [the first Ivy school shown in Figure 1] here as an aberration—and it is, it is not at all typical—when you look at the other Ivy institutions they range from

funding 69% to funding about 27% of their undergraduate aid program from restricted income, which is primarily endowment income.

Dr. Rodin: Bill, before you take that away: what I find so interesting in this slide, is the total institutional dollars. At least two of those institutions—maybe more, but at least two—have undergraduate student bodies exactly the same size as Penn; and despite the similarities in size of at least two, and recognizing that others are smaller in our peer group, Penn is spending significantly more on undergraduate financial aid, regardless of where it's coming from, than our peer institutions. When people ask, "Why isn't Penn doing enough?" I'd like them to see that number to understand how very much Penn is doing relative to its peers.

[Mr. Schilling resumes:]

Early in 1998, as many of you will remember, Princeton University announced changes that would dramatically increase the amount of grants awarded. Still within the need-based concept, they made some changes in how they determine the family contribution, and in how much student loan would be included in the student's package. It was a major, major change in terms of the impact on their budget, and represented over a 20% increase in their aid budget from one year to the next.

Given our size, a 20% increase in our aid budget would be over \$10 million additional in the aid program. Now, we know that when Princeton does that they can largely fund such an increase without touching their unrestricted aid budget; they can do it virtually all through restricted funds. Their announcement was followed later in the summer by announcements from Harvard and Yale and a few other schools also announcing enhancements in programs that ranged from increases of 20% or so to maybe 8% to 10% in their aid budgets. The schools that made those announcements were all in that select group of the very best endowed schools in the country.

Penn's response in 1998 was to establish a Trustee Scholarship, earmarked for the very top freshman admits, based strictly on academic criteria. Students still have to have financial need to get a Trustee Scholarship, but they get a package that meets that need without any loan.

We thought we would have about 60 to 70 matriculants in this category last year, and we ended up with 90. There were more of those [gifted] students in our applicant pool—which I think has to do with the general upward trend of the view of Penn in the country—and so more of them were admitted. And, in addition, our yield on those students increased by about eight percentage points, so that instead of getting the 60 to 70 we had expected, we got about 90.

This year we added Leadership Scholarships, which are also no-loan packages. Again need is a requirement; these scholarships are for admitted freshmen with strong academic ratings, identified by Admissions based on extraordinary extracurricular involvement. We had 60 matriculate this year, out of 130 offers. In fact, mentioning the Trustee Scholarships, this year we ended up with about 110 matriculants, again the very top academic students in the admissions pool. We're admitting more top students, and our yield rate is growing, so at both ends we're increasing those numbers.

One of the questions we always need to ask is, "Is our aid program this doing what we are

Figure 3. Penn Freshman Yield Data, 1997-1999

	1999		1998		1997	
	Admit / Matric	%	Admit / Matric	%	Admit / Matric	%
All Freshmen	4688 / 2560	54.6	4842 / 2414	49.9	4282 / 2349	48.7
Grant Recipients	1645 / 925	56.2	1737 / 874	50.3	1790 / 920	51.4

hoping it does?"

That's a very complicated question, and right now I'm just going to answer it in a very general way:

The focus of our program is the recruitment and retention of students. We're really supporting our admissions goals. The institution defines whom it wants to admit and matriculate, and the financial aid program is designed to enable those students to overcome any financial obstacles to making that decision and matriculating at Penn.

[He shows Figure 3, above.]

We find that the overall yield rate for our freshman grant recipients is pretty much in line with our yield rate for all admitted students. We generally run about 50% yield on needy students to whom we award grants, but the yield in the grant recipients jumped from about 50% to 56% this year. So while we know there are students whose financial problems we cannot address to their and their families' satisfaction, I think overall, when you look at the numbers, that generally students who want to come to Penn, but who have financial problems and would not be able to do it without aid, are in fact making a decision to come to Penn as a result of the aid we are able to offer them.

[Moderator Will Harris notes the presence of Professor Giegengack of Council's Admissions and Financial Aid Committee, and conducts a question-and-answer session that includes the exchanges below.]

Dr. Peter Freyd: The unrestricted funds—do they come out of the budgets for the individual schools, or where do they come from?

Mr. Schilling: The unrestricted funds are allocated to the schools that teach undergraduates.

Dr. Rodin: We raise money centrally, we provide it to the schools, and it then comes out of their budgets. The schools also raise money, and we're trying to create an incentive for them to put it into the endowment—so during this [five-year campaign] period we provide further term funds, equal to what they place in endowment, into their budgets.

Chaz Howard, UMC: I first want to commend the University. Dr. Rodin, you're right, often people ask what the University's doing for financial aid, and you've definitely shown that there is a lot of progress, a lot of work being done. I have a couple of questions. You said that it's need-based, yet we hear also that a reason for students of color not coming here is because of the financial aid problem. I might be wrong but that seems to be a theme, that a lot of people of color aren't here because they couldn't afford to come. And if that's true, and given your statement that there are need-based gifts, need-based scholarships—not scholarships, but grants—given: How is it that with all this financial aid there is still a deterrent for students of color to come to Penn?

Mr. Schilling: I think we need to do much more careful investigation of the reasons why

students don't come. I think in general our yield for students of color is about the same for grant recipients as it is for non-grant recipients. Now, as we would expect given the economy and hundreds of years of history, underrepresented minority students are more likely to have need than majority students. So about 20% of our grant recipients are underrepresented minorities.

When we look at where the nonmatriculating minority students are going, we find that they tend to be going the same places that majority students are going. And so we are doing a lot of head-to-head competition with the Harvards, Yales and Princetons. It's intuitive to me that there are going to be students with need who go elsewhere for financial aid reasons; but the numbers we look at suggest to me that generally students of color that want to come to Penn are coming to Penn, just as other students who have financial problems are.

I think what we need to do—and I think this is probably going to be one of the things that the Committee on Admissions and Financial Aid together with the Committee on Pluralism is going to really look at—is to try to glean a little more detailed information using some of the questionnaires, the admitted-student questionnaires, and analyzing that data to get a better sense of what role finances play in the decisions of students not to come to Penn.

Dr. Rodin: Perhaps I could amplify on two points that you covered, Bill.

One is that in addition to the newer Trustee and Leadership Scholarships we have the Mayor's Scholarships, which are given to Philadelphia-area residents who are outstanding students; they are "no-loan packages," actually the largest grant that Penn gives—and many of the recipients of the Mayor's Scholarships are minority students. While that doesn't impact nationally all minority students, it gives a significant relative preference to those who are in Philadelphia and who have strong capacity.

The second issue is a complicated one, but let me try to explain it. COFHE, the same organization that collects the data that we showed you in Figure 1—data unidentified as to how much financial aid is given by each of our peer institutions—also collects a fair amount of data on mean family income of admitted students; they collect it from the financial aid applications and elsewhere. The institution that moved first to increase its packages in 1998, nameless at the top of that list, had the highest mean family income in our peer group—so its moving to give financial aid was an effort to try to make itself more accessible, or somewhat more accessible, or as accessible as many of us *already* are, if you just use mean family income as an indicator. The short-term impact of that is that your perception will surely prove accurate, and in the near-term there really will be those students who couldn't or wouldn't have gone to "X" University before but who now will, given the very dramatic change in recruitment and the financial

aid package that underlies that new recruitment strategy. That's real. They are trying to bring their numbers to where we already are. We think that that's going to be short-term perturbation that over the next few years we will actually see it reregulating itself.

Mr. Howard: My other question concerns the self-help portion that you showed—the increase, in the last 20 years, of almost \$5000—in what is expected in self-help. I just want to say that that seems very, very difficult. I'm on financial aid myself, and I have work-study as well. And to bring in \$6000, almost \$7000 dollars, is a lot, I think, to expect from a student. We also ex-

Endowing Scholarships: Notes on the Undergraduate Financial Aid Campaign

The Campaign: began July 1, 1997; when Penn's endowment for scholarships stood at \$74 million.

Overall Goal: \$200 million by June 30, 2003; interim goal for FY2000: \$30 million.

Progress to date: \$86 million (includes record-breaking \$35 million in FY1999).

Current Endowment for undergraduate scholarships: \$123,000,000. By increasing the financial aid endowment, Penn will have to rely less on funding scholarships from unrestricted sources.

Named Scholarships: These are created through gifts made by individuals. Most support a student's grant, or a portion of it, and last in perpetuity. In addition to individual gifts, 37 reunion classes have created endowed scholarship funds. Before the start of the campaign, approximately 250 undergraduates held named scholarships. Since 1996, an additional 268 students per year have received named scholarships. The Development staff is adding approximately 90 new funds per year.

The Committee: Many alumni volunteers are actively working to increase the number of named scholarships. The University Committee for Undergraduate Financial Aid, chaired by George A. Weiss, W'65, is leading this effort. Members include:

Edward T. Anderson, C'65, M'69
Mitchell J. Blutt, C'78, M'82, WG'87
Jon Burnham, W'59
Christopher Browne, C'69
Carol B. Einiger, CW'70
John Gamba, W'61
Carol Ware Gates, NU'73
Ilan Kaufthal, PAR'97, '00
Paul K. Kelly, C'62, WG'64
Natalie Koether, CW'61, L'65
Joseph P. Landy, W'83
Mary P. Landy, C'83
Steven A. Markel, W'70
Deborah Miller, CW'66, WG'94
Paul F. Miller, Jr., W'50, HON'81
Thomas J. Motley, Jr., W'72
Melanie Franco Nussdorf, CW'71
David Pottruck, C'70, WG'72
Pamela Reis, CW'70
James Riepe, W'65, WG'67
David W. Rutstein, C'66
Andrew Saul, W'68
Leonard Shapiro, W'64

—Joanne Hanna,
Director of Development
for Undergraduate Financial Aid

pect to have the grades, as well as to try to do some sort of half-extracurricular things, internships and things like that. I just wanted to express concern about that number, see if maybe it's possible that we could try to lower that.

Mr. Schilling: I think we clearly want to keep the student self-help—both the work-study employment because of the possible conflict with academic pursuits, and the student loan because of the impact on the student after graduation—as low as we can, consistent with the funding we have available for grants. One of the reasons that we are making such an effort in the development area is to avoid having to have dramatic increases in that self-help over the coming years as we try to compete in this heated-up competitive environment among private and public schools.

Professor John Keene: I wondered what criteria or what policies are used to determine what share of the full-need package comes from self-help, especially loans, and what share comes from grant. Is that the same across-the-board, or do you have other criteria which try to shape the loan/grant portion in some way responsive to the needs of the student or the economic situation of the family?

Mr. Schilling: On an aggregate level, obviously we have to look at the budgetary impact; so when we're budgeting to the amount of need we see vs. the amount of grant money we expect to have available, we have to look at having a certain aggregate amount of student self-help to keep that in line. In terms of the individual packages, there are differences in the self-helps that students would have in their packages, and these are basically driven by the same set of factors that define our recruitment goals, and that drive admissions decisions—such as academic excellence, leadership potential, racial/socio-economic diversity, all the things that are part of the recruitment plan, that are viewed as important considerations there, are also considered in addressing the levels of self-help that would be in the package. The obvious examples we already discussed are the Trustee Scholarships and the Leadership Scholarships.

Dr. Larry Gross: A quick informational question. That was a mean, median? What was that figure that Chaz was referring to?

Mr. Schilling: The mean.

Dr. Gross: The mean. What is the range? What's the distribution?

Mr. Schilling: I don't have the distribution for that particular slide, but the range of self-help in a package is probably from about \$2100 to about \$11,000.

Dr. Phoebe Leboy: The Council committees that are starting to work on these issues will undoubtedly be interested in, for example, seeing how our peer institutions are doing it, with the hope of gaining some information which might help us do it better. You probably know about admissions and financial aid operations at our peer institution more than most of the rest of us. Would that be a helpful approach? Is there something to be gained by doing that?

Mr. Schilling: I think it's always helpful to look at what our peers are doing. We may certainly find something that would be useful to do here. We know a little less about what our peers do these days than we used to, although through surveys such as the COFHE research efforts that we have referred to here, we do have some his-

torical data, so we can look at data from say the prior year. We can't always go beneath the data to find out what special things aid offices might be doing because if it's not public information; we're not supposed to be talking to one another.

Dr. Rodin: In fact we are *not* talking to each other on prospective data; anything we know about what our peers is doing is retrospective.

Moderator: Another quick one...

Michael Krouse, UA: Although the yield for grant-recipient students is the same as all students, is there still a concern within the University that students on financial aid are being deprived of certain opportunities such as taking low-paying or non-paying summer internships because of the expected student contribution over the summer?

Mr. Schilling: Yes, I think that is a concern. Apart from the issues of "Is there enough financial support to get a student to come to Penn?" and "Is there enough financial support for the student to persevere to graduation?" I think there is a concern about what is the quality of life of the aided student. We certainly don't have the resources to bring aided students up to some of the standards of living of some of their non-aided classmates might have.

But we certainly want to look at things that are affordable, that could improve the quality of life in situations such as the one you mentioned. I understand that there may be a proposal coming from the UA on a related issue, and we'd really be happy to look at what they might have to recommend.

Dr. Rodin: We would be happy to consider any proposals as we continue to really spend enormous amounts of time trying to think this through and thinking of matters of equity and fairness across the student body. I urge you to remember that among our unaided students there are vast differences in what students have available to them as resources, and there are many students who are not on aid—students that are right above our level of cutoff and not receiving anything from the University—who are making extraordinary decisions about summer opportunities and other things because they need to pay for their own education. So, the issue of fairness and equity goes through and above those who are simply on aid.

[The moderator calls time but notes that the topic will return via committees on Admissions & Financial Aid and on Pluralism.]

[At meeting's end, when a few minutes remain on the clock, he reopens the floor to this issue, and one participant speaks.]

Megan Davidson, UA: I just wanted to point out something in relation to what was said after Mike Krouse's comments on the requirement for financial aid students to earn a certain amount of money over the summer. This is not a "quality of life" issue, but a matter of the University's responsibility for adequately preparing financial aid students for "their roles as citizens in the years to come" (to quote the 2000 Campaign). It's a responsibility to prepare aided students at the same level that they do any other students. This is important when it comes to internships and summer programs such as those on Capitol Hill or with the White House, and especially with public service programs that are unpaid and therefore that financial aid students do not have the ability to take advantage of.

Introducing the Workers' Compensation Transitional Work Program

Effective November 1, 1999, a new Transitional Work Program (TWP) was introduced to enhance the University's Workers' Compensation program. The Transitional Work Program is a process to give occupationally injured or ill employees the opportunity to return to safe and productive temporary work assignments when they are medically unable to perform their full regular duties. The TWP will help supervisors and their employees identify appropriate temporary assignments.

The benefits of the TWP are:

- Eligible employees are able to return to work and full pay more quickly;
- Improved productivity by having knowledgeable employees back on the job;
- Reduced costs associated with the Workers' Compensation program.

The Transitional Work Program begins with an employee's first visit to Occupational Health or one of the panel physicians associated with the Workers' Compensation program. When lost time is expected to be more than seven days, the Transitional Work Coordinator (TWC) works with the supervisor and employee to identify and monitor transitional work. During the transitional work assignment, the employee receives continual medical follow up and care to assist in his/her recovery, with the ultimate goal of the employee being able to return to full work status.

As department needs and employee situations will vary, transitional work assignments will be addressed on a case-by-case basis. In some cases, there may not be a reasonable position, or the employee may not be able to work yet, even in a transitional assignment. The Transitional Work Program encourages supervisors and employees to think creatively and more flexibly about return to work and temporary work assignments, providing a specific process to follow when transitional work is the right answer.

For more information on the Workers' Compensation Transitional Work program please call (215) 898-2720.

—Office of Risk Management and
Division of Human Resources

TIAA-CREF Retirement Counseling

TIAA-CREF counseling sessions are to be held at 3401 Walnut St., 5th floor, from 1 to 4 p.m. on the following dates:

- Thursday, November 11
- Friday, November 12
- Wednesday, November 17
- Thursday, November 18

There will be two counselors available on all four dates. If you are interested in scheduling a counseling session, please call Lorraine Hinson at the Philadelphia Office of TIAA-CREF at 1-800-842-2010 to set up an appointment.

—Division of Human Resources

OPPORTUNITIES

All open positions at Penn are posted on the Human Resources web site at www.hr.upenn.edu. Today's Penn Partnership provides services to Penn hiring officers for the hire of permanent and temporary office support staff. Today's is also managing the Penn Job Application Center. You may contact them at (215) 222-3400 for your employment needs. Penn's Job Application Center at 3550 Market Street, Suite 110, is open 8 a.m.-6 p.m. weekdays where computer stations are available for you to browse the openings and/or apply on-line.

OF RECORD Summary Annual Reports on Benefits Plans

Health Benefits Programs for Eligible Employees, Dependent Care Expense Account Supplemental Retirement Annuity Plan and Basic Tax Deferred Annuity Retirement Plan

This is a summary of the annual reports for the University of Pennsylvania Plans named above for the Plan Year beginning January 1, 1998 and ending December 31, 1998. These Plans are sponsored by the Trustees of the University of Pennsylvania, whose Federal Employer Identification Number is 23-1352685. The annual reports have been filed with the Internal Revenue Service as required under the Employee Retirement Income Security Act of 1974 (ERISA).

It is also required under the terms of the Employee Retirement Income Security Act of 1974 that these Summary Annual Reports be furnished to Plan participants. To facilitate publication, the reports for the Plan Year ended December 31, 1998 have been combined. Consequently, portions of this summary may refer to the Plans in which you are not currently participating.

Health Benefits Program

The Trustees of the University of Pennsylvania have committed themselves to pay certain medical claims incurred under the terms of the Plan. The Plan has contracts with Keystone, Independence Blue Cross/Pennsylvania Blue Shield, and Aetna/US Healthcare to pay certain claims covered under the terms of the Plan. The total premiums paid for the Plan Year ending December 31, 1998 were \$15,061,225.

Because the Independence Blue Cross/Pennsylvania Blue Shield indemnity contracts are so-called "experience rated" contracts, as opposed to most of the HMO contracts which are "community rated" contracts, the Independence Blue Cross/Pennsylvania Blue Shield premium costs are affected directly by the number and size of claims the University participants "experience." Of the total premiums paid for the Plan Year ending December 31, 1998, the premiums paid under such "experience-rated" contracts were \$18,467,994 and the total of all benefit claims paid under these experience-rated contracts during the Plan Year was \$22,721,817.

Dependent Care Expense Account

The Trustees of the University of Pennsylvania maintain a Plan providing reimbursement of dependent care expenses funded through salary reduction agreements for full-time and part-time faculty and staff. The University provides these benefits in accordance with the terms of the Plan.

Supplemental Retirement Annuity Plan

The Plan has a contract with the Teachers Insurance Annuity Association/College Retirement Equities Fund (TIAA/CREF) which allocates funds toward individual annuity contracts. The total premiums paid for the Plan Year ending December 31, 1998 were \$3,644,327.

Basic Tax-Deferred Annuity Retirement Plan

The Plan has a contract with the Teachers Insurance Annuity Association/College Retirement Equities Fund (TIAA/CREF) which allocates funds toward individual annuity contracts. The Plan also has a contract with the Vanguard Group of Investment Companies, which allocates funds toward individually owned, fully funded custodial accounts. The total premiums paid to TIAA/CREF for the Plan Year ending December 31, 1998 were \$27,554,398. Payments to the Vanguard Group were \$20,397,010.

Additional Information

As described below, you have the right to receive a copy of the full annual report of any of the Plans, or any part thereof, on request.

The items listed below are included in that report:

1. Assets held for investment;
2. Insurance information (including sales commissions paid by insurance carriers).

To obtain a copy of the full annual report(s), or any part thereof, write or call the office of the Vice President of Human Resources, who is the Plan Administrator, Room 538A, 3401 Walnut Street, Philadelphia, PA 19104, (215) 898-6884. The charge for the full annual report of the Retirement Allowance Plan is \$5.00. The charge for the other full annual reports is \$2.50, and the charge for any single page is 25 cents.

You also have the right to receive from the Plan Administrator, on request and at no charge, a statement of the assets and liabilities of the Plans and accompanying notes, or a statement of income and expenses of the Plan and accompanying notes, or both. If you request a copy of the full annual report from the Plan Administrator, these two statements and accompanying notes will be included as part of that report. The charge to cover copying costs does not include a charge for the copying of these portions of the report because these portions are furnished without charge.

Your Rights to Additional Information About These Plans

In addition, you have the legally protected right to examine the annual reports at the University of Pennsylvania, Benefits Office, Room 527A, 3401 Walnut Street, Philadelphia, PA 19104. You also have the right to examine the annual reports at the U.S. Department of Labor in Washington, D.C., or obtain a copy from the U.S. Department of Labor upon payment of copying costs. Requests to the Department of Labor should be addressed to Public Disclosure Room, N4677, Pension and Welfare Benefit Programs, Department of Labor, 200 Constitution Avenue NW, Washington, D.C. 20216.

—Division of Human Resources

Update

NOVEMBER AT PENN

SPECIAL EVENT

17 Italian Dinner Buffet; 5-8 p.m.; Faculty Club, Inn at Penn; reservations: (215) 898-4618; menu: www.upenn.edu/faculty-club/ (Faculty Club).

TALKS

11 The Tobacco Wars: Research and Public Policy; David Kessler, dean, Yale University School of Medicine; 4 p.m.; room 200, College Hall (Sociology).

15 Regulation of Cell Adhesion and Motility by Ena/VASP Proteins; Frank Gertler, Massachusetts Institute of Technology; 4 p.m.; Physiology Conference Room; 4th floor, Richards Building (Pennsylvania Muscle Institute).

Nothing in the Whole World More Advanced: Social Medicine in South Africa 1940-1960 and Its

International Impact; Shula Marks, School of Oriental and African Studies, University of London; 4:30 p.m.; 337 Logan Hall (Africa Health Group; African Studies Center; History & Sociology of Science).

16 Women in Leadership at the Millennium; Marjorie Rendell, Judge of the United States District Court for the Eastern District of Pennsylvania; 6 p.m.; E. Craig Sweeten Alumni House; Reservations required by November 12. Contact Marion Taxin at (610) 565-0289 (Association of Alumnae).

17 E-Medicine on the Web; Barry G. Silverman, systems engineering; noon; 337 Towne (Provost's Interdisciplinary Seminar on Health Informatics).

Deadlines: The deadline for the weekly update is each Monday for the following week's issue; for the December At Penn calendar it is November 16.

Note: The December At Penn Calendar is scheduled to appear in the November 23 issue of *Almanac*.

The University of Pennsylvania Police Department Community Crime Report

About the Crime Report: The Division of Public Safety recently upgraded its Record Management System. As a result of this new system, the format for the Community Crime Report has changed. The new format, which you are reading today, is clearer and more user friendly. The community will be able to identify by date, location and criminal offense, crimes affecting the Penn and West Philadelphia Community.

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 **October 25, 1999** and **October 31, 1999**. The University Police actively patrol from Market Street to Baltimore Avenue and from the Schuylkill River to 43rd Street in conjunction with the Philadelphia Police. In this effort to provide you with a thorough and accurate report on public safety concerns, we hope that your increased awareness will lessen the opportunity for crime. For any concerns or suggestions regarding this report, please call the Division of Public Safety at (215) 898-4482.

Crimes Against Persons, Property and Society

(listed collectively in chronological order)

10/25/99			10/26/99			10/27/99		
Time	Location	Offense	Time	Location	Offense	Time	Location	Offense
7:01 PM	3900 Baltimore	Driving Under Influence	2:41 AM	3901 Locust	Theft of Bike	12:58 AM	220 S 33rd	Theft of Bike
7:41 PM	3610 Sansom	Theft	10:26 AM	3820 Locust	Theft	7:03 AM	230 S 41st	Burglary
9:41 PM	4000 Baltimore	Driving Under Influence	11:37 AM	235 S. 42nd	Theft of Bike	3:01 PM	200 S 33rd	Theft of Purse
11:30 PM	4200 Pine	Robbery	12:50 PM	3965 Baltimore	Theft of Bike	3:52 PM	3400 Spruce	Theft
10/28/99			10/29/99			10/30/99		
Time	Location	Offense	Time	Location	Offense	Time	Location	Offense
8:28 AM	Towne Building	Burglary	9:29 AM	4200 Baltimore	Aggravated Assault/Arrest	7:13 AM	3600 Sansom	Criminal Mischief to Auto
8:31 AM	Lot 36	Theft from Auto	12:01 AM	4600 Sansom	Aggravated Assault	10:18 AM	Presbytrn Hosp.	Theft
9:57 AM	Durhing Wing	Burglary	8:00 PM	4800 Kingsessing	Robbery	10:21 AM	Sansom West	Threats
1:12 PM	3731 Walnut	Fraud	1:30 AM	3400 Chestnut	Robbery	2:05 PM	lot # 30	Criminal Mischief to Auto
1:32 PM	3400 Spruce	Retail Theft	7:33 PM	5000 Baltimore	Robbery	4:33 PM	Vet Hospital	Harassment
2:11 PM	3400 Sansom	Theft	10/29/99	2:26 AM	4800 Walnut	Robbery/Arrest		
3:01 PM	3900 Delancey	Theft of Wallet	10/29/99	1:02 AM	3924 Pine	Robbery		
6:50 PM	3620 Locust	Theft of Wallet	10/30/99	7:30 PM	4601 Walnut St.	Aggravated Assault/Arrest		
10/29/99			10/30/99			10/31/99		
Time	Location	Offense	Time	Location	Offense	Time	Location	Offense
1:02 AM	3930 Spruce	Robbery	10/30/99	8:39 AM	641 52nd St.	Robbery/Arrest		
2:19 PM	300 blk. 41st St.	Criminal Mischief to Auto	10/30/99	10:04 PM	4701 Pine St.	Robbery		
10/30/99			10/31/99			10/31/99		
Time	Location	Offense	Time	Location	Offense	Time	Location	Offense
12:48 PM	3700 Spruce	Theft of Wallet	10/31/99	9:55 PM	4247 Locust	Robbery		
1:29 PM	3901 Locust	Theft	10/31/99	11:30 PM	4444 Ludlow St.	Aggravated Assault		
7:29 PM	235 S 33rd	Theft from Auto	10/31/99	8:47 PM	4700 Hazel	Robbery		
9:54 PM	4247 Locust	Robbery						

18th District Report

13 incidents and 4 arrests (9 robberies and 4 aggravated assaults) were reported between **October 25 and October 31, 1999** by the 18th District covering the Schuylkill River to 49th Street and Market Street to Woodland Avenue.

10/27/99	9:29 AM	4200 Baltimore	Aggravated Assault/Arrest
10/28/99	12:01 AM	4600 Sansom	Aggravated Assault
10/28/99	8:00 PM	4800 Kingsessing	Robbery
10/28/99	1:30 AM	3400 Chestnut	Robbery
10/29/99	7:33 PM	5000 Baltimore	Robbery
10/29/99	2:26 AM	4800 Walnut	Robbery/Arrest
10/29/99	1:02 AM	3924 Pine	Robbery
10/30/99	7:30 PM	4601 Walnut St.	Aggravated Assault/Arrest
10/30/99	8:39 AM	641 52nd St.	Robbery/Arrest
10/30/99	10:04 PM	4701 Pine St.	Robbery
10/30/99	9:55 PM	4247 Locust	Robbery
10/31/99	11:30 PM	4444 Ludlow St.	Aggravated Assault
10/31/99	8:47 PM	4700 Hazel	Robbery

Penn VIPS Thanksgiving Food Drive

Penn VIPS is holding a Thanksgiving food drive benefiting the People's Emergency Center. Non-perishable food items, including canned goods and baby formula, may be dropped off outside room 112 College Hall through November 18. To make a tax-deductible monetary donation, contact Jim Riley at (215) 573-8988 or jriley@pobox.upenn.edu.

Computer Connection Hours

Due to our quarterly inventory procedures, the Computer Connection will have the following hours during the week of November 8:

- Monday 11/8 to Friday 11/12: 8:30 a.m. to 6 p.m.
- Saturday 11/13: closed
- Sunday 11/14: closed
- Monday 11/15: resume normal hours, 8:30 a.m. to 9 p.m.

You may visit our website at www.upenn.edu/ccx for product information.

— Jeff Rusling, Associate Manager
Penn Computer Connection

CLASSIFIEDS

RESEARCH STUDIES

Research participants needed for hypertension pharmaceutical study. Must be diagnosed as hypertensive and able to keep early morning appointments. \$500. Contact Virginia Ford, MSN at HUP Hypertension Program. (215) 662-2410 or (215) 662-2638.

We are looking for men, ages 30-75, on high dose steroids (e.g. Prednisone > 20 mg./day) for a study to determine if testosterone treatment will decrease bone loss. Contact: Louise Loh or Helen Peachey at (215) 898-5664.

Non-smokers with leg pain due to poor circulation are needed for a research study. Compensation provided. (215) 662-4634.

THERAPY

Shari D. Sobel, Ph.D. Psychotherapy (215) 747-0460.

To place a classified ad, call (215) 898-5274.



Almanac

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Hamilton Village: New and Renewed College Houses

by David B. Brownlee

With the current exhibition in Van Pelt-Dietrich Library of all six models submitted in the Hamilton Village Design Competition, we have now launched the next phase of the College House renewal project. At a public forum held on October 28th, and in various print media around campus, we announced that Patkau Architects and Kieran, Timberlake & Harris were commissioned by the University to go forward with feasibility studies based on these designs.

The consultative committees, comprised of faculty, staff and students from the College Houses of Hamilton Village, are now working closely with the chief architects from these two firms, and all members of the University community are warmly invited to join in the discussion of this exciting project. A review of this project, and how the competition was conducted, follows.

The six competing firms were asked to consider the entire "superblock" of Hamilton Village, stretching from 38th to 40th Streets and from Spruce to Walnut. Specifically, they were asked to plan the renovation of existing College Houses, both to meet deferred maintenance needs and make them serve as better College Houses, and to design new accommodations for 1000 students. Other important goals included a preference for small and medium scale buildings, the creation of more intimate outdoor spaces, redesigned service and other vehicular circulation, and reduction of the wind-accelerating effects of the high-rises. An open, active boundary between the campus and the neighborhood was specified, with increased retail space on 40th Street. The location of the Walnut West Library at the corner of 40th and Walnut was to be respected, noting that the library would ultimately determine whether to remain in its current structure or build a new one.

Lessons from the Competition

The six firms responded with many provocative ideas, and from them, we learned very valuable lessons. The best of these ideas will be incorporated in the planning process. They include:

- *Use of non-traditional geometry.* Several of the designers shaped their buildings and walkways with curves, circles, and diagonals. These attractive features echo some of our favorite landmarks on campus: the curved apse of Fisher Fine Arts Library and the dynamic line of Woodland Walk that cuts across Blanche Levy Park.
- *A piazza on Locust Walk between 39th and 40th Streets.* Several designs eliminated the windy plaza next to Harnwell College House and added a "town square" in front of St. Mary's, the handsome Gothic Revival church in Hamilton Village, surrounding it with entrances to three or more College Houses. This piazza invigorates the connection between the campus and city.
- *Connect with the Sundance Theater, Walnut West Library, and freshgrocer.com, the new supermarket.* This concentration of new activity along 40th and Walnut streets invites a diagonal walkway into campus near the corner.
- *Activate Locust Walk.* Place the active areas of the College Houses (such as computer labs and lounges), as well as new hubs on Locust Walk.
- *Preserve openness to the city.* No dividing walls, nor walls of closed buildings should face the surrounding neighborhoods. Active retail space should prevail on both sides of 40th Street. Gateways and openings should be strongly welcoming, and greenery should be visible from the street.
- *Make the high-rises more manageable.* Several firms suggested we create two smaller College Houses within the body of each 28-story building. This would require separate lobbies and elevator systems for each House. Attaching two- or three-story additions ("skirts") to the bases of the high-rises would reduce their scale at ground level, provide needed public space, and ameliorate the wind-tunnel effect.
- *The importance of courtyards.* Courtyards help to create a strong identity for the College Houses and their residents. This arrangement also allows the installation of a simple one-point security system for each house.
- *Variety in building height.* By generally limiting the new College Houses to four or five stories, and raising some sections to 8-12 stories (like the new buildings on adjacent sites, such as Huntsman Hall, the new parking garage on 40th, and the Gateway Building of the School of Dental Medicine) we can mitigate the unsettling imbalance between very low buildings and very tall ones and provide a more interesting, varied skyline. This also preserves green space.

Dr. Brownlee is Professor of History of Art, the Director of College Houses and Academic Service and Faculty Master of Harnwell College House.

Next Steps

Patkau Architects is now testing the feasibility of providing 700 College House accommodations in new low and mid-rise buildings in the northwest quadrant of Hamilton Village. This assignment is based on their competition submission, which created two College Houses in this area, each organized around a secure, green courtyard, with multiple doorways into living areas, and a pleasant fountain. Internally, Patkau's design featured extremely successful layouts for student suites, each with a kitchen, bathroom, and a single bedroom for each resident. The suites were gathered into social clusters, centered on fireplace-equipped lounges. They have also been asked to make provision in the westernmost House for a proposed visual arts hub on Locust Walk.

Kieran, Timberlake & Harris is further developing its competition proposal to divide Hamilton College House into two College Houses, each with about 400 residents and each with its own entrance lobby, elevators, and public spaces. Many of the required College House amenities (libraries, computer labs, house offices, lounges, exercise rooms, music practice rooms, etc.) will be provided in a skirt at the base of the tower. They are also studying the residential floors to see if they can be re-configured with a lounge on each floor and student suites with bathrooms, kitchens, living rooms, and a private bedroom for each resident.



These models, along with those from the other four architectural firms, will remain on display at the Van Pelt-Dietrich Library through Monday, November 15.

Questions, comments and suggestions are welcome; send e-mail to: 12houses@pobox.upenn.edu

UNIVERSITY of PENNSYLVANIA *Almanac*

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SEAS Dean: Dr. Glandt

Dr. Eduardo D. Glandt, a distinguished member of the School of Engineering and Applied Science for more than two decades, has been named Dean of the School, President Judith Rodin said Friday. His appointment will become effective on confirmation by the Trustees in January.

Dr. Glandt has served as interim dean since August 1998, in what Dr. Rodin has termed an "exemplary period" of attracting new resources, making significant faculty appointments and supporting interdisciplinary teaching and research. "It is a tribute to the great strength of our faculty when a thoughtful, carefully-conducted and exhaustive search that identified many wonderful candidates leads ultimately to a distinguished scholar in our own midst," Dr. Rodin said. "We couldn't be more delighted at the result because we believe Eduardo Glandt is the best possible person to lead the School into the next century."

Dr. Glandt received his bachelor's degree *magna cum laude* from the University of Buenos Aires in 1968 and joined the National Institute of Industrial Technology in Buenos Aires, where from 1967-73 he was responsible for technical consulting services to the mineral industry and for pilot plant-level process development.

Taking a year out in 1969-70, he came to the U.S. as a visiting researcher for the Bureau of Mines and a United Nations Fellow. Later he returned to take his advanced degrees in chemical engineering from Penn—a master's in 1975 and Ph.D. in 1977.

Joining the faculty in 1975, he became an associate professor in 1981, professor in 1985, and Carl V.S. Patterson Professor in 1990. Five years later he was named to the Russell P. and Elizabeth C. Heuer Professorship, which he held until 1998. He was the Gulf Visiting Professor at Carnegie-Mellon in 1989-90, and chair of chemical engineering in 1991-94.

Dr. Glandt's research has focused on classical and statistical thermodynamics, theories of liquids and of liquid mixtures, adsorption, interfacial phenomena, membrane partitioning, colloids and heterogeneous media. A prolific author and presenter (of more than 250 seminars), he has delivered named lectures at universities throughout the U.S., including those at Princeton, CalTech, Texas, Rutgers, Rensselaer and Yale.

Elected to the National Academy of Engineering in 1996, Dr. Glandt is also a member of the American Association for the Advancement of Science and other prestigious organizations.



Dr. Eduardo Glandt

Dr. Gewirtz and the \$3 Million Doris Duke Award

Dr. Alan M. Gewirtz, professor of medicine and pathology at Penn Med and leader of the Stem Cell Biology and Therapeutics Program in the Cancer Center, is one of four

recipients of the first Doris Duke Distinguished Clinical Scientist Awards for Excellence in Bench to Bedside Research for Research on Sickle Cell Disease and Other Blood Disorders.

Dr. Gewirtz will receive \$3 million over the next five years to use in his work on *Nucleic Acid Therapeutics for Human Leukemia*, which sets out to develop more effective, less toxic therapies for human leukemia—and that can, researchers hope, be applicable to a larger spectrum of blood disorders and perhaps to cancer and cardiovascular diseases as well. The work focuses on the use of short strands of nucleic acids (oligonucleotides) to disrupt gene expression in diseased cells.

Dr. Gewirtz, a member of the PennMed faculty since 1990, has devoted his career to studies of normal and malignant human hematopoiesis and ways of translating basic scientific discoveries into clinically useful therapies for patients with disorders of blood formation.

Doris Duke, who died in 1993, left her fortune to the Doris Duke Charitable Foundation, which supports a variety of interests, including environmental and ecological causes, medical research, and the performing arts. The Bench to Bedside awards support "physician-scientists who lead outstanding clinical research programs that apply the latest biomedical research advances to the prevention, treatments and cure of disease." They are given in four disease areas: cancer, AIDS, cardiovascular diseases, and sickle cell anemia and other blood disorders.



Dr. Alan Gewirtz

Renewing Hamilton Village

At left and on the back page, the conceptual design submitted by Patkau Architects, from Vancouver, Canada. They have been asked to do a feasibility study for the north-western quadrant of Hamilton Village.



Above, the conceptual design submitted by Kieran, Timberlake & Harris, a Philadelphia-based architectural firm which has been named to do a feasibility study for the high-rises, starting with Hamilton College House.

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Pullout: Council Membership and Committees

OF RECORD On Notification of Parents in Alcohol/Drug Violations

~~We present to the Penn community the report of the Committee on Changes to the Family Education Rights and Privacy Act (FERPA), which governs disclosure of certain educational records. The committee, led by Dr. Rick Beeman, dean of the College of Arts and Sciences, was comprised of faculty, students, and staff. During its deliberations, the committee focused its concern on those changes to FERPA enacted in October 1998 which permit colleges and universities to disclose to parents certain instances in which their son or daughter have violated the school's drug or alcohol policies. The report provides a framework for considering if, how, and when the school should notify parents of these instances. (It should also be noted that the amendments to FERPA also now permit colleges and universities greater latitude in making public information relating to disciplinary matters involving crimes of violence. The committee will reconvene shortly to consider the complex issues relating to this change in federal law.)~~

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~~The recommendations of the committee and its consultation efforts are documented in the report. We are calling for comment as the next phase in the consultation process. In order to ensure that the campus community has time to deliberate and offer us input, we will welcome comments until Friday, October 15. Please send comments to FERPA@pobox or write to us respectively at 100 College Hall/6380 or 110 College Hall/6303. We will also look forward to campus-wide discussions such as the one being planned by the Undergraduate Assembly. We will make a final policy decision after the comment period concludes.~~

—Judith Rodin, President

Robert Barchi, Provost

Report and Recommendations of the Committee on Changes to the Family Educational Rights and Privacy Act (FERPA)

In response to the October 1998 amendments to FERPA, the President and Provost convened a committee to advise them about what changes, if any, the University should make with respect to its policies on disclosure of certain educational records. In particular, the committee focused on the issue of "parental notification", i.e. whether and under what circumstance the University should notify the parents of students under 21 when the student has violated University policy with respect to the use or possession of alcohol or drugs, as the law now permits. Penn's current policy is to notify parents only when a student faces serious and immediate health/medical risk (see Penn's current Confidentiality policy—*PennBook* 1998-99, p. 31).

Committee Work and Consultation

The Committee met several times and also sought the input of a broad spectrum of the Penn community and other higher education institutions. The Committee sent inquiry letters within Penn to the Athletic Department, Admissions Office, student groups, health educators, University Council's Student Affairs Committee, and parents. Our primary responses came from students, health educators and parents. Rick Beeman and Michele Goldfarb met with a group of parents of undergraduates from the College. The students on the Committee, Jamie Lustbader and Paul Goydan, compiled responses from a sampling of undergraduate students at Penn. Kate Ward-Gaus, Penn's health educator on alcohol and related issues, explained her position on parental notification to the Committee. Finally, Michele Goldfarb met with University Council's Student Affairs Committee and received a recommendation from that group.

The Committee also sought information regarding how other schools were reacting to the legislative changes. We reviewed a wide variety of responses and it is fair to say that there is a wide diversity of opinion on this issue. The responding schools were about evenly divided, with half choosing not to alter their current policies as a result of the new law and about half responding with a change in policy. Among those choosing to change their notification policies, a minority chose to notify parents anytime an undergraduate student violated alcohol policy. However, a majority has chosen to notify parents only in specific situations usually involving multiple violations, health risks, or serious accompanying disciplinary matters (e.g. potential suspension from school and/or eviction from University residence). Ultimately, our Committee concluded that Penn should move in this direction, notifying parents of alcohol violations under specified circumstances.

The Committee's Consensus re: Policy Considerations

The consensus of the Committee was that, in general and as a matter of principle, the University's long-standing approach of respecting the autonomy, privacy and adult status of our students, should continue to guide our notification policies. Therefore, there was little enthusiasm for notifying parents every time a student was involved in an alcohol infraction. There was also a strong belief on the Committee that the act of notifying parents should not be conveyed as a "punitive" action or be used as a "threat". In addition, there was a sense that the act of notifying parents could be used as a means of generating discussion, particularly between our students and their parents, which would be constructive and compatible with the University's educational mission. Finally, there was a concern within the Committee that parental notification that occurred only after a student found him or herself in repeated or serious disciplinary trouble was both too late for that particular student and also was likely to reach only a very small percentage of the student population, some of whom could benefit from earlier parental intervention.

Within its general consensus on the importance of protecting student privacy and confidentiality, the Committee (and the Penn constituents whose

input was received) felt strongly that there were certain circumstances which overrode these values, and when such circumstances were present, the ability of the parent to be helpful and/or the parents' need to be informed outweighed other considerations.

Committee Recommendation

The Committee recommends that the University continue to notify parents and guardians of students, regardless of the student's age or disciplinary status, in cases of emergency such as injury, extreme or life-threatening health risk or where there are other serious concerns regarding a student's mental or physical health. It is the Committee's understanding that this is not a departure from current practice. It is anticipated that this notification will continue to come from the VPUL or her designee.

In response to recent legislation, the Committee further recommends that the University grant the Director of the Office of Student Conduct the discretion to determine whether and how to notify parents or guardians of students under 21 who are found to be in violation of University policies regarding the use or possession of alcohol or drugs, when the violation is determined to be serious or repeated.

Guidelines for notification—any of the following circumstances can trigger notification:

- A) The student has had previous, significant drug- or alcohol-related violations
- B) The student has committed a violation which was accompanied by other serious misconduct involving personal injury to him- or herself, others, or damage to property
- C) The student's violation could result in a separation either from the University or from the College Houses.

The Committee further recommends that, where possible, the student whose parents are to be notified under these guidelines, be informed before such notification occurs and given an opportunity to initiate parental contact.

Finally, the Committee makes an additional recommendation, based primarily on discussions with parents and with the Student Affairs Committee. The Committee appreciates that this final recommendation represents a more dramatic departure from current practice than the previous policy recommendations. Moreover, the committee recognizes that there are a number of issues—both practical and philosophical—that would need to be addressed before the approach suggested below could be successfully implemented. However, given discussions with parents and University administrators during which concern was expressed that parents and students be given an opportunity to choose to be informed of alcohol/drug violations which fall outside the purview of these guidelines, the Committee undertook to frame a response. This response would also address the concern referred to earlier regarding the fear that parental notification following serious disciplinary involvement was "too little, too late" for too few students.

Therefore, it is recommended that the University consider developing a "consent to be notified" form which would require the signatures of both students and parents and which would serve as both a release and a request for notification from the University in circumstances which might otherwise fall outside the notification guidelines stated here (e.g. a first time alcohol possession/consumption violation in University residence or a minor undergraduate possession citation from the U.P.P.D.)

Richard Beeman, Chair
Brenda Fraser
Paul Goydan
Jamie Lustbader
Stephen Steinberg

David Brownlee
Michele Goldfarb
Phyllis Holtzman
Valarie Swain-Cade McCoullum
David Williams

