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\$20 Million Gift for University Priorities: Financial Aid, Student Life and Faculty Support

Photograph by Marguerite F. Miller



George Weiss

Penn has received a \$20 million gift from Say Yes to Education, Inc. that will provide for priorities in student life, faculty support and financial aid, President Judith Rodin announced last Thursday. The gift, presented by Penn Trustee George A. Weiss, founder and president of Say Yes to Education, and 1965 Wharton graduate, is the largest in a series of gifts to Penn by Mr. Weiss and Say Yes over the past 25 years. It will be used to establish a challenge grant for undergraduate financial aid; create the Weiss House for innovative technologies for students in all four of Penn's undergraduate schools; establish an endowed professorship; and provide support for athletic priorities.

"Few people have been greater ambassadors for Penn than George has," President Rodin said. "His generosity encompasses his time and energy and his financial commitment to an extraordinarily broad range of student and campus

life priorities. We are enormously grateful to him for this latest evidence of his dedication and unwavering support."

President Rodin noted that Mr. Weiss's gift supports the University's goals in its *Agenda for Excellence*, notably in the areas of scholarship endowment, faculty support and student life.

Mr. Weiss is president of George Weiss Associates, Inc., a money management firm with offices in Hartford, Connecticut, and New York. He is best known throughout the country as the founder of the nationally recognized Say Yes to Education program that combines academic support and intervention with an offer to pay college tuition or vocational training costs for inner city students. The program was launched in West Philadelphia in 1987 and has grown to include over 360 students in Philadelphia, Cambridge, MA, and Hartford, CT. Say Yes is based at GSE.

At Penn, Mr. Weiss is a Charter Trustee, Athletic Advisory Board Overseer and serves as Chair of the University Committee on Undergraduate Financial Aid, which is charged with raising \$200 million in new endowment.

"I want to make a difference in the lives of students because I want them to make a difference in the world," said Mr. Weiss. "Walter Annenberg is my inspiration. I have always taken to heart a comment he made after making a significant commitment to the University. He said, 'It is simply a matter of good citizenship.'"

\$6 million is designated for financial aid, of which \$5 million will create the Weiss Challenge Fund for Undergraduate Financial Aid. This challenge fund is designed to encourage new scholarship gifts by providing one dollar for every two dollars committed by other donors. As a leading advocate for financial aid, Mr.

Weiss has been particularly passionate about issues surrounding minority permanence and carrying a message about the importance of financial aid to young alumni.

A recent graduate, who experienced Mr. Weiss's enthusiasm in a face-to-face encounter, responded by creating a scholarship in memory of his grandparents. "He made a very compelling case, one that stayed with me," said the donor.

The Weiss House for innovative technologies will serve as a focal point for students interested in innovative technologies of any kind: software systems and products; telecommunications; biomedical devices, etc. It will provide a setting in which students from all four of Penn's undergraduate schools—the College, Wharton, SEAS and Nursing—can take ideas about new technologies, develop products from them, and explore how they can successfully be marketed, financed and developed into businesses. With faculty advisors from SEAS and Wharton, along with resources and expertise from such schools as SAS, Medicine and Law, the Weiss Tech House will serve as a model of interdisciplinary discussion and exploration. The House will provide hospitable social and meeting spaces, as well as appropriate equipment for students to interact, learn together and collaborate with faculty and industry experts on the development and furthering of their ideas.

The thematic concept of Weiss Tech House will follow that of several other highly successful "hubs" that help comprise Penn's College House system. Others include the Kelly Writers House, the Civic House and the Center for Undergraduate Research and Fellowships.

Mr. Weiss, who calls Penn "my first, second and third philanthropic interest," has given nearly \$40 million to a wide variety of areas within the University. His previous gifts have included undergraduate scholarships for minority students; the Weiss Center for International Financial Research at the Wharton School; endowed professorships in folklore and music (the latter named for Weiss's father); the deanship in GSE; and support for intercollegiate athletics.

In 1985, Mr. Weiss received Penn's highest alumni honor, the Award of Merit, in recognition of his unwavering loyalty to Penn.

Penn's Way 2001: Participation Up 8% Over Last Year

Dear Colleagues:

The Penn's Way 2001 campaign has concluded and we are delighted to report that the campaign surpassed our goal of \$350,000! As of February 2, 2001, over 1,800 Penn employees helped raise a total of \$374,253 exceeding our goal by \$24,253 or 7%. Total participation in Penn's Way 2001 increased this year by 8%. Once again, Penn faculty and staff continue to show that Penn cares and Penn shares.

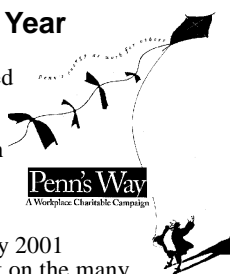
We can not express enough our appreciation for the generosity displayed by those who participated and contributed to the Penn's Way 2001 campaign. The gifts each of you made will have a tremendous impact on the many organizations of the Greater Philadelphia Region, and the people that they serve.

We would also like to acknowledge the efforts of the volunteer coordinators and facilitators within each of the schools and centers. Their initiative and enthusiasm helped bring out the best in our Penn community. These volunteers helped demonstrate that Penn is committed to a strong and active workplace giving campaign and to making a positive difference in people's lives.

Again, we thank everyone for their contributions to Penn's Way 2001.

—David Hackney and Carol R. Scheman, Penn's Way 2001 Co-Chairs

	Total Participation	# Solicited	Percentage Participation	Contributions
University Centers	938	3,366	28%	\$101,176
All Schools	871	7,902	11%	\$273,077
Total	1,809	11,268	16%	\$374,253



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John DiIulio to D.C.

Last Monday, President George Bush appointed criminologist and political scientist Dr. John J. DiIulio, Jr., to direct the new White House Office of Faith-Based and Community Initiatives—the first federal office intended to promote the integration of religious groups into federally financed social services. Dr. DiIulio is the Frederick Fox Leadership Professor of Politics, Religion and Civil Society in SAS. In the newly created position he will oversee the President's effort to have religious and community organizations, using government subsidies, assume a bigger role in combating social problems such as drug abuse and juvenile delinquency. The new initiative, if approved by Congress, will allow religious charities to compete for government grants alongside secular organizations. President Bush described Dr. DiIulio as “one of the most influential social entrepreneurs in America. I can't tell you how honored I am for him to leave his post in academia to join us.” He went on to say, “He has been a major force in mobilizing the city of Philadelphia to support faith-based and community groups.”

Dr. DiIulio's research focuses on public management, U.S. politics, faith-based social programs, criminal justice and government reform. He is the author, co-author, or editor of more than a dozen books, including *Body Count: Moral Poverty... and How to Win America's War Against Crime and Drugs*, with John P. Walters and William J. Bennett, the former education secretary and drug czar, 1996; *Improving Government Performance: An Owner's Manual*, 1993; *Medicaid and Devolution: A View from the States*, 1998; and *What's God Got to Do with the American Experiment?*, 2000, co-edited with *Washington Post* national columnist E.J. Dionne, Jr.

A Penn alumnus, Dr. DiIulio took his bachelor's degree in political science and in economics and a master's degree in political science-public policy here and his Ph.D. from Harvard. He taught at Princeton before joining Penn's faculty in 1999. He is the founding director of Penn's new Center for Research on Religion and Urban Civil Society and the director of the Fox Leadership Program.

Dr. DiIulio, a senior fellow at the Manhattan Institute, senior counsel to Public/Private Ventures and founding director of the Center for Public Management at the Brookings Institute, has chaired the American Political Science Association's standing committee on professional ethics.



John DiIulio

Perspectives on Academic Medical Center and the Marketplace

Report of the January 29 Faculty Symposium: Sponsored by The Medical Faculty Senate

Dr. Alan Wasserstein, M.D., chair, Medical Faculty Senate, presented an overview of the difficulties in the current healthcare market and challenges faced by academic health centers, focusing on Penn. Although there has been a dramatic financial turnaround, the University trustees and a special committee of selected faculty and trustees are investigating options available to the system for the future, including sale or merger. Dr. Wasserstein stated that there will be broad and deep faculty involvement in this process. Experts with interest in governance and financing of academic health institutions, as well as academic leaders who have been through sale or merger of a health system presented their findings and experience.

Dr. Arthur K. Asbury, M.D., interim dean, School of Medicine, summarized strategic planning at Penn from 1986 when Penn's trustees formed the Medical Center and created the CEO/Dean position through the present period. Most notably, the changing reimbursement climate nationally and locally and the failure of the anticipated full-risk scenario to evolve resulted in unprecedented operating deficits from 1997 through 1999. A dramatic turnaround occurred when UPHS went from a \$200 million operating loss in FY99 to a \$30 million operating loss in FY00, fairly close to budget. For the first six months in FY01, UPHS is operating well ahead of budget. Dr. Asbury praised the extraordinary efforts of faculty, chairs, staff and health services administration led by Robert Martin. However, he cautioned that although the health services component is operating in the black, the margin is small in relation to its annual budget of over \$1.6 billion. In total, liabilities comprise a substantial fraction of the assets, that is, \$1.4 billion in liabilities and \$1.8 billion in assets. Dr. Asbury emphasized the importance of supporting the academic programs that received support in recent years from transfers from the health services component to the School of Medicine (SOM), much of which was spent for building projects such as Stellar-Chance and BRB II/III. Some level of annual and predictable support must continue in order to meet the requirements for annual reinvestment in the academic enterprise. In FY01, the SOM is staying on budget with help but circumstances are still constrained. He said that it is appropriate for the trustees to explore ways of managing better the capital needs and balance sheet of the health services component and the needs of the academic programs of the SOM and that the special committee, chaired by President Judith Rodin, is weighing various strategic options. Dr. Asbury stated “this superb faculty is the core of the academic mission, which we value, and must preserve, and augment. This is the task that the special committee is addressing and it is using the set of values.

Dr. David Blumenthal, is the director, Institute for Health Policy, Massachusetts General Hospital/Partners HealthCare System, professor of medicine and professor of health care policy, Harvard Medical School. Dr. Blumenthal's research focuses on problems in academic health centers (AHC) and solutions to those problems. He presented three case studies illustrating the sale of the clinical enterprise to for-profit investor-owned hospital organizations: St. Joseph's Hospital/Creighton University; Tulane University Medical Center; and George Washington University Medical Center. Unlike Penn, all three institutions are modest size, below the median in NIH funding, include hospitals only (no health systems) and have modest indigent care. He cautioned that the experiences may not be generalizable to the Penn situation. He stated that evidence indicates that for-profit sales can offer attractive short-term arrangements so that capital can be used to support the academic mission, leadership is freed to concentrate on academics, and contracts can provide on-going support of the mission. However, a partnership based on shared values is replaced with a business relationship and the long-term consequences for the mission are uncertain. He recommended getting everything in writing, establishing iron-clad buyback arrangements with specified pricing terms, and retaining control of academic programs. He also commented on sales to non-profit organizations. Non-profits may be more sympathetic to missions and may have more commitment to the local community. However, they are less likely to have the money to return the ailing institution to its former status, they may be the local competitor and they may have “history” with the teaching hospital that causes suspicion. He stated that it is most important to determine who will make the decisions and have control.

Kenneth D. Bloem, is a senior fellow at the Association of Academic Health Centers, senior fellow at Johns Hopkins, Center for Civilian Biodefense, (formerly CEO, Georgetown University Medical Center). When Mr. Bloem was CEO of Georgetown Medical Center, he worked with Dr. Sam Wiesel, Exec. Vice President and Dean of the Medical School in a unified administration. They participated in the sale of the Medical Center to MedStar, a non-profit organization. When Mr. Bloem and Dr. Wiesel assumed leadership in 1996, Georgetown was losing at least \$30 million/year and, before the situation was stabilized over a four-year period, Georgetown lost more than \$200 million. The university endowment was \$650 million. The Medical Center represented two-thirds of the total operating budget of the university. It was determined that Georgetown required a clinical practice partner for its financial survival. MedStar was identified as a partner that was strongly committed to academic medicine and had respectable marketplace performance. He emphasized the need for on-going communication with faculty leadership during the negotiation process. Results to date include increased hospital volume and faculty practices, renegotiated managed care contracts with rate increases, investments of \$20 million, no decrease in sponsored research, maintenance of high student quality and minimal faculty losses. It is too early to measure any changes in culture. Last year, Mr. Bloem studied the phenomenon of consolidations among AHCs as a participant in the University Health System Consortium. They concluded that requirements for success were market leverage, market tolerance, and leadership. It is too early to tell the impact of consolidation on academic mission.

Dr. Jay H. Stein, M.D., is senior vice president /vice provost for health affairs, Medical Center and Strong Health CEO, University of Rochester Medical Center. He described their situation, which he considers most relevant to Penn. In the 1990s, the university trustees grew concerned about the high risk of the hospital, even though the hospital was making a profit. A new organizational structure of integrated leadership required that the dean of the medical school and the head of the hospital report to Dr. Stein in his position as Vice Provost for Health Affairs. In 1996, he introduced a new strategic plan regarding clinical, research, and educational aspects of the medical center. He attributes their success to the integrated structure and concluded that that model works best.

Dr. John A. Kastor, M.D., professor of medicine, division of cardiology, University of Maryland School of Medicine, reviewed his findings on three specific mergers of teaching hospitals in Boston, New York and California that constitute conclusions in his new book. In 1994, Mass General (MGH) merged with the Brigham and Women's Hospital to form a holding company, rather than merging. Partners HealthCare System is considered a qualified success. In New York, Presbyterian (teaching hospital for Columbia) and New York (teaching hospital for Cornell) formed the New York-Presbyterian Healthcare System. They are just breaking even, partly by applying income from endowment to operating expenses. In California, UCSF (state) and Stanford (private) merged their principal teaching hospitals into a new corporation, which lasted only 23 months. Both hospitals continue to lose money. Dr. Kastor observed that some mergers are a result of merger mania, that hospital boards assume that what works in private companies should work in health care; financial parity of different institutions is not possible; trustees boards play an important role in what succeeded and what failed; clinical programs attempted to merge but most failed. Some have experienced increased income, savings through economies of scale and improved clinical programs.

The Financial Disclosure Policy for Research and Sponsored Projects printed below is an administrative revision of the 1995 policy. The earlier policy has been revised to bring it into line with current federal guidelines. It is my intention to establish a faculty committee to review the entire policy in the near future. The Faculty Senate leadership has agreed that, effective immediately, the policy below will serve as an interim policy until that committee completes its work.

—Provost Robert Barchi

Financial Disclosure Policy for Research and Sponsored Projects

Preamble

An essential aspect of the University is the ability of the faculty to pursue all areas of academic inquiry with freedom from inappropriate external bias. One of the hallmarks of University research is its credibility and frankness. The University has an obligation to the community of scholars and to the public to assure that research and scholarly activity is carried out under the highest standards of ethical conduct. As the economic importance of University research has grown over the past several decades there are increasing opportunities for faculty, students and staff to convert their ideas and concepts into commercial realities. These opportunities present challenges to the openness and bias-free environment of a university. Thus it is appropriate that whenever research or other creative activity is sponsored externally or with University resources, that there be a full and appropriate disclosure of financial interests which may affect the conduct of the research or scholarly activity or the education of students and that the conflicts of interest be appropriately managed.

Background

Several years ago the National Science Foundation (NSF), and the U.S. Public Health Service including the National Institutes of Health (NIH) and the Food and Drug Administration (FDA) issued regulations which require disclosure of personal financial interests by Principal Investigators (PIs), Clinical Investigators (co- and sub- investigators) (CI) (collectively *Investigators*) and others engaged in a project being proposed to those agencies, when such interests would reasonably appear to be affected by the research or other activity being proposed. These regulations require that the University have in place a policy on conflicts of interest which:

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

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

The FDA requires that for *Covered Clinical Studies* Certifications of No Financial Interests and Arrangements or Disclosures of Financial Interests and Arrangements be submitted to the research sponsor and then to the FDA.

Applicability

The Financial Disclosure Policy described below will apply to all proposals and applications submitted to any sponsor and to human subjects research conducted under the aegis of the University of Pennsylvania on or after _____. The Policy will be supplementary to the University's current Conflict of Interest Policy for Faculty (see *Handbook for Faculty and Academic Administrators*, Section II.E.1). A list of University policies related to the proposed Financial Disclosure Policy may be found in [Appendix 1](#).

Individuals in leadership roles need to be mindful that their own financial interests may inappropriately influence the conduct of research of faculty, students, and staff under their supervision and should manage such potential conflicts consistent with the principles set forth in this Policy and the procedures described herein.

Policy

Definitions

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

In the case where the potential conflict of interest situation involves a Center or Institute Director, then the Vice Provost for Research will be the responsible *Administrator*; if the case involves a Dean, then the Provost or his/her designee will be the responsible *Administrator*.

Covered Clinical Study means any study of a drug or device in humans submitted in a marketing application or reclassification petition subject to FDA regulations (21CFR Part 54) that the sponsor or FDA relies on to establish that the product is effective (including studies that show equivalence to an effective product) or that make a significant contribution to the demonstration of safety.

Investigator means a principal *investigator*, co-principal *investigator*, or others (e.g., individuals with supervisory or oversight function in the context of a large grant) responsible for the design, implementation and reporting of the proposed research or clinical *investigators* or sub-*investigators* directly involved in treatment or evaluation of research subjects, including staff, who are responsible for obtaining the informed consent of human subjects.

Significant Equity Interest means any ownership interest, stock options, or other financial interest whose value cannot be readily determined through reference to public prices (generally, interests in a nonpublicly traded corporation) during the time the clinical *Investigator* is carrying out the study and for one (1) year following completion of the study.

Significant Financial Interest means anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). *Significant Financial Interest* includes a *Significant Equity Interest* as defined above. For *Covered Clinical Studies*, *Significant Financial Interest* also includes *Significant Payment of Other Sorts* (as defined below). The term *Significant Financial Interest* does **not** include:

- salary, royalties or other remuneration from the University;
- income from service on advisory committees or review panels for public or non-profit entities;
- income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities; or
- an equity interest that when aggregated for the *Investigator* and the *Investigators* spouse and dependent children, meets **both** of the following tests: does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value; **and** does not represent more than five percent (5%) ownership interest in any single entity; or
- salary, royalties or other payments that when aggregated for the *Investigator* and the *Investigator's* spouse and dependent children, are not expected to exceed \$10,000 during the next twelve-month period.

Significant Payment of Other Sorts means payments made by the sponsor of a *Covered Clinical Study* to the *Investigator* or the institution to support activities of the *Investigator* that have a monetary value of more than \$25,000, exclusive of the costs of conducting the *Covered Clinical Study* or other clinical studies, (e.g., a grant to fund ongoing research, compensation in the form of equipment or retainers for ongoing consultation or honoraria) during the time the clinical *Investigator* is carrying out the study and for one (1) year following the completion of the study.

Procedures

Disclosure. All *Investigators* shall submit a statement of Potential Conflict Of Interest (see [Appendix 2](#)) to the Office of Research Services (ORS) and to their supervisor prior to the initiation of any University-sponsored research or clinical trial and annually as long as such research is ongoing.

The *Investigator* shall also submit to ORS and his/her supervisor a copy of his/her updated Financial Disclosure Form at any point prior to entering into an arrangement that may result in a potential conflict of interest or substantially modify an existing conflict of interest.

Prior to submission of a grant proposal or any research project involv-

(continued on page 4)

(continued from page 3)

ing human subjects in research an *Investigator* may seek advice from the Conflict of Interest Standing Committee (CISC) as to whether any real or apparent conflict of interest exists with respect to a sponsored program or research project. *Investigators* must at the time a proposal is submitted to the Office of Research Services for approval, certify on the ORS Transmittal/Approval Form whether or not they, or their spouses and dependent children, have any *Significant Financial Interests* that would reasonably appear to be affected by the activities proposed to be funded, thus creating a potential conflict of interest. Please note that individuals should not report holdings in mutual funds, or pension accounts. Disclosure of a *Significant Equity Interest* in a sponsor of a *Covered Clinical Study* extends for one (1) year after conclusion of the study. Please note: If any equity is not publicly traded, it must be disclosed in all cases.

When an *Investigator* indicates that there may be a potential conflict of interest, he/she must complete a Statement of Potential Conflict of Interest form (see [Appendix 2](#)) and submit it to ORS with (or in advance of) the proposal. ORS will not submit a proposal until the *Investigator(s)* have certified whether a conflict or potential conflict exists, and, if necessary, submitted a Statement of Potential Conflict of Interest. *Investigators* must update financial disclosures during the period of an award when new reportable *Significant Financial Interests* are acquired. Where pertinent, addition of new *Investigators* to an ongoing award activity will require an updated financial disclosure.

In the case of studies involving human subjects including *Covered Clinical Studies*, *Investigators* shall promptly submit to the Office of Regulatory Affairs (ORA) copies of any Disclosures of Financial Interests and Arrangements of Clinical *Investigators* (FDA Form 3455 or documents submitted to the sponsor for preparation of Form 3455) that they submit to any research study sponsor or granting organization, to the Food and Drug Administration (FDA), National Institute of Health (NIH), National Science Foundation (NSF) or any other regulatory agency. Faculty Members shall also promptly submit to the ORA copies of all Certifications of No Financial Interests and Arrangements of Clinical *Investigators* (FDA Form 3454 or documents submitted to sponsor for preparation of Form 3454).

In any instance where the Faculty Member is an *Investigator* in human subject research he/she shall include a disclosure of his/her research-related conflict(s) of interest in the human subjects research informed consent form and such disclosure shall be approved by the Institutional Review Board (IRB) as part of the IRB's approval of the human subjects research protocol. (Where the *Investigator* is not the Principal *Investigator*, it is his/her responsibility to coordinate the disclosure with the Principal *Investigator*).

In the case of University supported research, the *Investigator* shall submit a Statement of Potential Conflict of Interest to the Office of the Vice Provost for Research.

Review. ORS shall promptly distribute a copy of any Statement of Potential Conflict of Interest Form that indicates that there may be a conflict (and accompanying material, if any) to the CISC (see [Appendix 3](#)) for the CISC's review and recommendation. Simultaneously ORS shall notify the Office of Regulatory Affairs (ORA), and the Center for Technology Transfer (CTT) as applicable, and the relevant Dean. Prior to approval of a research protocol by the IRB, the expenditure of any funds under an external award, or the initiation of a University supported project, the CISC will review the Statement(s) of Potential Conflict of Interest, determine if, in its judgment, any actual or potential conflicts of interest are present, and if so, recommend to the Vice Provost for Research how such conflicts should be eliminated, reduced or managed. Examples of conditions or restrictions that might be imposed to manage, reduce or eliminate actual or potential conflicts of interest include:

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

Implementation. The Vice Provost for Research, on recommendation of the CISC and in consultation with the responsible *Administrator(s)*, will decide how the real or potential conflict is to be managed, reduced, or eliminated. An award will not be accepted by the ORS, nor can a University supported project be initiated and the IRB will not approve the research

protocol until this decision is made and agreed to by the *Investigator(s)*.

The decision will be conveyed by letter to the responsible *Administrator(s)*, who will be responsible for assuring that the decision of the Vice Provost is implemented. Copies of the letter will be sent to the Chairman of the CISC, to the ORS, CTT, ORA, and to the involved *Investigator(s)* and the relevant Dean. The *Investigator* will reply by letter ([Appendix 4](#)) indicating either acceptance of the decision, or an inability to carry out the decision, or a disagreement with the decision. Every effort should be made by the Vice Provost for Research to reach accord with the *Investigator(s)*. In the event agreement is not reached, appeals to decision(s) of the Vice Provost may be made by the *Investigator(s)* and/or responsible *Administrator* to the Provost. The decision of the Provost shall be final.

Annual Reporting. Each *Investigator* will be required to report annually to the CISC on the status of the conflict of interest or whenever any significant change in circumstances occurs.

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

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

Notification of sponsor. NIH requires that the University report to the Awarding Component the existence but not the substance of a conflicting interest, and assure that it has been managed, reduced, or eliminated. The University will inform the sponsor if it finds that it is unable to satisfactorily manage an actual or potential conflict of interest. It will be the responsibility of the *Investigator(s)* and responsible *Administrator(s)* to notify the Vice Provost for Research if at any time the recommendations of the Committee and the Vice Provost cannot be fulfilled. The Vice Provost or his/her designee will be responsible for notifying the sponsor and taking appropriate action.

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

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

Appendix 1 University policies related to the Financial Disclosure Policy

1. University of Pennsylvania: Conflict of Interest Policy for Faculty Members, *Almanac*, March 8, 1993; and *Handbook for Faculty and Academic Administrators*, Section II.E.1.
2. University of Pennsylvania: Policy Information for Potential Commercial Sponsors of Research at the University of Pennsylvania, *Almanac*, May 17, 1983.
3. University of Pennsylvania: Guidelines for Student Protection in Sponsored Research Projects and Student Access to Information Regarding Sources of Financial Support, *Almanac*, October 21, 1986.
4. University of Pennsylvania: Use of Consultants, Office of Research Administration, *Research Investigators Handbook*, pp 58-59, 1990.
5. University of Pennsylvania: Guidelines for Extramural Activities, Associations, and Interest for Staff, *Human Resources Policy Manual*, February 1, 1990.
6. University of Pennsylvania: Patent and Tangible Research Property Policies and Procedures of the University of Pennsylvania, *Almanac*, March 15, 1994.

Appendix 2 University of Pennsylvania Statement of Potential Conflict of Interest

Name: _____ Title: _____

Department: _____ School: _____ Date Submitted: _____

Requirement for Financial Disclosure

The University requires that an *Investigator*, at the time any proposal for funding is submitted or a protocol is submitted to the IRB for approval, which ever is earlier, and annually thereafter, disclose *Significant Financial Interests* (i) that would reasonably appear to be directly and significantly affected by the research or educational activities to be funded by the agency; or (ii) in entities whose financial interests would reasonably appear to be directly and significantly affected by such activities.

Definition of Significant Financial Interest and Other Key Terms

Covered Clinical Study means any study of a drug or device in humans submitted in a marketing application or reclassification petition subject to FDA regulations (21CFR Part 54) that the sponsor or FDA relies on to establish that the product is effective (including studies that show equivalence to an effective product) or that make a significant contribution to the demonstration of safety.

Significant Equity Interest means any ownership interest, stock options, or other financial interest whose value cannot be readily determined through reference to public prices (generally, interests in a nonpublicly traded corporation) during the time the clinical *Investigator* is carrying out the study and for one (1) year following completion of the study.

Significant Financial Interest means anything of monetary value, including, but not limited to salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). *Significant Financial Interest* includes a *Significant Equity Interest* (as defined above). For *Covered Clinical Studies*, *Significant Financial Interest* also includes *Significant Payment of Other Sorts* (as defined below). The term *Significant Financial Interest* does **not** include:

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

Significant Payment of Other Sorts means payments made by the sponsor of a *Covered Clinical Study* to the *Investigator* or the institution to support activities of the *Investigator* that have a monetary value of more than \$25,000, exclusive of the costs of conducting the *Covered Clinical Study* or other clinical studies, (e.g., a grant to fund ongoing research, compensation in the form of equipment or retainers for ongoing consultation or honoraria) during the time the clinical *Investigator* is carrying out the study and for one (1) year following the completion of the study.

Note: Be sure to categorize appropriately the *Significant Financial Interests* referred to above. However, please note that individuals should not report holdings in mutual funds, or pension accounts, and are not expected to list individual dollar amounts for any entity disclosed. The disclosure of a *Significant Equity Interest* in a sponsor of an FDA *Covered Clinical Study* extends for one (1) year after conclusion of the study. If any equity is not publicly traded, it must be disclosed in all cases.

Based upon the above definition:

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

Certification

I certify that the above information is complete and true to the best of my knowledge and that I have read the University's policies related to conflict of interest as described in the *Handbook for Faculty and Academic Administrators* Section II.E.1., Conflict of Interest Policy for Faculty and the supplementary Financial Disclosure Policy for Sponsored Projects. This information is provided with the understanding that its review shall be conducted in confidence by appropriate University officials. The information may only be released by the University 1) in statistical or aggregate form that fully protects my privacy, or 2) to comply with the requirements of the sponsors of this research, or 3) as may be required to comply with University policies and procedures or any applicable legal requirements, or 4) with my written permission.

(Signature _____)

Appendix 3 Conflict of Interest Standing Committee (CISC)

Procedures

The Conflict of Interest Standing Committee (CISC) reviews and makes recommendations on the resolution of cases of potential or real conflict of interest which arise from technology transfer activities or from sponsored projects of the University or its faculty. The recommendations of the CISC are transmitted to the Vice Provost with a copy to the ORS, ORA, CTT and the relevant Dean, as advice on the disposition of cases involving potential conflicts of interest, including a determination whether or not a real or potential conflict exists, and proposals on how such conflicts should be eliminated, reduced, or managed. The Vice Provost may accept the recommendations or may return them to the CISC for further consideration, revision, or clarification. The proceedings of the CISC are confidential, including all documents, drafts, and discussions.

Cases involving potential conflict of interest may be referred to the CISC by the CTT, by ORS, by University or School administrators, Department Chairs, or individual faculty. The staff of the CTT is responsible for referring to the CISC cases which arise from applications under consideration by the CTT. The ORS staff is responsible for referring to the CISC cases which arise from applications for sponsored research support. The ORA staff is responsible for referring to the CISC cases which arise from human subjects research protocols. Cases from other sources. Deans, Department Chairs, or individual faculty may refer cases of potential conflict of interest to the Chair or staff of the CISC, who will review them, determine whether they are appropriate for consideration, and present them for review by the committee.

Membership

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

All faculty members, plus the Executive Director, ORS, and the Managing Director, CTT have voting rights. Other attendees participate in discussion but do not vote.

Meetings

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

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

Conflicts for Committee Members

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

- (1) The case involves a member of the same department.
- (2) The CISC member has a personal interest because of inter-departmental relationships, such as collaboration with the faculty member whose case is under consideration.
- (3) The CISC member has a fiscal interest in the case under discussion.

Special exceptions to these guidelines may be made but only with the prior approval of a majority of the voting members.

Appendix 4 University of Pennsylvania Memorandum of Understanding for the Management of Potential Conflict of Interest

Name _____ Title _____

Department _____ School _____

Date of Original Statement of Potential Conflict of Interest _____

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

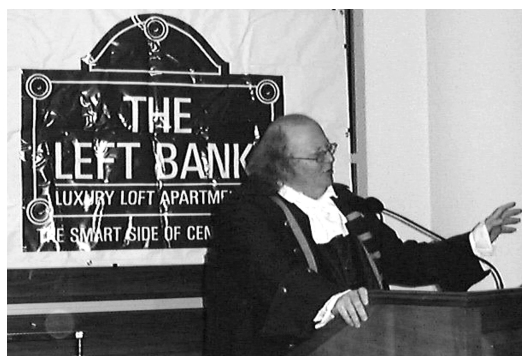
- A. I agree with the decision and will abide by it.
- B. I do not agree with the decision. However, I believe the potential conflict of interest can be resolved as follows:
[. . .]
- C. I do not agree with the decision and request that it be reviewed by the Provost.

(Signature _____)

A Grand Opening: The Left Bank

A Revitalizing Renovation and Restoration

At right Ben Franklin visits the newest Left Bank, this one on the banks of the Schuylkill River (on “the Smart Side of Center City”). The building is so named because the surrounding mosaic of education, culture, arts and entertainment embodies an atmosphere of the *joi de vivre* and hipness of its counterpart in Paris, France—a place also near and dear to old Ben.



Photographs by Marguerite F. Miller



At left, Mayor John Street and Penn President Judith Rodin applaud the developer Carl Dranoff (below) for his role in this collaborative venture which brought an old building back to life.



At far left, former mayor Edward Rendell and City Councilwoman Jannie L. Blackwell, whose district includes the Left Bank and at left, City Councilman At-large Thatcher Longstreth.

Above, the view of the atrium from the sixth floor of The Left Bank, provides a peek of the spectacular courtyard with its French-style balconies overlooking an area that is larger than a football field, and reminiscent of a Parisian street scene. After the speeches were made in the Grand Lobby, the brass plaque (at right) was unveiled on the building's Walnut Street facade.



The Left Bank—among the largest properties converted to residential use to be listed on the National Register of Historic Places—was dedicated last Wednesday. Of course, Benjamin Franklin was on hand to lend his witty comments to the festivities.

Executive Vice President John Fry called developer Carl Dranoff a “hero” for his skill, taste and level of determination in delivering this project so rapidly; it has been only seven months since the official groundbreaking on June 13, 2000, and residents have already begun moving in.

President Judith Rodin was hailed as the “real visionary” for preventing the demolition of this once vacant structure, thereby preserving the availability of the historic tax credits while meeting the demand for residential options.

Mayor John Street said that this partnership has been great for the City of Philadelphia. He noted appreciation for Councilwoman Jannie Blackwell and Former Mayor Ed Rendell as well as Councilman-at-large Thatcher Longstreth. This is truly a “Town and Gown” success story.

Carl Dranoff, president of Dranoff Properties, said that “The Left Bank will become a destination” to live and work. The complex features 282 luxury loft apartments, 258 gated indoor parking spaces, and 22,000 square feet of retail space and 100,000 square feet of office space and is home to the Penn Children’s Center (*see page 7*).

Bower, Lewis Thrower architects created a Grand Lobby, accented by Art Deco features, as well as state-of-the-art conference and meeting facilities. Mr. Dranoff said that craftsmanship is not dying out in the construction trades. He credited the 1997 ordinance passed by City Council which provides a ten-year tax abatement to those who convert abandoned buildings with creating the right climate for entrepreneurs. It has had a profound impact on developers and lenders, he added, giving them the confidence to undertake such ventures as The Left Bank.

Under a 50-year ground lease with Penn, Carl Dranoff undertook one of the largest residential renovations in the country. He transformed the 700,000 square foot, former G.E. Building at 32nd and Walnut into a luxury residential complex—the gateway to Penn. The building—which was originally the Pennsylvania Railroad Freight Warehouse Building—now blends vintage architecture and design elements from the 1920s Art Deco era with state-of-the-art technology; it is the region’s first completely “wireless” residential complex. The \$58 million development will also include a full-scale fitness center.

The transformation was accentuated by the 300 foot-long garden atrium created by removing 5,000 cubic yards of concrete from the center of the six-story building. The courtyard required 1,200 cubic yards of soil to support the many plants and ornamental grasses designed for year-long appeal.

A New Home at The Left Bank for the Penn Children's Center

Nestled along the east side of The Left Bank, on the ground floor, is the new home of the Penn Children's Center where there are now some 85 children enrolled with more to be joining shortly. The youngest are from 3-18 months old in the infant rooms, the toddlers range from 18 months to 3 years and the pre-k classes consist of those from 3-5 years old. The "wavy wall" art gallery will showcase the children's creativity. The center has a spacious gym/multi-purpose room with areas containing age-appropriate equipment for each developmental group. Adjacent to this indoor play area is the 4,000 square foot outdoor playground. Computers are located in the toddler and pre-k classrooms as well as in the gym. The center occupies 11,000 square feet of interior space designed by MGA Partners. Administered by Business Services, the center is now accepting applications for the expanded enrollment. Some classrooms have waitlists but there are some slots available.

The Penn Children's Center also provides temporary care for children of visiting faculty, lecturers, conference and seminar attendees, international guests and staff and students, as space permits. To arrange for temporary services, contact the Center at least 24 hours in advance. See the tuition fee schedule in *Almanac* January 23, available on line at www.upenn.edu/almanac/v47/n19/PCC-leftbank.html or contact the Penn Children's Center Director Anjali Chawla at (215) 898-5268 for more information.



Photographs by Marie D. Witt



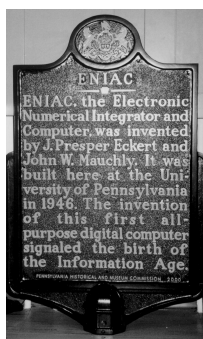
MAUCHLY



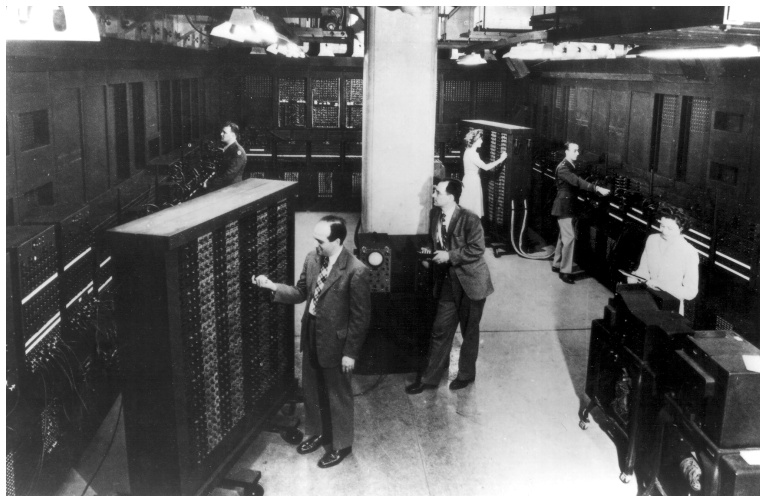
ENIAC is 55!

The School of Engineering and Applied Science is celebrating ENIAC's 55th birthday with the premiere of a new documentary feature on the invention of ENIAC entitled *Mauchly: The Computer and the Skateboard*. The feature-length video is directed by Paul David and Jim Reed (Mr. Mauchly's grandson). Mr. David says, "the video tells the story of what happens to the inventor as the huge potential of his invention begins to dawn on those around him—from its triumphant unveiling and first successful operations, to the crushing blow of being stripped of its patent. It is a revealing look at the history of computation and a tribute to one of the unsung scientific heroes of the twentieth century." The video features interviews with Mauchly's former colleagues, friends, computer programmers, and Mauchly's widow. The title of the video comes from recollections by Mauchly's former Ursinus students of a professor who zipped around the classroom on a homemade, jet-propelled skateboard in order to demonstrate Newton's laws of motion. The video, according to the director, documents an early chapter of a story which continues into the present: the excitement of creating new technology as well as the inevitable sharks swimming in its wake.

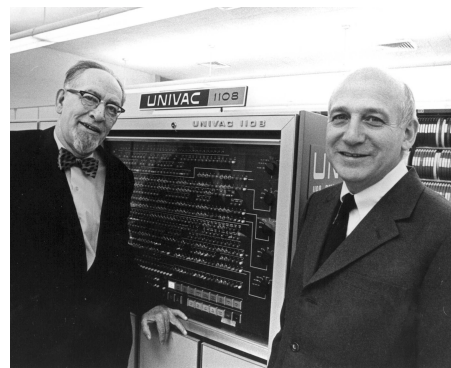
SEAS invites the University community to attend the presentation, which will take place on February 14, in Heilmeier Hall, first floor of the Towne Building, at 4:30 p.m., followed by a reception. Director Paul David will be on hand to answer questions. "The School takes great pride in its association with an invention that has so dramatically influenced society and that continues to be the genesis of many of the technological advances of today," says SEAS Dean Eduardo Glandt. "We welcome your attendance at this premiere event."



Official State historical marker unveiled last June commemorating the invention of the world's first electronic digital computer.



ENIAC—"Electronic Numerical Integrator and Computer" with its inventors.



ENIAC Inventors: (left) John W. Mauchly, and (right) J. Presper Eckert.

Black History Month Celebration

February is Black History Month and there are a variety of commemorative events—including stage and musical performances, health informational sessions, and food, films and games.

University of Pennsylvania Health System (UPHS)

UPHS or University identification is required for all events. Call (215) 615-3353 for information.

- 8** Soul Food Lunch, Black Trivia Contest and Raffle; 11 a.m.-2 p.m.; HUP Cafeteria.
- 16** Healthy Living: Eliminating Racial and Ethnic Disparities in Health; free health screenings; 10 a.m.-noon; Mezzanine level, Ravdin/Silverstein Buildings.
- 23** Gospelrama: Be Encouraged; 5-7 p.m.; Medical Alumni Hall, One Maloney Building.

International House African Film Festival

Co-sponsored by the Philadelphia Tribune. Tickets: \$6.50; \$5.50/students, seniors and I-House members. For group rates call (215) 895-6542. For more information and schedules, visit www.ihousephilly.org/.

- 21** Whirlwinds/Tourbillons; French w/English subtitles; 8 p.m.
Chikin Biznis; English; 8:15 p.m.
- 22** Chikin Biznis; English; 10:30 a.m.
Aida Souka; English; 8 p.m.
Barbecue-Pejo; Fon and French w/ English Subtitles; 8:30 p.m.
Barbecue-Pejo; Fon and French w/ English Subtitles; 10:30 a.m.
- 23** Konate's Gift/Le Truc De Konate; Dioula w/English subtitles; 8 p.m.
Bye-Bye, Africa; Chadian and English w/English subtitles; 8:30 p.m.
- 24** Konate's Gift/Le Truc De Konate; Dioula w/English subtitles; 3 p.m.
Bye-Bye, Africa; Chadian and English w/English subtitles; 3:30 p.m.
Picc Mi; English; 8 p.m.
Aristotle's Plot; French & English w/ English subtitles; 8:15 p.m.

- 25** Picc Mi; English; 3 p.m.
Aristotle's Plot; French & English w/ English subtitles; 3:15 p.m.

12th Annual Celebration of African Cultures: February 17

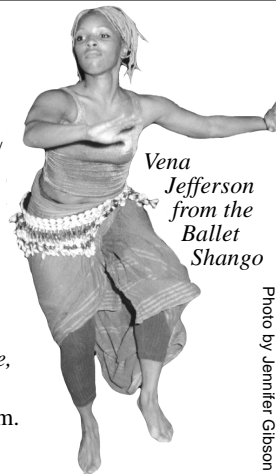
11:30 a.m.-4 p.m.; University Museum. Free w/admission. Full schedules, descriptions and other information is available at www.upenn.edu/museum.

- African Rhythms Drum and Dance Troupe, 11:30 a.m.
- Women's Sekere Ensemble, noon & 2 p.m.
- Ballet Shango African Dance Theatre, 12:30 & 3:15 p.m.
- African-American Stilt Ballet, 1 p.m.
- The Philadelphia Zoo's "Zoo on Wheels", 1-3 p.m.
- Images of the Motherland, 1:30 p.m.

Penn Presents—Annenberg Center

For locations, tickets, prices and additional information, call (215) 898-3900 or visit www.PennPresents.org.

- 12** Fourscore and Seven Years Ago; a children's play about a runaway slave who escapes from Georgia via the Underground Railroad to Philadelphia, where his struggle for freedom continues; performed by ArtsPower National Touring Theatre; 10 a.m. & noon; Zellerbach Theatre; \$6; co-sponsored by Dance Affiliates. Also February 13.
- 25** Boys Choir of Harlem; 3 p.m.; Zellerbach Theatre; \$20, \$25, \$30. See February AT PENN.



Vena Jefferson from the Ballet Shango

Photo by Jennifer Gibson



PenNetWorks Open House

Would-be entrepreneurs who have an idea, half a team and no business plan and didn't think someone would pay them to write their business plan or develop technology are invited to find out how PenNetWorks can help.

The PenNetWorks Open House, at 3535 Market Street, on *February 8*, from 5 to 8 p.m. is an opportunity for networking and a chance to win a Palm IIIxe. RSVP online at www.pennnetworks.com if possible, or just drop by.

PenNetWorks, is Penn's pre-seed stage business accelerator serving entrepreneurs from the Delaware Valley. PenNetWorks brings together a blend of networking, talent, money, and infrastructure required to enable early stage entrepreneurs to successfully launch and prepare their businesses for first round funding.

No business plan needed for those with a great idea, technology, or business concept. Submissions can be submitted for immediate consideration and feedback at www.pennnetworks.com.

Owned by the University of Pennsylvania and managed by Redleaf Group, Inc., PenNetWorks is ideally situated to bring together new business ideas with a wealth of intellectual and human capital as well as experience, networking, and management assistance.

For more information, please contact: PenNetWorks, 3535 Market Street, suite 560, (215) 573-4667 or on the web at: ideas@pennnetworks.com.

Skate 'Till Your Heart's Content



In celebration of Valentine's Day, families who *love* to ice skate together will get a *sweetheart* of a deal. On Saturday, *February 10*, the Class of '23 Ice Rink offers a special Valentine's package, allowing families to skate between the hours of 12:30 to 4 p.m. at an admission rate of \$5. (Families include two adults and two children).

This festive family fanfare in February includes skate rental, music, free hot chocolate, prizes and surprises. Skate coaches will be available to help the less experienced skaters stay on their blades.

The Class of 1923 Ice Rink, located at 3130 Walnut Street, features a full service ice skating arena with daily public skating sessions, open hockey and freestyle sessions, group and private lessons, party room, snack bar and skate sharpening.

For more information about this event or for the regular public skating hours and call (215) 898-1923 or visit www.upenn.edu/icerink.

Summer Research Support for Assistant Professors

The Trustees' Council of Penn Women offers three \$3,000 summer research stipends to female faculty, or faculty members whose research is centrally concerned with the role of women in society, science, or arts and letters.*

These awards are given to assist in the promotion of standing faculty to the permanent rank of Associate Professor. Faculty who have already won an award are eligible to apply again. Those who have previously applied and did not receive an award are also encouraged to apply again.

If you are interested in applying for the stipend, please submit a 2-page summary of the research you wish to undertake, an explanation of how the stipend will facilitate the research, a curriculum vitae, and the name of a University reference. In your application please stress how you will use the award and why it would be particularly useful to you at this time. The summary should be sent to:

Summer Research Award
The Alice Paul Research Center
411 Logan Hall, 249 S. 36th St./6403
no later than Friday, *March 2, 2001*.

Research proposals will be reviewed, and the stipend awarded, through a peer review process. It is expected that the research, or a significant subset thereof, will be concluded during the summer of 2001, and a written report will be submitted to the review panel and to the Trustees' Council. Any subsequent publication of the research results should acknowledge the support of the Council.

*Note: The amount of the award varies according to whether the recipient chooses to receive it as salary or to use it for research expenses.

Mental Retardation and Developmental Disabilities Research Center

New Investigator Projects

We wish to announce the availability of new investigator start-up funds for junior faculty members performing clinical or basic science research in the areas of brain development and function in childhood. The grants are for up to \$20,000 each for one year with the possibility of renewal for a second year. Funds can be used only for technical support and supplies. The grant period is July 1, 2001-June 30, 2002.

Eligibility Requirements:

1. New Investigators must have a faculty appointment at the Assistant Professor level by July 1, 2001 and must have been on the faculty for no longer than four years prior to the start of funding.
2. Applicants who hold R01 grants are ineligible, while those who hold CIDA or other transitional Awards are eligible.
3. Salary support from alternate sources must be confirmed by a letter of support from the applicant's division chief or department chairperson.

Interested candidates should submit:

1. A preliminary one page application which includes an abstract of the project,
2. A statement of which core facilities within the Mental Retardation and Developmental Disabilities Research Center would be utilized,
3. A statement of the project's relevance to mental retardation and developmental disabilities and,
4. An NIH biographical sketch or CV.

This preliminary application (send 8 copies) is due *February 23, 2001* in the office of Michael Robinson, Ph.D., 3516 Civic Center Boulevard, Abramson Research Building, room 502, Philadelphia, PA 19104-4318.

Applicants who meet the eligibility criteria and whose work is judged to be relevant to the mission of the Center will be invited to submit a formal application (about 5 pages and instructions will be provided).

Notification of the results of the preliminary application will be given by March 5, 2001. The formal application will be due by *April 2, 2001*. Decisions will be announced by May 1, 2001 for a start date of July 1, 2001.

Questions may be addressed to John Simpkins, (215) 590-3728 or Simpkinsj@email.chop.edu.

Alavi-Dabiri Postdoctoral Fellowship Award in Mental Retardation/Developmental Disabilities

We wish to announce a call for proposals to provide supplemental support of postdoctoral fellows pursuing careers in fields related to mental retardation and developmental disabilities. The Alavi-Dabiri Fellowship Award was developed by Drs. Abass and Jane Alavi in 1997. The Alavis have provided an endowment, the income of which will provide for the award. This year the award will be approximately \$6,500. The grant period is July 1, 2001-June 30, 2002.

Interested candidates should submit:

1. A preliminary one page application which includes an abstract (250 words) of the project.
2. A statement of the project's relevance to mental retardation and developmental disabilities.
3. A letter of support from the applicant's preceptor that will speak to the qualifications of the candidate and provide assurance of funding for the remainder of the fellowship position.
4. An NIH biographical sketch or CV.

This preliminary application (send 8 copies) is due *February 23, 2001* in the office of Michael Robinson, Ph.D., 3516 Civic Center Boulevard, Abramson Research Building, room 502, Philadelphia, PA 19104-4318.

Applicants who meet the eligibility criteria and whose work is judged to be relevant to the mission of the Center will be invited to submit a formal application (about 5 pages and instructions will be provided).

Notification of the results of the preliminary application will be given by March 5, 2001. The formal application will be due by *March 21, 2001*. Decisions will be announced by May 1, 2001 for a start date of July 1, 2001.

Questions may be addressed to John Simpkins, (215) 590-3728 or Simpkinsj@email.chop.edu.

— John Simpkins, Administrator, Mental Retardation & Developmental Disabilities Research Center, CHOP

20th Century Music: February 13

Penn Contemporary Music presents soprano Jody Karin Applebaum and pianist Marc-André Hamelin, on *February 13* at 8 p.m. at the Settlement Music School, 416 Queen Street. Ms. Applebaum and Mr. Hamelin will present a concert of twentieth-century music. Together they will perform Olivier Messiaen's *Poèmes pour Mi* (1936) and Penn composer Jay Reise's *Satori* (1994). Mr. Hamelin will perform Stefan Wolpe's *Passacaglia* (1936) and Heitor Villa-Lobos' *The Baby's Family, Suite no. 2 (The Little Animals)* (1921). General seating admission is free and no tickets are required.

Call (215) 898-6244 or visit www.sas.upenn.edu/music/ for further information.

LUCY: Restoration of Early Hours and New, Larger Vehicles

In response to passenger requests, the UCD and SEPTA are making two changes to LUCY service in February. The first is the substitution of larger, 30-foot vehicles in the LUCY fleet. These buses have rear doors to alleviate "indoor rush hour" congestion, and they are expected to start rolling the week of February 12. On Monday, February 19, early morning service from 30th Street Station will be restored. The Green Loop will begin its first trip at 6:10 a.m. As a result of the changes, all three schedules—Green Loop, Gold Loop, and Midday Express—will be modified.

New Green Loop Early Hours start February 19.

Leave 30th St.	34th/Market	Presby.	38th/Walnut	34th/Civic Ctr.	Arrive 30th St.
6:10 a.m.	6:14 a.m.	6:17 a.m.	6:21 a.m.	6:27 a.m.	6:35 a.m.
6:40 a.m.	6:44 a.m.	6:47 a.m.	6:51 a.m.	6:57 a.m.	7:05 a.m.
7:07 a.m.	7:11 a.m.	7:14 a.m.	7:18 a.m.	7:24 a.m.	7:32 a.m.

Every 15 minutes thereafter until 8:52 a.m.

Gold Loop first trip leaves 30th St. 7 a.m. and every 10 minutes until 9 a.m.; 9:15 a.m.; then every 30 minutes until 4:22 p.m. when frequent rush hour service resumes until 7 p.m.

For complete timetables, visit www.goLUCY.org or call SEPTA at (215) 580-7800.

Penn Public Safety Institute: February 21-April 11

The Division of Public Safety is accepting applications for the second Penn Public Safety Institute (PPSI), a course developed to introduce Penn and West Philadelphia communities to all aspects of the Division of Public Safety. This is an interactive program given in two-hour segments on Wednesdays, 5:30-7:30 p.m. There will be seven clinics beginning on February 21.

Penn students, faculty and staff as well as members of Penn's neighboring communities are invited to join Public Safety at 4040 Chestnut Street. Below is the curriculum for the PPSI.

February 21: Opening Remarks by Commanders/Orientation/Distribution of Materials/Scheduling Ride-Alongs (Chief Rush/Deputy Chief Fink)/Fire and Occupational Safety (Director Cusick).

February 28: Criminal Justice System/Constitutional Law (Danks)

March 7: Traffic Safety and Pursuits (McBreen/Messner), PennComm Tour (Fink)

March 21: Firearms Safety (Hasara)/Force Continuum (Rambo)

March 28: Special Services/Date Rape/PAL/RAD/Community Relations (Brennan/Kelly/Livingston/Fischer/Cooper)

April 4: Accountability and Ethics (Fink/Rambo)

April 11: Question & Answer Session/Graduation Ceremony/Refreshments

A PPSI Enrollment Application and Authorization for Criminal Records Check must be obtained from the University Police for those interested in attending the Penn Public Safety Institute. The application can be found on the web at www.upenn.edu/police/institute.htm, or can also be obtained at the Penn Police Headquarters at 4040 Chestnut Street. Call (215) 898-4485 for more information.

National Women of Color Day Awards Luncheon: March 2

The National Institute for Women of Color (NIWC) has proclaimed March 1 National Women of Color Day. For the 14 consecutive year, Penn, UPHS, Presbyterian and Pennsylvania Hospital seek to increase awareness of the talents and achievements of Women of Color. As in past years, we will recognize women in our community whose special commitment and dedicated service to their workplace, or the Delaware Valley have made a difference. We hope you will join us for this uplifting and inspirational celebration.

The Luncheon Planning Committee is finalizing plans for the fourteenth Annual Awards Luncheon which will be held at the *Penn Tower Hotel, Friday, March 2, from noon until 2 p.m.* Tickets are \$22 per person. To order tickets, please complete the form below. The completed form should be sent no later than *February 16* to:

Women of Color Day Planning Committee, c/o Pat Ravenell, Office of the VPUL
University of Pennsylvania, 3611 Locust Walk, Philadelphia, PA 19104-6222

A limited number of scholarship tickets will be available. For information about scholarship tickets, call Valerie De Cruz at (215) 898-3357 or Jeanne Arnold at (215) 898-0104.

Name: _____ Daytime Phone: _____

Mailing Address/Mail Code: _____

Number of Reservations _____ at \$ 22 each Total \$ _____

All vegetarian meals must be ordered in advance!

I would like to provide an opportunity for someone to attend who cannot afford to pay for the Luncheon. I am enclosing an additional \$ _____ (\$5, \$10, \$20, etc.) to support a student or employee.

Total Amount of Check Enclosed \$ _____

Make checks payable to: Trustees of the University of Pennsylvania. Please contact Pat Ravenell at (215) 898-6081 for information to journal voucher.

All tickets must be picked up in person from The African American Resource Center, 3537 Locust Walk, Suite 200, (215) 898-0104 on *Wednesdays or Thursdays between noon and 2 p.m.*

SARS Earthquake Relief Effort

Faculty, staff and student members of the Penn community who may feel prompted to contribute to the earthquake relief effort in India should know that the Department of South Asia Regional Studies has set up a web page at www.southasia.upenn.edu on which a list of organizations can be found which will channel prompt and effective help for people left in distress by this tragedy.

—Rosane Rocher

Professor and Undergrad Chair, SARS

February Volunteer Opportunities

Dear Penn Community,

Following is the Penn Volunteers In Public Service (Penn VIPS) list of community service opportunities representing the many requests we get from the surrounding community for assistance/partnerships.

Does your class, team or department provide community service? Please send the name, phone number and e-mail address of a contact person so that your activity can be included in the University's *Community Service Directory*.

Please contact me via e-mail (sammapp@pobox.upenn.edu) to volunteer for any of the programs.

Thank you for your continued support and thanks to all who participated in Penn's Day of Service honoring Dr. Martin Luther King, Jr.

—Isabel Mapp, Associate Director,
Faculty, Staff and Alumni Volunteer Services,
Director, Penn VIPS,

Center for Community Partnerships (CCP)

Join Cyber Outreach! Help teach a basic computer class to West Philadelphia adults. Classes begin *February 6* and continue on Tuesdays and Thursdays for 4 weeks. Staff the class and answer students' questions. Only extremely basic computer skills are needed. Classes are held at UCHS.

Prepare a High School Student for the World of Work Join the School-to-Career Program, coordinated by CCP and Division of Human Resources. Hire high school students to do general office work and expose them to their areas of interest. We have students interested in medicine, law, computers, business and more. Students can earn academic credits in lieu of pay for their first year of internship. Some students available to work during the school day and others are available from 3-5 p.m.
Computers Needed! Is your department upgrading its computers? CCP and a group of volunteers are working to provide computers to West Philadelphia schools, churches, families and nonprofit agencies. Join us by donating your computers to this cause.

Do you know how to set up computer labs? Are you skilled at refurbishing computers? Volunteer to set up computer labs in churches, schools and nonprofit agencies in our surrounding community. Hours are flexible. Please contact Brad Kirkegard at (215) 573-6412/bkirkega@ccat.sas.upenn.edu or Isabel Mapp for information and/or to volunteer for this program.

Please Touch Museum is looking for volunteers to staff their Jr. Jazz Concert, *February 17, 18 & 19*. Volunteers are asked to work 9 a.m.-1 p.m. or 1-5 p.m. Seat guests, work as a floater, staff the desk or help with storytime. Orientation provided.
Join the Penn VIPS Scholarship Committee! Help plan the 10th Annual Penn VIPS Scholarship Program where we select and honor outstanding students from Bartram, Parkway, Overbrook, University City and West High Schools.

Become a Dropsite Volunteer! During March, August, November and December, various drives are conducted by Penn VIPS. As a result, we have been able to provide food, toys, clothing and school supplies to deserving members of our community. Please join us by becoming a drop off site for the four major drives held each year.

Update

FEBRUARY AT PENN

TALKS

6 *Structural Studies of Protein Translocation Across Endomembranes*; Christopher W. Akey, Boston University; noon; Austrian Auditorium, Clinical Research Building (Biochemistry and Biophysics; George W. Raiziss Biochemical Rounds).

Building Virtual Reality Software Agents that Simulate Human Response to Psychophysiological Stressor Variables: Theory and Case Studies; Barry Silverman, SEAS; noon; 2nd fl., Vagelos Research Labs (Institute for Medicine and Engineering).

8 *Combining, Multi-Electrode Arrays, High Speed Voltage Imaging, and 2-Photon time-Lapse to Create a System for Studying Learning In Vitro*; Steve Potter, California Institute of Technology; noon; room 337, Towne Bldg (IME).

13 *mRNA Processing and the Integration*; James L. Manley, Columbia University; noon; Austrian Auditorium, 1st floor, Clinical Research Building (Biochemistry and Biophysics; Dr. George W. Raiziss Biochemical Rounds).

Deadlines: The deadline for the weekly update is each Monday for the following week's issue. For the March AT PENN calendar it is February 13.

See www.upenn.edu/almanac/calendar/caldead.html for details on event submission.



In *All's Fair in Love and Dwarfs*, Mask & Wig's 113th Annual Production, the entire cast gets into the action in Act One, Scene IV: *Get Some Fairy Tail*. It is a modern take on the classic fairy tales with parodies of everything from boy bands to reality television and Princes who are not so charming and Princesses from Long Island. Performances are at the Clubhouse, 310 S. Quince St., now through March 23. Reservations: (215) 923-4229 or see www.maskandwig.org.

The University of Pennsylvania Police Department Community Crime Report

About the Crime Report: Below are all Crimes Against Persons and Crimes Against Society from the campus report for **January 22 through January 28, 2001**. Also reported were **13 Crimes Against Property: (including 12 thefts and 1 retail theft)**. Full reports on the Web (www.upenn.edu/almanac/v47/n21/crimes.html). Prior weeks' reports are also on-line.—Ed.

This summary is prepared by the Division of Public Safety and includes all criminal incidents reported and made known to the University Police Department between the dates of **January 22 and January 28, 2001**. The University Police actively patrols from Market Street to Baltimore Avenue and from the Schuylkill River to 43rd Street in conjunction with the Philadelphia Police. In this effort to provide you with a thorough and accurate report on public safety concerns, we hope that your increased awareness will lessen the opportunity for crime. For any concerns or suggestions regarding this report, please call the Division of Public Safety at (215) 898-4482.

01/22/01	2:50 AM	233 S. 33rd St.	Alarm received/window found broken/nothing taken
01/23/01	12:05 PM	4237 Walnut St.	Suspect stopped/investigation/w on warrant/Arrest
01/24/01	4:45 PM	4000 Delancey St.	Suspect stopped/investigation/w on warrant/Arrest
01/24/01	10:44 PM	41st & Walnut St	Complainant robbed/arrest
01/25/01	2:37 PM	3401 Walnut St.	Unauthorized checks
01/25/01	6:34 PM	233 S. 33rd St.	Unwanted mail received
01/27/01	1:09 PM	3000 Walnut St.	Male exposing himself
01/27/01	8:09 PM	3720 Chestnut St.	Complainant robbed

18th District Report

12 incidents and 0 arrests (8 robberies, 3 aggravated assaults and 1 rape) were reported between **January 22 and January 28, 2001** by the 18th District covering the Schuylkill River to 49th Street and Market Street to Woodland Avenue.

01/22/01	10:15 PM	917 49th St.	Aggravated Assault
01/22/01	11:00 PM	4700 Pine St.	Robbery
01/24/01	7:30 PM	541 49th St.	Aggravated Assault
01/24/01	4:49 PM	4800 Chestnut St.	Robbery
01/24/01	10:44 PM	4100 Walnut St.	Robbery
01/25/01	4:56 PM	4800 Baltimore Ave.	Robbery
01/26/01	6:00 AM	1442 Fallon St.	Aggravated Assault
01/27/01	3:00 PM	5100 blk Ludlow	Rape
01/27/01	4:55 PM	4500 Pine St.	Robbery
01/27/01	8:07 PM	3720 Chestnut St.	Robbery
01/27/01	12:45 AM	3100 Market St.	Robbery
01/27/01	1:08 PM	3220 Chestnut St.	Robbery

CLASSIFIEDS—UNIVERSITY

RESEARCH

Experiencing neck and shoulder pain for three months or more? You may be eligible for a study at the UPenn Pain Medicine Center involving free Botox injections. Call Lisa Bearn at (215) 662-8736.

The University of Pennsylvania Health System seeks volunteers for an osteoporosis medical research study. If you meet the following description, you may be eligible to participate: A **postmenopausal woman 60 years** or older of normal weight who is not taking estrogen replacement. Volunteers will receive a magnetic resonance imaging (MRI) exam—which produces images of the heel and spine, as well as a dual energy X-ray absorptiometry (DEXA) scan, which uses a small amount of radiation to determine bone density. Both exams—performed on the same day—take approximately 2 hours in total. Participants receive \$60. Please contact Louise Loh (215) 898-5664.

Shoulder Study: Do you have shoulder pain or tendonitis? You may qualify for *free* therapy. We are studying the effectiveness of a new, scientifically based shoulder exercise program. Testing and treatment are free and will be performed by a physical therapist experienced with managing shoulder problems. Call Jason Bialker, MPT, at Penn Therapy and Fitness to arrange an appointment for initial testing to see if you qualify (215) 614-0680.

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

Almanac is not responsible for contents of classified ad material.

CLASSIFIED—PERSONAL

THERAPY

Competent psychotherapy: group, family and individual. Please call for an appointment: Shari D. Sobel, Ph.D. (215) 747-0460.

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

Almanac is not responsible for contents of classified ad material.



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New Genomics Institute and New Cancer Genomics Program

President Judith Rodin and Provost Robert Barchi announced yesterday the establishment of a new Genomics Institute that will spearhead future development in this critical new area. Professor of Biology David Roos has been named Director of the Institute. This initiative comes at a time when many Penn schools and departments have made genomics research a priority, including the departments of Biology and Genetics, and the new Cancer Genomics Program of The Abramson Family Cancer Research Institute [AFCRI] at the Cancer Center. The financial investment in genomics initiatives across the University is expected to exceed \$75 million over the next five years.

"The establishment of this important new institute demonstrates once again that the University is committed to playing a key role in the development of new fields of knowledge for the 21st century," said President Rodin. "Penn's historic emphasis on interdisciplinary study and research will enable us to take full advantage of the exciting new possibilities we expect to emerge from the field of genomics."

The new field of genomics involves the large-scale analysis of complex biological systems—the simultaneous consideration of the entire genome and its manifestations, rather than studying biology one gene at a time. Genomics-scale approaches take particular advantage of novel engineering technologies for data production, and of computational strategies for data integration and analysis. The new discipline of bioinformatics operates at the interface between biology and computer science—dedicated to the development, integration, and analysis of rich datasets.

"Genomics and proteomics represent a fundamental revolution in the way we will approach the biological sciences in the next decade," said Provost Barchi. "With Penn's strengths in the biomedical sciences and in computer and information sciences, we are uniquely situated to play a leading role in this revolution. We intend to take full advantage of our strengths and create new opportunities for breakthrough research in these dynamic new sciences."

The Genomics Institute

The new Penn Genomics Institute has four primary goals:

- To establish intellectual leadership in studying genomes as a whole and undertake large-scale analysis of gene products.
- To provide a focus for the genomics community, fostering interdisciplinary projects integrating biology, medicine, engineering and computer science. The Genomics Institute will also link academics and industry, as appropriate.
- To advance the educational mission of the University, defining a new discipline at the interface between biomedical research, engineering, and computer science.
- To facilitate access to technology, ensuring rapid dissemination of genomics approaches (including bioinformatics) throughout biomedical research.

Institute Leadership

The Genomics Institute will benefit from the world-renowned leadership and experience of its director, David S. Roos. Dr. Roos is Professor of Biology in SAS. Dr. Roos is also affiliated with the Department of Microbiology in the School of Medicine, the Department of Pathobiology in the School of Veterinary Medicine, and graduate programs in Biology, Biotechnology, Cell and Molecular Biology, Computational Biology/Genomics, and Parasitology. Dr. Roos received his undergraduate degree in biology from Harvard College in 1979, a Ph.D. in Virology from The Rockefeller University in 1984, and joined the Penn faculty in 1989 after post-doctoral training at Stanford University.

The Roos Laboratory is well known for developing new technologies for experimental investigation; most recently, these studies have led to the identification of novel drug targets and elucidation of drug resistance mechanisms, the discovery of a novel organelle in malaria parasites, and the implementation of computational tools that expedite drug discovery through genome database mining. Dr. Roos lectures widely and has received numerous awards, including a Presidential Young Investigator Award from the N.S.F., a Merit Award from the N.I.H., and a Scholar Award from Burroughs Wellcome Fund. He also serves as a consultant for organizations such as the NIH, the World Health Organization (Geneva), and the International Centre for Genetic Engineering and Biotechnology (Delhi).

"Recent years have seen the rapid integration of biomedical research, to the extent where it is no longer possible to distinguish between such previously disparate disciplines as anatomy, biochemistry, botany, cell biology, genetics, microbiology, pathology, pharmacology, physiology, and zoology," said Dr. Roos. "As this integrative expansion encompasses engineering technologies developed in computer science, materials, and robotics, it is now becoming possible to examine entire systems: for example, all the genes in a genome, all the proteins in a cell or all the

metabolic processes in a tissue. This is an incredibly exciting time to be a biologist, particularly at Penn, which has a strong history of fostering interdisciplinary research."

Richard Spielman will serve as Associate Director of the Genomics Institute. Dr. Spielman is the Butterworth Professor of Genetics in the School of Medicine, and an expert on mapping and identification of genes for human diseases. He organized the consortium of labs that carried out "genome scans" for juvenile diabetes, and his lab has mapped genes for diabetes and other endocrine diseases. His work with Dr. Warren Ewens, Professor of Biology, has produced a statistical test (the TDT) that has become a standard approach to analysis of candidate gene studies in human genetics.

The proposal for a University-wide Genomics Institute grew out of discussions of a task force (*Almanac January 18, 2000*) comprised of Penn faculty including representatives from Medicine, SEAS, SAS and Veterinary Medicine. The Genomics Institute will advance its mission through a combination of intellectual, educational and service activities, including:

- Coordinating and facilitating faculty recruitment and program development in genomics, proteomics, bioinformatics, and the ethical issues related to these new areas of inquiry.
- Sponsoring lectures and seminars in the field, interdisciplinary pilot projects, and courses at the undergraduate, doctoral, and post-doctoral levels. The Computational Biology training program at Penn is one of the oldest and largest anywhere; this program will be expanded to incorporate a novel Bioinformatics Fellows program.
- Providing service facilities to the University community and promoting the implementation of genomics-related technologies.

Cancer Genomics Program of the AFCRI

"The development of the Cancer Genomics Program is a critical next step for understanding the genetic basis of cancer development," said Dr. Craig Thompson, scientific director of the AFCRI. "In order to keep the AFCRI at the forefront of cancer research as whole genome sequences become available, the institute has recently established a new program in Cancer Genomics which will be led by Dr. Barbara Weber, professor of medicine." This program is an integral component of the Penn Genomics Institute and will interact closely with other programs in the AFCRI, the Cancer Center and across the University.

The Cancer Genomics program will study genetic changes that occur during the transition from normal to malignant to metastatic cells. Research will focus on breast, colon and prostate cancer and melanoma, using new technologies and methodologies amenable to the study of all cancers. Such approaches include DNA-based SNP and sequence analysis, RNA-based transcriptional profiling, and proteomics analysis.

One unique aspect of this component include the collaboration with the Cancer Genetics Project at the Sanger Center. The collaboration with the Sanger group will allow access to tumor-derived DNA sequence and epigenetic data that will provide focus to the Cancer Genomics studies.

Dr. Weber, Director of the Cancer Program at AFCRI, and other Penn investigators, will conduct research in three key programmatic areas:

- *Genomics*—SNP, DNA sequence and transcriptional profiling of multiple tumor models as well as array-based CGH and array-based genome wide methylation scanning.
- *Computational Biology*—a dry lab to provide complex data analysis and data mining. Independent research would be focused methodology and software development for analysis of data coming from the projects described above.
- *Translational Research*—projects will be focused on evaluating data from the larger genomic screens in the context of risk markers, early markers of malignant transformation, markers of treatment response and selection and therapeutic and prevention targets.

Resources

The University has developed substantial new resources for the Life Sciences in recent years, including construction of 173,000 square feet of additional research space in the Biomedical Research Buildings II-III, with additional plans to develop a new Life Sciences Building. Phase One of the Life Sciences Building will include 13,000 square feet of space specifically dedicated to the support of the Genomics Institute. In addition, recent and planned renovations of Blockley Hall provide 12,000 square feet of dry-lab space for research in the rapidly developing field of bioinformatics. With this new building, the University's total commitment for biomedical research facilities will total over one million square feet.

Penn has made commitments of nearly \$38 million for the expansion of genomics research facilities, development of various support facilities, and recruitment of new faculty in this burgeoning area. In addition to existing grant support for genomics research, Penn anticipates significant external funding support through grants and fundraising initiatives that will bring the total amount of investment in this new genomics initiative to over \$75 million.