Boettner Center for Pensions & Retirement Research

The Wharton School has announced the establishment of the Boettner Center for Pensions and Retirement Research. The center will support scholarly research, teaching, and outreach on global aging, successful retirement, and public and private pensions. The center also will disseminate research findings to international audiences of academics and policymakers as well as support data development efforts at Penn. Dr. Olivia S. Mitchell, International Foundation of Employee Benefit Plans Professor, has been appointed director of the center.

“This is an excellent opportunity for our faculty and students to study pension and retirement issues,” said Dr. Patrick Harker, dean of the Wharton School. “The Boettner Center will foster the interdisciplinary work necessary for a full understanding of the issues. This will help in the development of sound and successful policies and programs for the future.”

Focuses of the Center include:

Research on Global Aging
Affiliates of the Center will focus on challenges and opportunities associated with global aging and retirement. Researchers will evaluate means to strengthen global retirement income systems and ways to address economic and social problems in developing and developed countries.

Research on Successful Retirement
The Center will encourage research on saving behavior, how/why retirees invest well or poorly, and how they manage their resources during retirement. Projects may evaluate links between older peoples’ psychological and physical conditions as these influence retirement patterns and well-being, as well as interactions between physical and mental health, and successful retirement. Affiliates concerned with retirement security and financial gerontology will develop models to predict and enhance financial security among the elderly.

Research on Retirement Income Security
The Center will support projects on public and private pensions, extending the work of the Pension Research Council at the Wharton School. Projects will include research on retirement plan guarantees, government social insurance programs including disability insurance, participant-directed pensions and the impact of administrative costs, investment options in retirement, and regulation and supervision of annuity markets in the context of retirement systems. Projects also will evaluate the optimal mix between public and private retirement income programs.

Support for Data Projects
The Center will facilitate access to research data critical to the investigation of retirement security in the U.S. and around the world.

“We are delighted that the Center has been established to carry out the Boettner family’s commitment to retirement security,” said Dr. Mitchell. “This funding will enable University faculty and students to do new and important research on worldwide aging.”

In 1997 Joseph and Ruth Boettner’s estate provided a generous endowment to the University for a research center to conduct scholarly research on retirement security. The stewardship of these funds, currently totaling around $5 million, will be guided by Dr. Mitchell as center director. The Boettner family sought to sponsor high-quality research, teaching, and information dissemination that advances knowledge about the links between economic security and physical, social, psychological, and environmental well-being in an aging world.

Dr. Mitchell has served as the International Foundation of Employee Benefit Plans Professor of Insurance and Risk Management at the Wharton School since 1993. She recently served on the President’s Commission to Strengthen Social Security and she is a research associate at the National Bureau of Economic Research.

Dr. Gaertner: Director of University Laboratory Animal Resources

Dr. Diane Gaertner, has been appointed Director of University Laboratory Animal Resources, effective February 1, 2003, replacing Dr. Jeffrey Linn who retired December 31, 2002. Dr. Gaertner, currently Director of the Institute for Animal Studies at Albert Einstein College of Medicine, is a nationally recognized leader in the field of laboratory animal medicine and is the current President of the American College of Laboratory Animal Resources under her direction,” said Dr. Neal Nathanson, Vice Provost for Research.

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Pullout: February At Penn

Protecting Personal Privacy at Penn

As the University continues its efforts to protect personal privacy, the Privacy Senior Executive Committee has approved a statement of goals regarding the protection of one particularly sensitive type of data—the Social Security number. We ask that faculty and staff work with us in achieving these important objectives.

Please examine the use of Social Security numbers by your office or any unit with which you are affiliated, and make changes to help Penn achieve these goals.

If you have questions or comments, feel free to contact the University’s Chief Privacy Officer Lauren Steinfeld, at privacy@pobox.upenn.edu or (215) 573-4806.

—Peter Conn
Deputy Provost
Vice President for Audit & Compliance

Statement of Goals Regarding Social Security Numbers

The University of Pennsylvania appreciates the importance of protecting personal information and is engaged in a number of initiatives in the area of personal privacy. Penn recognizes that one particular type of personal data—the Social Security number—is a useful way to uniquely identify individuals, but also, in the wrong hands, can be used to cause harm to members of our community.

The University’s goal is to use the Social Security number as a unique identifier only when necessary to fulfill legal requirements or when there is a sufficient need, such as when certain external organizations legitimately require them. When there is such a need, Penn’s goal also is to limit the availability of Social Security numbers to personnel with a need to know in furtherance of their job functions. Finally, Penn will continue to raise awareness about the risks, and appropriate uses, of Social Security numbers.
Agenda for University Council Meeting

Wednesday, January 29, 2003, from 4 to 6 p.m.
Bodek Lounge, Houston Hall

I. Approval of the minutes of December 4, 2002. 1 minute
II. Follow-up comments or questions on Status Reports. 5 minutes
III. Report of the Committee on Quality of Student Life. 15 minutes presentation; 20 minutes discussion
IV. Disposition of topics raised at the December 4, 2002 Open Forum. 15 minutes
V. Adjournment by 6 p.m.

2003 HERS Program Sessions: February 5 and 6

To All Penn Women:

Have you heard about HERS and the Bryn Mawr Summer Institute for Women in Higher Education? Ever think about applying? Wonder what the process is? Or want to know what the program is like?

Come join us for an Information Session about the 2003 HERS program. Talk with colleagues who have attended HERS in years past and find out about this year’s program and application process. Two sessions will be held: Wednesday, February 5 at noon, and Thursday, February 6 at 4 p.m., in the Fireside Lounge, The ARCH, located at 3601 Locust Walk, enter from 36th St.

The Summer Institute for Women in Higher Education Administration is sponsored by Bryn Mawr College and Higher Education Resources (HERS) Mid Atlantic.

Over the years, Penn has supported the enrollment of over 50 women faculty and administrators from schools and departments across the campus. As in the past, a review committee of several HERS alumnae and Penn faculty will select the nominee for recommendation to HERS in mid-March. HERS makes the final selection.

For an application or more information, contact Lois Evans, at evans@nursing.upenn.edu, or Linda Wiedmann, wiedmann@pobox.upenn.edu or visit www.brynmawr.edu/summerinstitute/.

Q. What is the purpose of the Summer Institute?
A. The Institute offers women faculty and administrators intensive training in education administration pertinent to the management and governance of colleges and universities. It is designed to improve the status of women in middle and executive levels of higher education administration, areas in which women traditionally have been under-represented.

Q. What are the main curricular areas?
A. The curriculum focuses on four areas: academic environment, external environment, institutional environment and professional development. Specific work areas include strategic planning, budgeting and accounting, financing higher education, and leadership skills.

Q. Who makes up the faculty?
A. The faculty is comprised of women and men from government, foundations, professional associations, and the leadership of diverse sectors of North American higher education.

Q. Who is eligible to apply?
A. Application for admission is open to women faculty and administrators whose background, experience and present responsibilities indicate a potential for professional advancement in higher education administration.

Q. When and where will the program be held?
A. The Institute, a residential experience in its 26th year, will be held from June 23 to July 20, 2003 on the campus of Bryn Mawr College. Although most women live on campus, it is possible to commute. Classes are held from approximately 8 a.m. to 4 p.m. Monday-Friday and from 8 a.m.-noon on Saturday. There are programs and group discussions scheduled for many of the evenings.

Q. What is the application process?
A. Applicants must complete an application form and submit a letter of recommendation. For administrators, this letter should be from the department head or supervisor; for faculty, it should be from a faculty member who is knowledgeable of the candidate’s administrative abilities. Submit materials to Lois Evans, AWFA President, School of Nursing, 420 Guardian Drive or Linda Wiedmann, AWFA Past President, CURF, 2nd floor, ARCH, 3601 Locust Walk.

Submit your application no later than Wednesday, February 19, 2003. For information about the Association of Women Faculty and Administrators, go to www.upenn.edu/affirm-action/awfa.

—Lois K. Evans, Viola Machnnes/Independence Professor, School of Nursing, President, Association of Women Faculty and Administrators (AWFA)

—Linda A. Wiedmann, Associate Director, Benjamin Franklin Scholars/General Honors, Center for Undergraduate Research and Fellowships

Deaths

Dr. Abraham Klein, Physicist

Dr. Abraham Klein, emeritus professor of physics, died on January 20 at the age of 76 of complications from a stroke.

Dr. Klein was born in Brooklyn, NY and received his undergraduate degree from Brooklyn College in 1947, then earned both his M.A. and Ph.D. in physics from Harvard in 1948 and 1950 respectively.

Dr. Klein became an associate professor of physics at Penn in 1955, was appointed professor of physics in 1958 and became emeritus in 1994. He is the co-inventor of the Karman-Klein method, a means of restoring the broken symmetry of mean field approximations for nuclear as well as for other many-body problems. Among honors he received were Alfred P. Sloan Foundation Fellow, J.S. Guggenheim Fellowship, Alexander von Humboldt Foundation Senior Scientist Award, and an honorary doctorate from Frankfurt University. Dr. Klein was also a fellow of the American Physical Society.

He is survived by his wife Murielle Pollack; daughters, Julia M. Klein and Hilary Hippolyte Klein; two grandchildren; and a sister.

A Celebration of the Life and Work of Abraham Klein, will take place on Friday, February 7, at 4 p.m. in DRL A2.

Rose Lonberger, Retired Librarian

Almanac recently learned of the death of Ms. Rose E. Lonberger, retired librarian at Towne Scientific Library. She died on November 29 at the age of 90.

Ms. Lonberger was born in Boalsburg, PA and earned her B.A. from Penn State University in 1933. She received her M.S. in library science from Drexel University in 1936.

Ms. Lonberger became an assistant librarian at Westminster College in New Wilmington in 1936 and left there to join Radio Corp. of America as a research librarian in 1939. She joined Penn in 1947 as a technical librarian and became department head in 1966 at the Towne Library, where she remained until her retirement in 1981.

She is survived by two sisters, Hilda Snyder and Ruth Hancock; a brother, John Lonberger; and several nieces and nephews.

Dr. Edgar Ralston, Orthopedic Surgeon

Dr. Edgar L. Ralston, emeritus professor of orthopedic surgery, died on January 13, at the age of 91, of pulmonary failure.

Dr. Ralston was born in Dubois, PA, and earned his B.A. from Muskingum College in 1933. He earned his medical degree from Penn in 1937 and served a residency and fellowship in orthopedic surgery at Orthopedic Hospital in New York City. He joined Penn’s School of Medicine in 1947, was appointed assistant professor of orthopedic surgery in 1957, became professor of orthopedic surgery in 1963 and was appointed to the Paul B. Magnuson Professorship in Bone and Joint Surgery in 1974. He retired in 1980.

Author of the textbook, Handbook of Fractures, Dr. Ralston also contributed articles to many professional journals.

He is survived by his niece, Martha Ralston-Braem; a nephew, Walter J. Ralston; and five grandnieces and grandnephews.

Memorial donations may be made to the United Presbyterian Church of Manoa, 153 N. Eagle Rd., Manoa, PA 96813.
Ms. McClave: Wharton’s Associate Dean for Communications and Business Development

Wharton School Dean Patrick Harker, has announced the appointment of Kathleen McClave to the newly created post of associate dean for Communications and Business Development.

The position was created to expand on the Wharton School’s already successful efforts in global brandbuilding, corporate relations and the creation of new commercial revenue streams. Ms. McClave will help to coordinate efforts across administrative and academic departments—including research centers, Executive Education, Career Management and External Affairs—to maximize the School’s potential in these critical areas.

“Ms. McClave brings a wealth of professional experience as well as an extensive working knowledge of the Wharton School to her new role. We are delighted that she will be providing leadership for this very significant new division,” said Dean Harker.

For the last four years, Ms. McClave has been with Tillinghast-Towers Perrin, first as a managing consultant and later as a principal, serving as banking sector leader, marketing leader and distribution practice leader for North America. From 1996 to 1999, she was president and chief executive officer of Furash & Company, management and strategic consultants to the financial services industry.

A Wharton MBA graduate, Ms. McClave was appointed as managing director of Wharton’s Financial Institutions Center with the charge of organizing an ongoing research capability into issues affecting the financial services industry under a $6.2 million grant from the Alfred P. Sloan Foundation in 1993. In her three years as managing director, Ms. McClave worked with Wharton faculty to establish the center’s research agenda, recruit and manage industry boards of senior executives, and develop additional funding for research from the financial services industry. She continues to serve on the Financial Institutions Center board, and maintains a research appointment to the center.

$800,000 Grant to GSE: KIDS Project

The Graduate School of Education has been awarded $800,000 from the William Penn Foundation for a two-year research and service project, designed to improve the lives of young children in the city.

Partnering with GSE on this project are the Center for Mental Health Policy and Services Research at the University’s medical center and the Cartographic Modeling Laboratory, which is a joint venture of the School of Social Work and the Graduate School of Fine Arts.

Researchers at Penn GSE will collaborate with city government and the school district to create the Kids’ Integrated Database System, the country’s first integrated municipal database for children. KIDS will streamline and merge separate databases maintained by the public schools and by the city’s human services and public health departments. Data on the educational needs, health and welfare of more than 250,000 Philadelphia children will be shared across agencies for the first time.

Using the KIDS database, researchers will be able to examine high-priority issues in early childhood development in Philadelphia: school readiness, foster care and school success and the effectiveness of special education and behavioral health service systems.

This database can “produce findings with clear policy and practice implications,” said Dr. John Fantuzzo, project director and a Penn GSE professor. KIDS represents one of the most practical yet underutilized opportunities for informing policymakers of what works for whom and at what cost.”

At the neighborhood level, the KIDS project will feature the establishment of a Learning Links Laboratory, centered at the Penn Alexander School in West Philadelphia. Building on the University’s HeadStart initiatives, this lab will be directed by Stephanie Childs, an early childhood educator with the School District of Philadelphia.

Learning Links will feature early childhood mentoring, conducted by Penn student volunteers; electronic bridges between the Penn Alexander and Lea Elementary schools created in collaboration with SEAS; and transition activities for children moving from early childhood centers to the elementary schools.

Bone-Headed Behavior?

How unfortunately two-faced. The university’s top administrator encourages us on Almanac’s title page [January 14] to be ‘a drum major for justice’ but, alas, the verso of that same page (condemning a graduate student union) urges we ‘strip away the legal arguments’.

Doesn’t this president head a world-class facility with a law school attached? Isn’t legal argument a more civilized alternative to mob-action?

What would Martin Luther King say to stripping away legal arguments?

What’s next, denying any moral obligation to better a hired-hand’s lot (never mind agonizing over how many angels can Morris dance on the head of a pin)? Is anyone who pays checkup sports your corporate logo? A union is a revolution. This particular revolution is responsible for the five-day week, the eight-hour day and child labor laws preventing tots from cracking coal in mines or working more than four hours on a film-set.

A union, like a revolution, is not imposed. A union is voted in. Tom Paine, John Adams, Jefferson, Dr. Franklin and Reverend King readily supported that concept.

Dr. Rutman’s ‘conditions generally imposed by trade union wage contracts are not compatible with... ‘scholarly standards so necessary for free inquiry and creativity’ (Almanac, January 14) are hardly threatened by a democratic election; not unless his fury over the AFT finds him turned into a character out of Charles Dickens.

A union protects its membership against capricious, hectoring drillmasters. Careers in academia are especially vulnerable to the whims of hierarchy. Advancement in a chosen field can be terminated if some scholarly patrician is displeased by a grad student who wants credit for authoring her advisor’s most recent book, perhaps by how little time another spends walking his mentor’s dog.

I recall a summer witch-hunt that ended with a college junior and a pre-freshman getting expelled because a professor at the Vet School didn’t approve of the card game they were playing in a dorm.

Just look at what mayhem corporations have wrought in countries banning unions. You’re wearing overvalued clothes produced by kids who ought to be in school so they can one day get into Penn and shop in stores that sell overvalued clothes produced by kids. The business community brought plantation-slavery to this hemisphere. Wharton would term it maximizing profits.

Revolutions, like labor unions, happen when the governed go ignored. Once rebelled, the disenchanted form a body with sufficient kick that same page (condemning a graduate student union) urges we ‘strip away the legal arguments so that same page mayhem corporations have wreaked on countries banning unions. You’re wearing overvalued clothes produced by kids who ought to be in school so they can one day get into Penn and shop in stores that sell overvalued clothes produced by kids. The business community brought plantation-slavery to this hemisphere. Wharton would term it maximizing profits.

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Speaking Out welcomes reader contributions. Short, timely letters on University issues will 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.
A Code of Workplace Conduct for Penn Apparel Licensees

I. Introduction
With a view to stimulating economic growth and development, raising living standards, meeting staffing requirements and overcoming unemployment and underemployment, the University of Pennsylvania has adopted this Code of Workplace Conduct (“the Code”) to promote full, productive and freely-chosen employment.

The University of Pennsylvania expects its licensees to conduct their business in a manner consistent with this Code, and to follow workplace standards that adhere to this Code. The Code is subject to amendment to reflect any subsequently developed standards by the University.

II. Notice
This Code shall apply to all trademark apparel licensees of the University of Pennsylvania. Throughout this Code the term “licensee” shall include all persons or entities that have entered a written licensing agreement with the University to manufacture apparel products bearing the name, trademarks and/or images of the University. Additionally, this Code shall apply to all of the licensee’s contractors. Throughout this Code the term “contractor” shall include each contractor, subcontractor, vendor, or manufacturer that is engaged in a manufacturing process that results in a finished product for the consumer. “Manufacturing process” shall include assembly and packaging.

As a condition of being permitted to produce and/or sell licensed products bearing the name, trademarks and/or images of the University, each licensee must comply with this Code and ensure that its contractors comply with this Code. All licensees and contractors are required to adhere to this Code, however, no licensee or contractor may represent that they have been certified as being in compliance with this Code.

III. Standards
University licensees and their contractors must operate workplaces that adhere to the following minimum standards and practices:

A. Legal Compliance
University licensees and their contractors must comply, at a minimum, with all applicable legal requirements of the country in which products are manufactured. Where this Code and the applicable laws of the country of manufacture conflict or differ, the higher standard shall prevail. Such compliance shall include compliance with all applicable environmental laws.

B. Ethical Principles
Licensees shall commit to conducting their business according to a set of ethical standards that include, but are not limited to, honesty, integrity, trustworthiness, and respect for the unique intrinsic value of each human being.

C. Environmental Compliance
Licensees and their subcontractors will be committed to the protection of the local environment, including their factories and their surroundings. They will protect residential areas around their factories, disposing of garbage and waste in such a way so as not to endanger the safety and health of nearby areas.

D. Employment Standards

1. Wages and Benefits
Licensees and their contractors must provide wages and benefits which comply with all applicable laws and regulations and which match or exceed the local prevailing wages and benefits in the relevant industry, whichever provides greater wages and benefits. The University is strongly committed to the employees of licensees receiving a “living wage” and charges the Committee on Manufacturer Responsibility (see Section VII: Monitoring and Oversight) to develop a quantitative “living wage” formula based on the findings of the University of Wisconsin—University of Notre Dame “living wage” project and any other information the Committee deems relevant.

2. Hours of Work
a. Except in extraordinary circumstances, or as required by business necessity, employees shall not be required to work (regardless of location) more than the lesser of:
   i. forty-eight (48) hours per week and twelve (12) hours of overtime; or,
   ii. the limits on the regular and overtime hours allowed by the law of the country.

b. Employees shall be entitled to at least one day off in every seven (7) day period.

3. Homework
The employer must ensure that work not done at the place of manufacture shall be performed in a manner safe for the employee and any persons who may be in the surrounding vicinity. There are other issues related to homework such as hours of work, wages and benefits that require further study.

4. Overtime Compensation
In addition to their compensation for regular hours of work, employees shall be compensated for overtime hours at such a premium rate as is legally required in that country, but not less than at a rate equal to their regular hourly compensation rate.

5. Child Labor
Licensees and their subcontractors shall not employ any person younger than 15 (or 14 where the law of the country of manufacture allows) or younger than the age for completing compulsory education in the country of manufacture where such age is higher than 15. Young workers will not be forced to work overtime hours that would prevent them from attending school. Licensees agree to work with governmental, human rights and non-governmental organizations as determined by the University and licensee to minimize the negative impact on any child released from employment as a result of enforcement of this code.

6. Forced Labor
Licensees and their subcontractors shall not use any forced labor, whether in the form of prison labor, indentured labor, bonded labor or otherwise.

7. Harassment or Abuse
Licensees and their subcontractors shall treat every employee with respect and dignity. Licensees and their subcontractors will not subject any employee to any physical, sexual, psychological or verbal harassment or abuse.

8. Nondiscrimination
Licensees and their subcontractors will not subject any person to any discrimination in employment, including hiring, salary, benefits, advancement, discipline, termination or retirement, on the basis of gender, race, religion, age, disability, sexual orientation, pregnancy, marital status, nationality, political opinion or political affiliation, union involvement, or social or ethnic origin.

Because the overwhelming majority of apparel workers are women, ensuring and safeguarding women’s rights is of particular importance for all parties.

- Women workers will receive equal remuneration for comparable work, including benefits, equal treatment, equal evaluation of the quality of their work, and equal opportunity to fill all positions as male workers.
- Pregnancy tests will not be a condition of employment, nor will they be demanded of employees. Workers will not be forced or pressured to use contraception.
- Women who take maternity leave will not, because of the maternity leave, face dismissal or threat of dismissal, loss of seniority or reduction of wages. Licensees must permit women returning from maternity leave to return to their prior position at their prior wage rate and benefits. Local laws and regulations, or the prevailing practice in the relevant industry, whichever is greater, shall determine appropriate length of maternity leave.
- Licensees and their subcontractors shall provide, to the extent required by applicable law and regulations, or the local prevailing practice in the relevant industry, whichever is greater, services and accommodations to pregnant women, including but not limited to access to freely-required health care provided by the employer, government or other provider.

9. Health and Safety
Licensees and their contractors must provide workers with a safe and healthy work environment and must, at a minimum, comply with local and national health and safety laws. If residential facilities are provided to workers, they must be safe and healthy facilities. Workers will not be exposed to conditions that may endanger their reproductive health without their informed consent.
10. Freedom of Association
Licensees and their contractors shall recognize freedom of association and collective bargaining with bargaining representatives of their own choice. No employee shall be subject to harassment, intimidation or retaliation as a result of his or her efforts to freely associate or bargain collectively.

IV. Remediation
If the University determines that any licensee or contractor has failed to remedy a violation of this Code, the University will consult with licensee to examine the issues and determine the appropriate measures to be taken. The remedy will, at a minimum, include requiring the licensee to take all steps necessary to correct such violations including, without limitation, paying all applicable back wages found due to workers who manufactured the licensed articles, and reinstating any worker whose employment has been terminated in violation of this Code of Conduct. If consultation and agreed upon measures fail to adequately resolve the violations within a specified time period, the University and the licensee will implement a corrective action plan on terms acceptable to the University. The University reserves the right to terminate its relationship with any licensee who continues to conduct its business in violation of the corrective action plan, in accordance with the terms set forth in the licensee agreement.

V. Compliance
Prior to the date of annual renewal of a license agreement, the licensee shall be required to provide the following to the University, as set forth in the license agreement:

A. The Company names, owners and/or officers, and addresses, phone numbers, e-mail addresses and the nature of the business association of all the licensees’ contractors and manufacturing plants which are involved in the manufacturing process of items which bear, or will bear, the name, trademarks and/or images of the University;
B. Licensees and their contractors are responsible for conducting thorough, effective and regular inspections of each facility at which University apparel is produced;
C. Written assurances that it and its contractors adhere to this Code (except that in the initial phase-in period, licensee must provide such written assurances within six months of receipt of this Code); and
D. A summary of the steps taken, and/or difficulties encountered, during the preceding year in implementing and enforcing this Code at each site.

VI. Public Disclosure
A. The company names, owners, and/or officers, addresses, and nature of the business association, including the steps performed in the manufacturing process, of all the licensees’ contractors and manufacturing plants which are involved in the manufacturing process of items which bear, or will bear, the name, trademarks and/or images of the University shall be made public information.
B. Licensees shall be required to supply by July 15 of each year a list of all factory locations referred to in paragraph A above, and all locations Licensee anticipates will be used during the term of the License.
C. Any additions or deletions to this list shall be reported to the University within two months of the effective date of such addition or deletion.

VII. Monitoring and Oversight
The President will establish a Committee on Manufacturer Responsibility (“the Committee”) on the implementation of the University’s Code of Conduct.

A. Composition and Selection
1. Voting Members
a. Three members of the University faculty selected by the President in consultation with the Chair of the Faculty Senate, one of whom will chair the Committee.
b. Four members of the student body, including two representatives of the Penn Students Against Sweatshops (PSAS) or its successor, and one undergraduate and one graduate student, to be chosen by the UA and the GAPSA.
c. Two representatives of University staff selected by the Penn Professional Staff Assembly (PPSA) and Weekly Paid Professional Assembly (WPPA), respectively.

2. Ex officio Members (non-voting)
   a. Representative of Business Services
   b. Representative of the Office of the President
   c. Representative of the Office of the Provost
   d. Member of the Office of the General Counsel

An administrative staff person and a work-study Intern will staff the Committee. The Intern will be appointed by the Committee, and paid by the President’s Office. The administrative staff person will be appointed by the President’s Office.

The division of responsibilities will be as follows:
- **Staff person:** The administrative staff person will act as a liaison between the Committee and the Office of the President to ensure timely implementation of all decisions of the Committee. The staff person will also send out notices for committee meetings to ensure maximum participation, and work closely with the Intern to coordinate all committee-related administrative tasks.
- **Intern:** The Intern will to the best of his/her abilities research the University’s apparel licensees in order to recognize violations of the Code. This responsibility will include the compilation of a list of licensees and the maintenance of any relevant records necessary to enforce the Code, including information received from monitoring organizations about licensees for consideration by the Committee. The Intern will also actively work on developing mechanisms with other campuses who have signed Codes of Conduct to improve the effectiveness and efficiency of the Codes.

B. Decision-Making
A simple majority of the Committee must be present for the vote to take place, with at least one student, one faculty, and one staff member present. Only members who are present may vote, and decisions will pass by majority rule.

C. Meeting Schedule
The Committee will meet no fewer than two times each semester.

D. Responsibilities
1. Reviewing the Code of Conduct
   The Committee will review the code annually to evaluate its effectiveness. Amendments to the code must be submitted to the committee for its approval.

2. Review Effectiveness of Monitoring
   The Committee will review, at least annually, the effectiveness of the organization(s) conducting monitoring to ensure compliance with this Code and take appropriate steps to ensure effective monitoring.

3. Reviewing the State of Compliance
   Licensees will be reviewed every six months for the first two years of their license agreement, and on an annual basis in subsequent years.

4. Reviewing Violations
   The Committee will review any alleged violations of the University’s code of conduct and determine whether they constitute violations. Based on this judgment, the committee will recommend an appropriate course of action to the Trademark Licensing Unit. At the same time, should Trademark Licensing Unit identify any alleged violations, the department will consult with the Committee on an appropriate course of action.

E. Public Accountability
   1. The Executive Vice President will publish the University’s Code of Conduct annually, and as necessary in other campus publications.
   2. The Trademark Licensing Unit will make available to any interested persons information regarding licensees’ working conditions, monitoring reports, and other relevant materials.
   3. The Committee will work with other schools and interested organizations to promote responsible business practices in the manufacturing of licensed University apparel.

F. Seeking and Rewarding Responsible Business Practices
   1. The Committee will work with the Trademark Licensing Unit to seek out manufacturers that have instituted proactive measures to insure the responsible production of goods and give them preference by encouraging the University to consider doing business with them, taking into consideration competitive price, quality, and style.
   2. Through the efforts of the committee in seeking out manufacturers with demonstrated responsible business practices, the University commits itself to giving preference to those with responsible monitoring policies, particularly manufacturers that agree to sign disclosure agreements with the University, taking into account competitive price, quality, and style. Representatives of departments responsible for purchasing University apparel will keep in regular contact with the Committee.

VIII. Pledge of Research and Development
The University commits itself to annually reviewing the development and research concerning an independent monitor, a coalition of sweat-free campuses, living wage standards, and any other areas developed, and in deciding in consultation with the Committee whether these areas are feasible for Penn.
Pilot and Feasibility Grant Program: Penn Center for AIDS Research

The Penn Center for AIDS Research (Penn CFAR) seeks applications to the pilot program offered through its Developmental Core. Proposals regarding any aspect of HIV/AIDS clinical care, epidemiology, virology, immunology, structural biology, vaccine development, or prevention are considered relevant to the goals of the Developmental Core. The CFAR is particularly interested in proposals that bridge programmatic areas, and those proposals will be given preference. Proposals that include an international component also are encouraged.

The maximum amount of funding for each grant will be $40,000. Grants are for a one-year period and are not renewable. It is expected that funds will be available in July 2004.

Faculty members, holding appointments at the CFAR institutions who meet one of the following requirements, are invited to apply:
1) New investigators who have never held extramural support from the NIH.
2) Investigators who have not previously worked in HIV/AIDS.
3) Investigators who have worked in HIV/AIDS who wish to study an area that represents a significant departure from their currently funded work.

Applications/instructions may be downloaded via our web page at www.uphs.upenn.edu/aids.

Deadline: Completed proposals are due by Friday, March 21, 2003. For additional information, please contact: Evelyn Olivieri, Executive Administrator, Room 353 BRB II/III/6160, Phone: (215) 573-7354, e-mail: oliviere@mail.med.upenn.edu.

---Dr. Francisco González-Scarlato, Core Director

Joint Pilot Study in Basic Science or Clinical Areas: ADCC and IME

The University of Pennsylvania NIH-funded ADCC in the Center for Neurodegenerative Disease Research Center (CNDR) and the Institute for Medicine and Engineering (IME) will join together in funding three pilot projects on biomedical, epidemiological or behavioral research in basic science or clinical areas each at a level of up to $20,000/year (for personnel and supplies costs, but not equipment). These one-year, non-renewable grants support pilot research projects on the etiology, pathogenesis, diagnosis or management of dementia of the Alzheimer’s type or related conditions. The purpose is to assist faculty in obtaining preliminary data to serve as the basis of a grant application to the NIH or other public or private agencies concerned with this important medical and social problem. The previous year’s awards and application instructions may be found on the CNDR website: www.uphs.upenn.edu/cnrd/ADCCPilot.html.

Applications should utilize the basic NIH PHS 398 form with a limit of 5 pages (inclusive of literature cited). The application submission deadline is April 15, 2003 and questions may be directed to Gayle Viale, Administrator, Center for Neurodegenerative Disease Research (CNDR), phone (215) 662-4708 or e-mail: viale@mail.med.upenn.edu.

---Gayle Viale, Administrator, CNDR

A Peek at Penn’s Past
(culled from old issues of Almanac)

This Month in Penn’s History

10 Years Ago
1/12/93—W.E.B. DuBois College House celebrates its 20th anniversary.

Penn’s International Dimensions is published For Comment.
1/1993—The Twenty-First Century Endowed Scholars Fund established with a $10 million anonymous gift at the School of Medicine.
1/26/93—Time Limits for Ph.D. Matriculants in Graduate Education established.

20 Years Ago
1/11/83—Wharton Faculty and Staff move into the newly renovated and enlarged Steenberg Hall-Deitrich Hall.
1/18/83—The American Association of University Students establishes its national headquarters at Penn.
1/25/83—College Houses receive a $1 million gift from the family of the late John C. Pappas to fund three programs to strengthen living/learning in the College Houses.

Dr. Irene Winter, associate professor of history of art, is Penn’s first MacArthur Prize Fellow.

Emeritus Professor Shelomo D. Goitein is Penn’s first MacArthur Prize Fellow Laureate.

Trustees vote to name biology building Goddard Laboratories in honor of Provost Emeritus Dr. David R. Goddard.

30 Years Ago
1/9/73—Moore School of Electrical Engineering celebrates its fifteenth anniversary.
1/16/73—Trustees elect Dr. Eliot Stellar as Provost of the University.
1/23/73—School of Social Work building is named the Caster Building in recognition of a gift from Harold J. Caster (WHarton ’21).
1/29/73—Pennsylvania: One University, the report of the University Development Commission is published.
1/30/73—Pennsylvania and the seven other Ivy League institutions approve a common admissions policy.

40 Years Ago
1/63—Chief Justice of the U.S. Supreme Court Earl Warren is the principal speaker at the dedication of the Law School’s new $1.6 million classroom building on Sansom St.

February in Human Resources

Human Resources offers many programs to help further the personal and professional development of Penn faculty and staff. The Learning and Education (L&E) and Quality of Work Life (QWOL) departments are promoting several programs in the month of February (See February at Penn calendar). Visit the Human Resources website at www.hr.upenn.edu for descriptions of the programs and to pre-register online. Registration is required for all programs.

Look for monthly updates on HR programs in future issues of Almanac.

---Division of Human Resources
**ON STAGE**

29 A Student Reading for Peace and Justice
Inscribed by Martin Luther King, Jr.; 8 p.m.; Kelly Writers House (CA; Writers House).

**SPECIAL EVENTS**

28 Graduate Professional Women’s Mix & Mingle; 4:30 p.m.; Penn Women’s Center (Penn Women’s Center).

30 Muffled Drums; James Andrew Brown, artist; incorporating prints in the exhibition Darkwater; 7 p.m.; Arthur Ross Gallery.

**TALKS**

29 Host Gene Products Affecting Retroviral Replication; Steve Gold, Columbia University; noon; CRB Auditorium (Microbiology).

**Get On Board Express Almanac**

Sign up to receive e-mail notification when we post breaking news here on issues. Send an e-mail message with “subscribe” as the Subject to getonboard@upenn.edu and include your name, e-mail address and mailing address. — Ed.

**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 13-19, 2003. Also reported were 13 Crimes Against Property (including 7 thefts, 3 retail thefts, 1 auto theft, 1 burglary and 1 act of vandalism). Full reports are online at the Web ([www.upenn.edu/almanac/v49/19/crimes.html](http://www.upenn.edu/almanac/v49/19/crimes.html)). Prior weeks’ reports are also online. — 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 13-19, 2003. The University Police actively patrol from Market Street to Baltimore Avenue and from the Schuylkill River to 49th St. & Market St. to Woodland Ave. 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) 882-4482.

### 18th District Report

8 incidents and 2 arrests (including 5 robberies and 3 aggravated assaults) were reported between January 13-19, 2003 by the 18th District covering the Schuylkill River to 49th St. & Market St. to Woodland Ave.

<table>
<thead>
<tr>
<th>Time</th>
<th>Location</th>
<th>Incident Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>01/13/03 8:00</td>
<td>3400 Walnut</td>
<td>Male robbed at gunpoint/Aarrest</td>
</tr>
<tr>
<td>01/13/03 8:39</td>
<td>3000 Logan</td>
<td>Male forced items from complainant</td>
</tr>
<tr>
<td>01/17/03 9:30</td>
<td>3000 Ludlow</td>
<td>Unknown male attempted to rob complainant</td>
</tr>
<tr>
<td>01/17/03 10:00</td>
<td>3000 Ludlow</td>
<td>Male robbed complainant/Aarrest</td>
</tr>
<tr>
<td>01/17/03 10:30</td>
<td>3500 Northwood</td>
<td>Female assaulted complainant/Aarrest</td>
</tr>
<tr>
<td>01/17/03 10:30</td>
<td>3800 Sansom</td>
<td>Aggravated Assault</td>
</tr>
<tr>
<td>01/13/03 9:00</td>
<td>4731 Ludlow</td>
<td>Robbery</td>
</tr>
<tr>
<td>01/13/03 9:30</td>
<td>4000 Market</td>
<td>Aggravated Assault/Aarrest</td>
</tr>
<tr>
<td>01/17/03 9:00</td>
<td>3800 Ludlow</td>
<td>Robbery</td>
</tr>
<tr>
<td>01/17/03 9:30</td>
<td>3400 Ludlow</td>
<td>Robbery/Aarrest</td>
</tr>
<tr>
<td>01/17/03 10:00</td>
<td>3700 Sansom</td>
<td>Robbery</td>
</tr>
<tr>
<td>01/17/03 10:30</td>
<td>1429 47th</td>
<td>Aggravated Assault</td>
</tr>
<tr>
<td>01/19/03 12:30</td>
<td>3800 Sansom</td>
<td>Aggravated Assault</td>
</tr>
</tbody>
</table>


**RESEARCH**

Rosacea and acne studies in the Department of Dermatology at the hospital. For more information call 215-662-6722. Compensation available.

Do you have high cholesterol and want to lower your cholesterol naturally, without taking medication? Doctors at the University of Pennsylvania are launching a new study looking at the effects of adding a food, flaxseed, to a low-fat diet on lowering cholesterol levels and improving other risk factors for heart disease. The entire study lasts approximately 4 months and includes 7 short outpatient visits at the Hospital of the University of Pennsylvania in Philadelphia. There are no medications involved with this study and participants will be compensated for their time and effort. If you are generally healthy, between the ages of 45 and 72, have high cholesterol and think you might be interested in this study, please contact Shilpa Balikai at (215) 662-9040 or e-mail her at balikai@ssas.upenn.edu.

Are you taking estrogen replacement? Volunteers are needed for a research study examining estrogen, memory, and the ability to smell. $50 will be given for approximately 3 hours of participation. Women 55 or older. For more information please call (215) 662-6580.

Postmenopausal volunteers needed. Post-menopausal volunteers needed for a research study examining estrogen, memory, and the ability to smell. $50 will be given for approximately 3 hours of participation. Women 55 or older. For more information please call (215) 662-6580.

**ALMANAC ADVISORY BOARD:**

Chair, Jamar Benyard

ALMANAC ADVISORY BOARD: For the Faculty Senate, Martin Prin (Chair); Helen Davies, Mitchell Matzke, F. Davies, Mitchell Matzke, Phoebe Leboy, Lance Donaldson-Evans, Joseph Turrow. For the Administration, Loni N. Doyle. For the Staff Assemblies, Michele Taylor, PPSA; Karen Pinckney, WPSC; David N. Nelson, Librarians Assembly.

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

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Tamarah Babakoba, David Fecteau, Angie Louis, Wilma"
The University has recently mailed over 30,000 Calendar Year (CY) 2002 W-2 Forms to our employees’ home addresses as they appear on the Payroll File (Employee Database). An explanation of the contents of the various boxes on the W-2 form is as follows:

### A. Wages, tips, other compensation:
This represents the total amount of Federal Taxable compensation paid to you during Calendar Year 2002 through the University Payroll System. This amount includes:

- a. The value of your taxable graduate and/or professional tuition benefits, if you, your spouse and/or your dependent children have received such benefits;
- b. The value of Group Life Insurance coverage for amounts greater than $50,000. The premium payments for this excess coverage, if any, have been included as imputed income (see Excess Insurance Premium below);
- c. Amounts that are excluded from this amount are:
  - Tax deferred annuity contributions (i.e., TIAA/CREF);
  - Health, Dental and Vision Care insurance premiums that have been sheltered;
  - Amounts voluntarily contributed to a dependent care or a medical reimbursement account. Also included this year are fees for Parking, Transit Checks, TransPass and the Van Pool.

### B. Federal income tax withheld:
This represents the amount of Federal Income tax which was withheld from your earnings during the year and paid to the Social Security Administration, on your behalf, by the University.

### C. Dependent care benefits:
This represents the total amount which you have voluntarily “sheltered” for dependent care expenses, regardless of whether you have been reimbursed by the University for the expenses associated with this “shelter” as of December 31, 2002.

### D. Social security wages:
This represents the total amount of compensation paid to you during Calendar Year 2002 which was subject to Social Security (FICA/OASDI) tax, including all of your tax deferred annuity contributions and excess life insurance premiums, if applicable, but excluding health and dental insurance premiums and any voluntary dependent care or medical reimbursement account contributions which you have “sheltered”.

### E. Social security tax withheld:
This represents the total amount of Social Security (FICA/OASDI) tax which was withheld from your earnings during the year and paid to the Social Security Administration, on your behalf, by the University.

### F. Other:
If you have received certain fringe benefits, the value of such benefits is shown here. These benefits include the value of taxable graduate and/or professional tuition benefits and other benefits relating to imputed income. If you have received any of these benefits the University has recently advised you, individually and personally, concerning their taxability; please refer to those communications specifically.

### G. Medicare wages and tips:
This represents the total amount of compensation paid to you during Calendar Year 2002 which was subject to Medicare tax, including all of your tax deferred annuity contributions and excess life insurance premiums, if applicable, but excluding health and dental insurance premiums and any voluntary dependent care or medical reimbursement account contributions which you have “sheltered”.

### H. Medicare tax withheld:
This represents the total amount of Medicare tax which was withheld from your earnings during the year and paid to the Social Security Administration, on your behalf, by the University.

### I. Excess insurance premium:
The Internal Revenue Service requires that the premiums paid by an employer for group life insurance coverage in excess of $50,000 be imputed as income to the employee. The amount, which appears in Box 12 and labeled (C), is the value of the premiums paid for this excess insurance coverage. This amount is based on an Internal Revenue Service (IRS) table, which identifies premiums for different age groups.

### J. Tax deferred annuity contributions:
This represents the total amount of contributions made by an employee to a retirement plan on a tax-deferred basis. The amount is shown in Box 12 and labeled (E) on the actual form.

### K. Excludable moving expense reimbursements:
This represents the nontaxable moving expenditures that were paid to you as a reimbursement. The amount is shown in Box 12 and labeled (P). If any reimbursements or third party payments were deemed to be taxable income you were notified of these amounts under separate cover.

### L. Employee’s social security number:
This is the number that the Federal and State Governments use to identify you with the tax returns that you file, so please review it for accuracy. If the number is incorrect, then the University Payroll system is also inaccurate and you should contact the Payroll Office, immediately, before you file your returns.

### M. State wages, tips, etc.:
This represents the total amount of compensation paid to you during Calendar Year 2002 which was subject to Pennsylvania State Income Tax, including all of your deferred annuity contributions, if applicable, but excluding health and dental insurance premiums and any voluntary medical reimbursement account contributions which you have “sheltered”.

### N. State income tax:
This represents the total amount of Pennsylvania State Income Tax withheld during Calendar Year 2002 and paid to the Commonwealth of Pennsylvania, on your behalf, by the University. If you do not live in Pennsylvania no amount will be reflected in this box. If you lived a portion of the year in the Commonwealth of Pennsylvania, and another portion in New Jersey or Delaware, you will receive two W-2 forms, one showing the state taxes paid to the Commonwealth of Pennsylvania, the other showing no taxes paid to the other jurisdiction.

### O. Local wages, tips, etc.:
This represents the total amount of compensation paid to you during Calendar Year 2002 which was subject to Philadelphia City Wage Tax, including all of your deferred annuity contributions.

### P. Local income tax:
This represents the total amount of Federal Income tax which was withheld from your earnings during Calendar Year 2002 and paid to the City of Philadelphia, on your behalf, by the University.

When you receive your W-2 form, please review it immediately to ensure that your name is spelled correctly and that your Social Security number is correct. If you feel that any information on your W-2 is incorrect, review your calculations carefully and compare the information on the form with your final 2002 pay stub.

### Q. Elective deferrals and employer contributions to section 457(b) deferred compensation plan for employees of state and local governments or tax-exempt organizations:
This amount is shown in box 12 and labeled (G).

If you have availed yourself of certain taxable benefits please review any additional information which was provided to you, under separate cover, concerning these benefits and their impact on your tax status. If you still believe that your W-2 is in error, please contact the Payroll Office at (215) 777-3277 or write to W-2 Office, Room 310, Franklin Building/6284.

You should have received, via the U.S. Postal Service, your Federal and State Income Tax Forms and related instructions for filing. Federal Tax forms are available at the Internal Revenue Service, 600 Arch Street, Philadelphia, or by calling (800) TAX-FORM. Pennsylvania Income tax forms are available at state Office Building, 1400 Spring Garden Street, Philadelphia, or by calling (800) 362-2050. Federal and State forms are also available at many libraries and U.S. Post offices.