Penn Engineering’s Largest Research Grant in School History to Lead Robotics Consortium

The University of Pennsylvania School of Engineering and Applied Science has received the largest single award in the Penn Engineering’s 156-year history to help create the fundamental networks and technologies that will put unmanned machines on the front lines of battle.

The award is the MAST CTA, (Micro Autonomous Systems and Technology Collaborative Technology Alliance), and will incorporate more than $22 million in funding during 10 years from the Army Research Laboratory.

Penn will lead the multi-university research initiative tasked with creating cohesive teams of autonomous robots that can function effectively in urban and complex terrain. Participating universities will build new robotic systems, study novel approaches for robotic control and perception and develop new algorithms for intelligent operation of robots in unstructured environments. The goal is autonomous machines that operate with little or no direct human supervision and can support security or rescue personnel operating in dangerous environments. In venues as disparate as buildings and caves, the machines must be able to organize into subteams and clear and secure areas, track hostile targets in a three-dimensional environment and find victims or explosive devices by crawling, climbing, flying or hovering.

Dr. Vijay Kumar, chair of mechanical engineering and applied mechanics, will lead the consortium, consisting of the University of California, Berkeley; Georgia Institute of Technology; the University of New Mexico; MIT; the Australian Center for Field Robotics; Vanderbilt University; and the University of Maryland. Using expertise in algorithms, artificial intelligence, communications, control theory, perception, robotics, sensing, signal processing and systems engineering, the Penn program, Autonomous Multifunctional Mobile Microsystems, will design a networked group of mini aerial and ground vehicles and sensors operating in dynamic environments.

The project will look to nature for inspiration to create these machines and develop intelligent group behaviors that allow the network to perform tasks that cannot be performed individually.

Scaling down today’s robots to tomorrow’s micro-robots raises many technical challenges including perception and control with small sensors, actuators and processors; communication between members of the team with low-power antennas; and the development of intelligent group behaviors with small-scale, resource-constrained robots.

“Our goal is to combine scientific principles with new engineering technologies to make autonomous aerial and ground robots work together, work independently, adapt, survey and ultimately become a reality in the field,” said Dr. George Pappas, professor of electrical and systems engineering and deputy dean of Penn Engineering.

The team consists of Dr. Kumar; Dr. Pappas; Dr. Kostas Daniilidis, director of Penn’s GRASP Laboratory of Robotics Research and Education; and Dr. Ali Jadababaie, Dr. Mark Yim and Dr. Dan Lee of the GRASP Lab.

$7.5 Million Grant for Penn Engineering to Develop Cooperation Principles for Robot Teams

Penn Engineering has received a five-year, $7.5 million grant to draw inspiration from biological organisms, including humans, in order to create principles of cooperation to control teams of next-generation, unmanned, robotic vehicles.

The Penn-led study, consisting of eight universities, will focus on the development of biologically inspired cooperative strategies for large teams of unmanned robots, including aerial and ground robots. Researchers will look to nature and the principles behind ant colonies, cooperative fishing by dolphins and even man’s formation of political coalitions to provide the cooperative principles for robots to work with each other. The study will result in state-of-the-art algorithms for complex, time-critical mission planning and execution for large numbers of heterogeneous robotic vehicles capable of collaborating with humans.

“Our objective is to bring together experts in different disciplines who normally do not interact,” said Dr. George Pappas, professor of electrical and systems engineering and deputy dean.

“The unique challenge of this program is finding cooperation principles for heterogeneous robots, where different robots may have uniquely different capabilities. How can aerial and ground robots work together? How can teams of robots work with teams of humans? How do we assign individual tasks to such teams while taking advantage of the unique capabilities of each robot? These are some of the challenging questions we hope to address in this project.”

The research team is an assembly of interdisciplinary researchers from robotics, control systems, artificial intelligence, biology and political economics. The team will look at models of sophisticated cooperation among a variety of biological organisms—including humans—and extract critical insight and solution templates for similarly challenging problems in robotics. As the interaction between biologists and roboticists increases during the course of the project, ideas will ultimately flow in both directions and will impact thinking in both communities.

The grant, awarded by the Office of Naval Research, is a five-year grant under the Defense Department’s Multidisciplinary University Research Initiative program. Penn’s research team, led by Dr. Pappas, includes Dr. Vijay Kumar, Dr. Ali Jadababaie and Dr. Dan Koditschek of Penn Engineering’s GRASP Lab. Cooperating universities include the Georgia Institute of Technology; the University of California, Berkeley; Arizona State University; the University of Washington; Michigan Technological University; Yale University; and Massachusetts Institute of Technology.

Penn’s Graduate School Rankings

This year’s U.S. News and World Report’s rankings of the best graduate schools include two of Penn’s schools ranked #3—Nursing and Wharton and two ranked #4—Medicine and Veterinary Medicine, with some specialties ranked #1. Not all schools or specialties are ranked each year.

<table>
<thead>
<tr>
<th>2007</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wharton</td>
<td>3</td>
</tr>
<tr>
<td>Executive M.B.A.</td>
<td>2</td>
</tr>
<tr>
<td>Finance</td>
<td>1</td>
</tr>
<tr>
<td>Accounting</td>
<td>2</td>
</tr>
<tr>
<td>Marketing</td>
<td>1</td>
</tr>
<tr>
<td>International</td>
<td>3</td>
</tr>
<tr>
<td>Entrepreneurship</td>
<td>3</td>
</tr>
<tr>
<td>Healthcare Management</td>
<td>4</td>
</tr>
<tr>
<td>Management</td>
<td>5</td>
</tr>
<tr>
<td>Production/Operations</td>
<td>5</td>
</tr>
<tr>
<td>Information Systems</td>
<td>7</td>
</tr>
<tr>
<td>Supply Chain/Logistics</td>
<td>7</td>
</tr>
<tr>
<td>Medicine</td>
<td>3</td>
</tr>
<tr>
<td>Pediatrics</td>
<td>1</td>
</tr>
<tr>
<td>Women’s Health</td>
<td>3</td>
</tr>
<tr>
<td>Internal Medicine</td>
<td>4</td>
</tr>
<tr>
<td>Drug/Alcohol Abuse Treatment</td>
<td>6</td>
</tr>
<tr>
<td>Clinical Psychology</td>
<td>10</td>
</tr>
<tr>
<td>Primary Care</td>
<td>16</td>
</tr>
<tr>
<td>Law</td>
<td>6</td>
</tr>
<tr>
<td>Social Policy and Practice</td>
<td>13</td>
</tr>
<tr>
<td>Engineering</td>
<td>29</td>
</tr>
<tr>
<td>Biomedical/Bioengineering</td>
<td>6</td>
</tr>
</tbody>
</table>

The following schools were ranked in 2007.

Nursing 3
Adult Nurse Practice 1
Clinical Nurse Specialist 5
Gerontological/Geriatric 1
Pediactric Nurse Practice 1
Midwifery 2
Psychiatric/Mental Health 3
Family Nurse Practice 3
Adult/Medical-Surgical 5
Nursing Service Admin. 2

Veterinary Medicine 4

Graduate School of Education 11

The following specialties were also ranked:

- Sciences
  - Immunology/Infectious Disease 7
  - Microbiology 8
  - Physics 16 13
  - Mathematics 17 18
  - Geometry 8
  - Computer Science 18 20
  - Chemistry 20
  - Biological Sciences 21

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8 Principles of Responsible Conduct

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Council Meeting Coverage

2008 Budget and 2009 Student Charges

At the March 26 Council meeting, the annual report on the University budget and plans for the next academic year preceded an Open Forum. President Amy Gutmann turned to Vice President for Budget and Management Analysis Bonnie Gibson for the report on the Fiscal 2008 Budget and the Fiscal 2009 Undergraduate Total Charges. Dr. Gutmann then had Steven Bilsky, director of Recreation and Intercollegiate Athletics, present plans for the athletic facilities, as part of Penn Connects.

Ms. Gibson's overview of the FY 2008 Operating Budget noted the $5.025 billion in expenditures is up 8.7% compared to FY 2007 actual: $2.44 billion for the Academic Budget and $2.58 billion for the Health System. The Academic Budget is balanced; the Health System has a surplus of $154.6 million after transfers to the School of Medicine. The Academic Budget is up 8% compared to FY 2007 actual, 0.7% compared to the FY 2007 Budget. The FY 2008 Budget includes $267.5 million in undergraduate and graduate student aid, $278 million in capital transactions including $223 million to fund projects, $84 million for equipment and library acquisitions and $39 million in external debt service.

The Academic Budget revenue of $2.444 billion is nearly divisible into thirds with 31% from sponsored programs, direct and indirect; 34% from tuition and fees, and the remaining 35% from a combination of investment income and gifts, other income, Commonwealth funding and net transfers from the Health System. Compared to FY 2007, the amount of revenue budgeted from sponsored programs is down due to a decrease in federal funding. In the Academic Budget expenditures by type, 53% is for compensation, including salaries, wages and employee benefits, 27% for current expenses, 11% for capital transactions and 8% for student aid, excluding the graduate student stipends. By Responsibility Center category, 71% of the expenditures are spent in the schools. The facilities' allocated costs increased in 2007 due to three new buildings that were completed. In terms of the Peer Endowment comparison, Penn moved up from 11th place to 9th place with the market value of the endowment at $6.64 billion as of June 2007. However, on a per student basis, Penn ranks 61st, up from 65th.

Athletics and Recreation

Mr. Bilsky described numerous projects that are planned to meet the needs of not only the Collegiate NCAA Division I athletic teams, but the club program, the intramural program as well as the self-directed fitness members and plans for the next academic year. During the next decade, the goal is to develop some 47 acres in the east end of campus, along the Schuylkill River, as part of the University's long-range master plan, Penn Connects. Phase I: 2008-2010, will include renovations to the Franklin Field Arcade, a facility that is over 100 years old, with a satellite fitness facility that retains the historic nature of the building. There are also plans to replace the six outdoor tennis courts in front of the Palestra with the Palestra Green, a move that President Gutmann called "transformative." Phase I will also create Penn Park with several fields, 12 new tennis courts, and a new field and air structure, an all-purpose facility for athletic practices and other big events. The Levy Indoor Tennis Pavilion would also be renovated, and a softball stadium is proposed. Phase II: 2010-2012, would include Hutchinson Gym-Palaestra renovations. Phase III: 2012+, includes a proposed indoor track facility and a natatorium. Mr. Bilsky said that the $112 million goal for Phase I and II, more than $70 million has been raised.

Open Forum

Several members of the Penn community took advantage of the opportunity to ask a question of Council at the Open Forum. The first question raised concerned annual pay raises in view of the current economy. Ms. Gibson responded that Penn does look at the regional and national market indicators before setting salary pools for increases. She said that since Penn is an "employer of choice" only about 2.4% of applicants are hired of the more than 80,000 job applicants per year. She also urged everyone to look at the recently mailed personal Total Compensation reports. All units across the University are expected to take job performance into account in setting salaries.

There was a question raised about the proposed hotel at 40th and Pine Streets by an employee who lives in University City and is concerned about parking and other zoning issues on the Penn-owned property. Anne Papageorge, vice president, FRES, explained the current status of the project which is in the 'letter of intent' phase with the developer; a zoning hearing is set for May 6.

Comments were also raised about the Greek system and the recycling program at Penn. There will be a new website devoted to Penn's sustainability issues. A student asked about the future of the Asian-American studies program given budgetary limitations. Another student inquired about renovating to Du Bois College House, which are in the planning phase. Another suggestion raised was to devote resources to purchase books and journals for the library in the particular field of new faculty.
Dr. Gellhorn, Former SOM Dean

Dr. Alfred A. Gellhorn, former dean of the School of Medicine, passed away on March 24 at age 94.

Coming to Penn as the first director of its Medical Center and serving as dean of the School of Medicine (1968-1973), Dr. Gellhorn introduced new dimensions of social thinking into many aspects of curriculum and health care delivery, including the establishment of the department of community medicine. His focus on collaborating with the local community led to the creation of such programs as the West Philadelphia Community Mental Health Consortium, the Health Education Program and Gateway to Higher Education, which encouraged minorities to pursue medical degrees. While serving as dean, Dr. Gellhorn also held an appointment as professor of medicine and pharmacology.

Other positions held by Dr. Gellhorn at other institutions and organizations included serving a 25-year tenure at Columbia University; founding director, Sophie Davis School of Biomedical Education of the City College of New York; and the Gateway Institute in NYC’s public high schools; director of medical affairs at the NY State Department of Health; and board member and advisor for the Aaron and Irene Diamond Foundations.

Dr. Gellhorn received his medical degree in 1937 from Washington University in St. Louis, Missouri. Penn awarded him an honorary degree in 1993 for his contributions to medicine and physician education in the service of humanity.

Dr. Gellhorn is survived by four daughters, Martha, Anne, Tina and Edna; five grandchildren including Alfred Gellhorn Campbell, C ’97 M ’05; and one great-grandchild.

Donations may be made to the Gateway Institute, City College, Harris Hall H06, 106 Convent Avenue, NY, NY 10031.

Deaths

Ms. Gibson then turned to the charges for the upcoming academic year and noted that the total undergraduates’ charges of $46,124 for FY 2009 only covers 70% of a Penn education. She noted that during the last decade, the percentage increase in tuition and fees has been constrained, ranging from 4.6% per year while the growth in the financial aid has resulted in a 6.7% decrease from the prior year in the net cost for aided students. While total charges have gone up 51% in the past ten years, the average freshman grant has gone up 77%, for an average net cost that has risen 20% in the last 10 years. Meanwhile the HEPI (the Higher Education Price Index) has gone up 41%; it identifies eight categories of operating costs of colleges and universities. Compared to peer institutions, Penn’s undergraduate charges are the second highest in the Ivy League but situated in the middle of the range for the Ivy plus other research universities to which it compares itself. The Penn-funded grant aid has risen substantially while the outside aid has not. The cost of Penn’s enhanced aid program is funded in part by an increase in the spending rate rule on the financial aid endowment to 6.5% up from 4.7%.

The PhD tuition will be reset based on the new plan of $24,000 per year, 5-year/30 credit unit standard. The research masters tuition will increase at 4.5%; professional students’ tuition will be set by the individual schools.

Dr. Leigh, Jr., Radiology

Dr. John S. “Jack” Leigh, Jr., Britton Chance Professor of Radiology in the School of Medicine, passed away on March 10 of heart disease. He was 69 years old.

Dr. Leigh earned his BSc in 1961 in electrical engineering and was a defensive lineman for the Quakers. He also earned his PhD in biophysics here at Penn and went on to become a pioneer as a researcher and educator at the University. Colleagues noted that he “was a brilliant innovator in research related to magnetic resonance (MR) and optical technologies.”

Dr. Leigh was appointed to the faculty in 1971. He also held a secondary appointment in the department of biochemistry and biophysics. Dr. Leigh was instrumental in the founding of Penn’s Metabolic Magnetic Resonance Research and Computing Center (MMRRC) in 1984 and served as its director for almost 25 years. The MMRRC has made significant contributions to technological advancements and biomedical applications of magnetic resonance.

In addition to several NIH fellowships, he was a Guggenheim Fellow at Cambridge University (1974-1975), and in 1999 he was inducted as a Fellow into the International Society of Magnetic Resonance in Medicine, a status reserved for those who have made highly significant contributions in the field.

Dr. Leigh is survived by his wife, Judy; daughters, Jennie, Amy and Nancy Marcellino; sons, Scott and Robert; 10 grandchildren; one brother; and one sister.

Donations may be made to the Sassafras River Association, Box 333, Georgetown, MD 21930.

To Report A Death

Almanac appreciates being informed of the deaths of current and former faculty and staff members, students and other members of the University community. Call (215) 898-5274.

Ms. Mitchell, Wharton

Nadine Mitchell, a retired research specialist at Wharton, passed away March 14; she was 85.

Ms. Mitchell earned a bachelor’s degree in English from Howard University in 1943. Two years later she earned a master’s degree in English from Radcliffe College, now an interdisciplinary center at Harvard University.

In 1971, after teaching at Howard University and Haverford College, she became a research specialist in the Human Resources Center of the department of management in the Wharton School where she conducted research on women’s and minority issues.

Ms. Mitchell was involved in many nonprofit organizations and educational institutions, and served on committees raising funds and planning activities for the Philadelphia Museum of Art, UNICEF, the American Association of University Women and the YWCA of Philadelphia.

Ms. Mitchell is survived by her son, Howard Mitchell, Jr.; and three granddaughters. Her husband, Howard Mitchell, died in 1999 (Almanac October 12, 1999); he had served on the Wharton faculty as the UPS Foundation Professor Emeritus of Human Resources and Management. The Howard E. Mitchell Memorial Conference is held annually in his memory.

Memorial Dedication: Ms. Kerbel

The University community is invited to the dedication of the Sandra S. Kerbel Memorial Alcove in the David B. Weigle Information Commons at the Van Pelt-Dietrich Library Center on Monday, April 7, at 2 p.m. A reception is to follow in the Meyerson Conference Center.

Ms. Kerbel was associate director for public services in the University Libraries. She died from cancer on April 4, 2007 at the age of 50 (Almanac April 24, 2007). She joined the Penn community in 2001 and was responsible for a wide range of user services in the Library Center and other Penn libraries. Her legacy to the University was her help in the design and construction of the Weigle Information Commons, a state-of-the-art teaching and learning facility.
Every year, the University Ombudsman reports to the University community on the activities of the prior year, giving summary data on the types of complaints that consulted the office and a general idea of the variety of problems that concerned them. This year, I will also review briefly the panoply of informal and formal dispute resolution options that are available to members of the University community—a community, we should realize, that consists of over 58,000 people. (As of the fall of 2007, there were: 10,163 full-time undergraduate students, 9,653 full-time graduate and professional students, 4,164 part-time students, and 20,381 employees (including 2,488 standing faculty and 2,119 associated faculty). In addition, the Hospital of the University of Pennsylvania had 14,487 employees.)

I must note that Dr. Gulbun O’Connor has retired, after serving as Associate Ombudsman for over 20 years. She discharged her duties with remarkable intelligence, exceptional compassion, and profound insight into the beauties, the strengths, the ugliness, and the frailties of the human condition. She left an indelible mark on the Office and was, along with those faculty members who served as Ombudsman, responsible for its reputation for thoroughness, integrity, and impartiality.

The Office
The word “Ombudsman” is Swedish and means “representative.” It is not gender specific, although many universities are using the terms, “ombuds,” or “ombudsperson,” in an effort to make the word gender neutral. The modern ombudsman began in 1809, when the Swedish government created the office, although the idea for the office goes back as far as the Ottoman Empire in the 18th century. The ombudsman is an “official appointed to safeguard citizens’ rights by investigating complaints of injustice made against the government or its employees” (Philip’s Millennium Encyclopedia). Sweden and several other European countries appointed a relatively senior and respected official who would have access to all levels of government, from the prime minister, through the heads of ministries, to directors of lower-level administrative agencies, and could cut through red tape and work out resolutions of problems relatively expeditiously. Since the 1950s, many states, universities, and businesses have created ombudsman offices.

The University of Pennsylvania established the Office of University Ombudsman in 1971. It is staffed by the University Ombudsman (part-time), a tenured faculty member, and the Associate Ombudsman (full-time). Having responded with considerable insight, wisdom, and flexibility to the demands of members of the Penn community in the late 1960s, the administration sought to create an innovative way of addressing their complaints of unfairness or failure to follow university policies and procedures. Penn’s Ombudsman has direct access to all levels of the university administration from the President and the Provost through the Deans, Vice Presidents, chairs, professors, and directors, to all the other people on campus with responsibility for the work, educational, residential, and recreational environments of faculty, staff, and students.

The driving concept behind the office is that, if an individual believes that he or she has not been treated fairly and the regular procedures do not appear to be leading to an acceptable resolution, he or she can come to the Ombudsman and lay out the facts underlying the complaint. The Ombudsman can help the complainant clarify his or her goals, discuss possible avenues that might be available for resolving the issue, and map out appropriate strategies. With the complainant’s authorization, the Ombudsman will undertake an independent investigation of the matter in order to develop an objective, impartial understanding of exactly what had happened, and then propose some method of resolving the dispute. The Ombudsman has no power to order any individual to take a given action: He or she relies on a clear exposition of the facts and the competing considerations underlying each side’s position as the basis for working out a satisfactory solution.

Consulting the Ombudsman
All members of the University community—faculty, staff, graduate and undergraduate students and alumni—may avail themselves of the services of the Ombudsman, except for employees of the Hospital of the University of Pennsylvania and members of a labor union, who have their own grievance procedures. The office is located in the Duhring Wing of the Fisher Fine Arts Library on 34th Street, just north of the Irvine Auditorium. During the first meeting with the prospective complainant, we explain the purpose of the office and the procedures we follow, emphasizing that the discussion will remain confidential if the complainant so wishes (unless the discussions reveal possible criminal conduct or a threat of imminent danger to an individual), and then seek to understand the nature of the dispute as fully as possible. The discussion may end there with a consideration of what remedies may be available to the complaint. However, if the complainant wishes to proceed with an investigation, we will meet with the other people involved in the controversy to get as complete an understanding as possible of the facts of the situation and the University policies that govern them, and then meet with the complainant to decide on the next steps to be taken.

Most Frequently Raised Issues; Types of Complainants

The data summarizing the types of cases and classes of complaints for the last three years appear in the tables accompanying this report. A few comments are in order. The distributions of both the types of complaints and the classes of complainants have held fairly stable over the last three years.

**Issues Raised:** Approximate Percentage of Total

<table>
<thead>
<tr>
<th>Issue</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employment Procedures</td>
<td>3%</td>
</tr>
<tr>
<td>Improper Procedures</td>
<td>19%</td>
</tr>
<tr>
<td>Academic Procedures</td>
<td>13%</td>
</tr>
<tr>
<td>Academic Integrity</td>
<td>5%</td>
</tr>
<tr>
<td>Academic Issues</td>
<td>4%</td>
</tr>
<tr>
<td>Collections</td>
<td>3%</td>
</tr>
<tr>
<td>Benefits</td>
<td>2%</td>
</tr>
<tr>
<td>Discrimination</td>
<td>1%</td>
</tr>
<tr>
<td>Promotion</td>
<td>1%</td>
</tr>
<tr>
<td>Student Services</td>
<td>1%</td>
</tr>
<tr>
<td>Miscellaneous</td>
<td>14%</td>
</tr>
</tbody>
</table>

**Complainants:** Approximate Percentage of Total

<table>
<thead>
<tr>
<th>Class</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>A-1 Employees</td>
<td>27%</td>
</tr>
<tr>
<td>Graduate Students</td>
<td>17%</td>
</tr>
<tr>
<td>A-2 Employees</td>
<td>13%</td>
</tr>
<tr>
<td>Undergraduates</td>
<td>11%</td>
</tr>
<tr>
<td>A-3 Employees</td>
<td>10%</td>
</tr>
<tr>
<td>Post-docs</td>
<td>2%</td>
</tr>
<tr>
<td>Other</td>
<td>20%</td>
</tr>
</tbody>
</table>

These general distributions and the broad categories in the tables that accompany this report mask the variety and degrees of complexity that characterize individual cases. As for the task of detecting trends in types of cases, it presents two problems. First, the fact that there is a change in the number of cases of a certain type coming to the Ombudsman’s Office in one year as compared to prior years does not prove that there is a trend in the cases coming to the Office. The difference may be simply a random variation. Second, the fact that the Ombudsman’s Office observes a detectable trend in the types of complaints that are brought to it does not mean that there is a similar trend across the University as a whole. There are many offices across the University that deal with similar kinds of cases so that the variation might be attributable to the paths that complainants follow rather than the absolute number of conflicts.

A review of the data over the last decade indicates that there have been no significant changes in the broad distribution of types of cases during that period. With some annual variation, the percentages have been roughly the same as shown in the above tables. I think it is worth mentioning that discrimination cases have constituted only about 1% of the total case-load in the last three years, probably because other offices, such as the Office of Affirmative Action and Equal Opportunity, are the primary actors in the area. Also, fewer students have come to the Ombudsman’s Office than was the case more than ten years ago. I surmise that the University has instituted more effective advising procedures so that there are fewer conflicts between students and their professors, and the word has gotten out that the Office does not handle grade disputes, only complaints about unfair or unannounced procedures.

Employment termination decisions present particularly difficult and poignant situations. Last year, we dealt with a number of them. On the one hand, the supervisor believes that the employee has not performed well or, if a faculty member is involved, that he or she has not met the requirements for reappointment or promotion. On the other hand, the employee or faculty member may see the termination as being based on an unfair evaluation of his or her work or in retaliation for actions taken by the individual. Often the facts are complex and the explanations, contradictory, or the controversy involves judgments of adequacy of performance or of academic quality that are beyond the scope of the Ombudsman’s jurisdiction. Also, once relationships have deteriorated to the point where the
supervisor has determined that the employment should end, it is usually impossible to re-establish a working relationship, so that a transfer is the only alternative to termination. One thing is certain: the decision is devastating for the individual and often disruptive to the school or division in which he or she has been working.

In the case of employees, these experiences demonstrate the importance of supervisors’ making careful annual performance evaluations (set out in Human Resource Division Policy #619) and observing both the letter and the spirit of the University’s progressive disciplinary procedures (set out in Human Resource Division Policy #621). They allow the supervisor and employee to interact with each other and should both encourage better performance and forestall inappropriate terminations. In the case of faculty members, these experiences reconfirm the importance of thoughtful mentoring of junior faculty by senior faculty and department heads.

The Ombudsman’s primary responsibility is to work with complainants and respondents to achieve satisfactory resolutions to the disputes that exist between them. A secondary responsibility is to identify systemic issues, spot developing trends, and note recurring problems that become apparent in the course of the Office’s investigations, and to recommend innovative or revised policies to address them. Some of these trouble spots may exist in a particular school, administrative division or office. In such cases the Ombudsman may consult with the dean, the division director or the office supervisor. Others may be more broadly based and reflect widely spread attitudes or types of behavior. Here the Ombudsman may consult with the President or the Provost.

There is a potential for conflict between these two objectives. Identifying endemic problems in a school or an administrative division may complicate rather than improve the relationship between the Ombudsman and the Dean or the director of the division, a situation that may make it more difficult to resolve a specific current dispute or disputes that might develop in the future. Also, if the Ombudsman is perceived as being too closely allied with the central or school administrations, because he or she is becoming involved in proposing new University policies, it may jeopardize his or her independence — and, what’s more, the appearance of independence — that is so crucial to the effectiveness of the Office. With careful attention to these issues, however, these negative impacts can be avoided.

**Informal and Formal Dispute Resolution Procedures at the University of Pennsylvania**

Over the years, the University has developed a complex system of informal methods of resolving disputes, procedures that are designed first, to determine the facts underlying a particular dispute and, second, to apply University norms and policies to these facts to resolve the dispute. Taken together with the more formal quasi-judicial procedures, such as those for imposing sanctions on faculty, the Faculty Grievance Procedure, the Senate and School Committees on Academic Freedom and Responsibility, the Procedure Regarding Misconduct in Research by Faculty and Academic Support Staff, the Staff Grievance Procedure, and the formal procedures specified by the Charter of the University’s Student Disciplinary System for violations of the Code of Academic Integrity and the Code of Student Conduct, these methods and the administrative divisions, committees, and commissions that administer them, constitute the judicial function of the University.

The University Ombudsman’s Office is one of the places where people who believe they are not receiving fair or proper treatment or who are concerned about the educational, residential, or work environment in which they find themselves can go to get advice as to what options are available to them and to learn about what strategies they may pursue to deal with the issues that confront them. The other major offices where informal resolution of disputes may occur include the Office of Affirmative Action and Equal Opportunity Programs, the Division of Human Resources’ Workplace Issue Resolution Program, the Office of Student Disabilities Services, the University Mediation Program for violations of the Code of Student Conduct, the University Life Division in the Vice Provost for University Life’s Office, the Counseling and Psychological Service, the Office of the University Chaplain, the Division of Public Safety’s Office of Special Services, and the various dispute resolution procedures of schools and academic departments.

This is not the place to explore in any detail the structure, methods of operation, and effectiveness of these dispute resolution procedures. They were last revisely in 1982-83, when the Commission on Judicial Procedures, appointed by President Sheldon Hackney in May 1982, conducted a comprehensive review and evaluation of the University’s judicial system. A summary of the Commission’s Final Report appeared in *Almanac* December 6, 1983, and a full copy of the report is available in the Van Pelt-Dietrich Library. The various components of the University’s Judicial System will be the subject of a later report from the Ombudsman.

### Three Years’ Experience in the Ombudsman’s Office: 2004-2007

<table>
<thead>
<tr>
<th>Types of Complainants</th>
<th>2004-05</th>
<th>2005-06</th>
<th>2006-07</th>
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<tr>
<td>A-1 Personnel (monthly-paid)</td>
<td>67</td>
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<td>A-3 Personnel (weekly-paid)</td>
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<td>A-2 Personnel (Faculty)</td>
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<tr>
<td>Others</td>
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<td>A-5 Personnel (weekly-paid)</td>
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<tr>
<td>Alumni/ae</td>
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<td>6</td>
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<tr>
<td>Post-doctorates</td>
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<tr>
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<td>197</td>
<td>192</td>
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<table>
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<th>2005-06</th>
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<td>12</td>
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<tr>
<td>Academic Procedures</td>
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<td>Academic Problems</td>
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<tr>
<td>Benefits</td>
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<td>6</td>
<td>4</td>
<td></td>
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<tr>
<td>Collections/Financial Services</td>
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<td>6</td>
<td>5</td>
<td></td>
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<td>Sexual Harassment</td>
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<td>Discrimination</td>
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<td>2</td>
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<tr>
<td>Facilities</td>
<td>4</td>
<td>0</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>219</td>
<td>197</td>
<td>192</td>
<td></td>
</tr>
</tbody>
</table>
Recognizes the school by activities.

must accompany their young guests to all ac

8. A full list of activities, as well as instructions

Sons to Work Day will begin on Tuesday, April

nity to bring children ages 9–15 to Penn's cam

will take place on Thursday, April 24. This an

Open Enrollment: April 7–18

With Open Enrollment coming up on April

Open Enrollment and Health Fair: April 8 in Hous

You can also get answers to your questions about healthcare benefits in person at the Open Enrollment and Health Fair on April 8 in Hous-

Plus, don’t miss the chance to receive free health screenings and wellness information on a variety of topics, including:

Blood pressure
Blood glucose*
Cholesterol* 
Vision and glaucoma
Body Mass Index
Recreation and fitness
Women’s health
Diabetes and weight management
Cancer prevention
Environmental health and ergonomics
Occupational and physical therapy
Vaccinations
Oral and dental care
Smoking cessation
Health risk assessments*

*Pre-registration is required for the cholesterol and blood glucose tests, which are performed to-gether. To pre-register, visit Human Resources’ on-line course catalog at www.hr.upenn.edu (click on “Course Catalog” at the top of the screen, then select “Health Promotions” from the “Browse by Category” menu).

Take Our Daughters and Sons to Work Day: Registration Coming

Take Our Daughters and Sons to Work Day will take place on Thursday, April 24. This an-
nual event gives faculty and staff the opportu-
nity to bring children ages 9–15 to Penn’s cam-
pus, where they can enjoy a wide variety of ac-
tivities. Registration for Take Our Daughters and Sons to Work Day will begin on Tuesday, April 8. A full list of activities, as well as instructions on how to register, will be printed in Almanac and available on the Human Resources website (www.hr.upenn.edu) on April 8. Please note that participants must have supervisory approval and must accompany their young guests to all ac-
tivities.

—Division of Human Resources

The Spirit of Uganda at Annenberg

Penn Presents the stirring and inspirational Spirit of Uganda—the public face of Empower Af-

rican Children—April 3 in the Zellerbach Theatre at the Annenberg Center, at 7:30 p.m. This group of young people, the Spirit of Uganda, is a profes-
sional training and touring program that presents riveting performances of music and dance. Their international tours raise visibility for the problems faced by many African children—as well as funds to help them. Under the direction of artistic direc-
tor Peter Kasule, 22 of Empower African Children’s young performers share the histories, legends and beliefs of East Africa and introduce new, dynamic music and dance forms. In conjunction with this, Penn Presents an Experience It Live! Dinner and Lecture Series in the Center’s lobby, at 5:30 p.m. preceding the performance. There will be a catered buffet dinner with East African fare, and a lecture, The Spirit of Hope: How Africa Fights AIDS by Spirit of Uganda’s Artistic Director Peter Kasule.

For tickets: Go to the Box Office, call (215) 898-3900, or go online at www.pennpresents.org.

Support Our Events

Penn’s watching … The Story of Stuff with Annie Leonard. It’s interactive and you can watch it too at www.storyofstuff.com

Ongoing Events: Free Coffee Fridays! Bring your own reusable mug to Houston Market and Einstein Bros. Bagels!

We’re in the second half of RecycleMania, so … let’s keep building on our success! Penn’s RecycleMania website (www.upenn.edu/recycle-

cleanmania) has lots of tips! If you have specific questions about how your school, center, Col-

ge House or department recycles send them to recylemania@pobox.upenn.edu.

When we stop to think about the environment, everyone wins so remember: Stop! Think! Recycle! —RecycleMania Planning Committee

One Step Ahead

Security & Privacy

Made Simple

Another tip in a series provided by the Offices of Information Systems & Computing and Audit, Compliance & Privacy.

Converting SSN to PennID

Do you currently use Social Security Number (SSN) to identify people in your IT systems or in personnel procedures? Did you know there is a tool available to help you switch from SSN to PennID? Using PennID as the identifier ensures that SSNs will not be stolen and used to commit identity theft. The 8-digit PennID number is a unique identifier for individuals associated with the University or the Health System. It can therefore replace the SSN as a key in databases, or to uniquely identify an individual in e-mails or phone conversations. Using PennID can eliminate the need to encrypt data, ease report handling, and improve the security and privacy of communication between administrative offices.

The Penn ConvertID application converts SSNs to PennIDs. There are two options: direct lookup of a single PennID using certain data, and a batch tool for converting entire files with SSNs to use PennID instead. Usage is strictly monitored to ensure the highest standards of security and privacy, and lockout safeguards are built in to prevent misuse of the application. ISC Data Administration directly monitors results of batch conversion requests, forwards results to requesters, investigates lockouts, and is available for support and any questions.

For further information on the ConvertID application, contact Data Administration at penncommda@isc.upenn.edu or the Office of Audit, Compliance, and Pri-

vacy at (215) 573-4492. The form to re-
quest access to the ConvertID application is available at www.upenn.edu/computing/ group/penncommunity/authorization/doc-
uments/convert_id_access_form.doc.

Receive weekly One Step Ahead tips via e-mail, send e-mail to listserv@lists.upenn.

For additional tips, see the One Step Ahead link on the Information Security website: www.upenn.edu/computing/security/.
Update
April AT PENN

ON STAGE

The Unreald World; 8 p.m.; Dunlop Auditorium, Stemmler Hall; tickets: http://dolphin.upenn.edu/%7Epchants/(Pennchants). Also April 5.

Tape; 8 p.m.; Class of ’49 Auditorium, Houston Row Hall; $10, $8/PennCard (Front Row Theater Company). Also April 4, 9 p.m. & April 5, 8 p.m.

4 MTV: Masala Television; 7 p.m.; Irvine Auditorium; tickets: www.pennmasala.com (Penn Masala).
The Glorious Birth of Ticklefritz and Joker-smith; 8 p.m.; Harrison Auditorium, University Museum; $12 (Off The Beat). Through April 5.

Alice in Funk Land; Iron Gate Theater; $10/door, $8/Locust Walk (Strictly Funk). Through April 5.

First Campus-Wide Test of the UPennAlert Emergency Notification System

The University of Pennsylvania conducted its first campus-wide test of the UPennAlert Emergency Notification System on February 29, 2008. UPennAlert messages were sent to recipients in two separate tests: one via voice message to work phones, and one via text, e-mail, and voice message to cell phones.

Results of the campus-wide test indicate that UPennAlert messages were sent to a total of 94,746 recipients, with some recipients receiving the message on more than one device.

The message was sent to:

- 12,659 recipients via voice message to work phones
- 58,714 recipients via e-mail
- 20,396 recipients via text message
- 15,686 recipients via voice message to cell phones

The test enabled the Division of Public Safety (DPS) and Information Systems & Computing (ISC) to proactively evaluate the effectiveness of the system’s infrastructure and identify potential system limitations. An important goal of the test was also to provide members of the Penn community the opportunity to experience UPennAlert in a non-crisis situation so they know what to expect should the alert be employed during an actual major emergency.

UPennAlert was implemented in August of 2007 and is an integral part of Penn’s emergency preparedness plan. The system is designed to enable fast and efficient dissemination of critical information to members of the University community during a major emergency. For this reason, it is critical for faculty and staff to maintain accurate contact information, and especially to add their cell phone numbers in the Penn Directory so that University officials can communicate with members of the community whenever they happen to be during a crisis.

Faculty and staff can update their contact information by accessing the Penn Directories via www.upenn.edu/directories, and logging in with their PennKey to ‘Update Directory Listings.’

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 March 17-23, 2008. Also reported were 23 crimes against property (including 15 thefts, 4 burglaries, 2 cases of fraud and 2 acts of vandalism). Full reports are available at: www.upenn.edu/almanac/volumes/54/html/repport.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 March 17-23, 2008. The University Police actively patrol from Market Street to Baltimore Avenue and from the Schuylkill River to 43rd Street in conjunction with the Philadelphia Police. In this effort to provide you with a thorough and accurate report on public safety concerns, we hope that your increased awareness will lessen the opportunity for crime. For any concerns or suggestions regarding this report, please call the Division of Public Safety at (215) 898-4482.

18th District Report

6 incidents with no arrests (including 3 aggravated assaults, 2 robberies and 1 confidential incident) were reported between March 17-23, 2008 by the 18th District covering the Schuylkill River to 49th St. & Market St. to Woodland Ave.

03/17/08 6:22 PM 3900 Spruce St Aggravated Assault
03/17/08 8:37 PM 4834 Spruce St Aggravated Assault
03/20/08 12:45 AM 300 Hanson St Robbery
03/20/08 7:17 PM 5143 Baltimore Ave Aggravated Assault
03/20/08 7:28 PM 4500 Spruce St Confidential
03/21/08 3:50 AM 4000 Baltimore Ave Robbery

Through April 5.

Chord On Blues Spring Show; 7 p.m.; Class of ’49 Auditorium, Houston Row Hall; information: www.chordonblues.net (Chord on Blues).

Sparks Dance Company Spring Show; Iron Gate Theater; tickets: www.sparkdancecompany.com (Sparks Dance Company). Through April 5.

TALKS

3 “Beyond Beyond”. Who’s Afraid of Poetry?; a round table discussion about poetry; 5 p.m.; rm. 543, Williams Hall (Center for Italian Studies).

9 Bang for your Buck: Public Child Welfare and the Pursuit of Accountability; Fred Wulczyn, University of Chicago; 8:30 a.m.; Penn Law School (Field Center for Children’s Policy, Practice and Research).

Deadlines: Submissions for the Update are due every Monday for the following Tuesday’s issue. The deadline for the May AT PENN is Tuesday, April 15. For information see www.upenn.edu/almanac/calendar/caldead-real.html.

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 interm information may be posted in electronic-only form. Guidelines for readers and contributors are available on request and online.

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The University of Pennsylvania values diversity and seeks talented students, faculty and staff from all backgrounds. The Univer-
sity of Pennsylvania does not discriminate on the basis of race, sex, sexual orientation, gender identity, religion, color, national or ethnic origin, age, disability, or status as a Vietnam Era Veteran or disabled veteran in the administration of educational programs, policies or activities; admissions policies; scholarship and loan awards; athletic, or other University administered programs or em-
ployment. Questions or complaints regarding this policy should be directed to the Executive Director, Office of Affirmative Action, 3600 Chestnut Street, 2nd floor, Philadelphia, PA 19104-6106 or (215) 898-6993 (Voice) or (215) 898-7803 (TDD).

www.upenn.edu/almanac 7
In March of 2006, Penn’s leadership announced the Principles of Responsible Conduct to promote the highest standards of integrity and ethics at Penn. To reach those employees who have joined Penn during the last two years and to remind the Penn community overall of the basic expectations that should guide our work at Penn, the leadership message and the Principles of Responsible Conduct are re-published below. See the Principles of Responsible Conduct link on the Office of Audit, Compliance and Privacy website at www.upenn.edu/audit/oacp_principles.htm. Beneath each of the ten Principles is a web link containing useful references to specific supporting policies, statements and guidelines.

Principles of Responsible Conduct—A Reminder to the Penn Community

The mission of the University of Pennsylvania and its Health System is to offer a world-class education to our students, train future leaders of our country, expand and advance research and knowledge, serve our community and society both at home and abroad, and provide the most expert and outstanding health care for our patients. In pursuing this mission, and to ensure the continued excellence of the University and its reputation, all members of the University community need to understand and uphold both legal requirements and the highest of ethical standards.

In the following Principles of Responsible Conduct, we articulate the basic expectations that should guide each of us in our work at Penn. These Principles are embedded within many policies and practices identified throughout University and Health System handbooks, manuals, web-sites and other materials. We have endeavored to distill these policies, rules, and guidelines for easy review and access. The Principles are not intended to be a comprehensive catalogue of all applicable rules and policies of the University and the Health System. Rather, these Principles set forth the underlying expectations that we have for the conduct of University and Health System activities with the highest standards of integrity and ethics. Web links to relevant policies and resources are included. We urge you to read these Principles closely and familiarize yourself with both the expectations and the resources provided.

—Amy Gutmann, President
—Ron Daniels, Provost
—Craig Carnaroli, Executive Vice President
—Arthur Rubenstein, Executive Vice President for the Health System

1. Ethical and Responsible Conduct.
Penn’s faculty, administration and staff should conduct themselves ethically, with the highest integrity, in compliance with all applicable laws, regulations, and University policies, in all aspects of their work. They should be fair and principled in University and Health System business transactions and other related professional activities, acting in good faith when dealing with both internal constituents and external entities. Their conduct should always reflect their positions of trust and loyalty with respect to the University, the Health System, and members of these communities.

http://www.upenn.edu/audit/oacp_principles1.htm

2. Respect for Others in the Workplace.
Penn recognizes that people are the most important resource for achieving eminence in accomplishing our mission in the areas of teaching, research, community service, and patient care. Penn is an institution that values academic freedom, diversity and respect for one another. Penn is committed to the principle of non-discrimination and does not tolerate conduct that constitutes harassment on any basis, including sexual, racial, ethnic, religious, or gender harassment.

http://www.upenn.edu/audit/oacp_principles2.htm

3. Avoidance of Conflict of Interest.
As more fully stated in Penn’s conflict of interest policies, Penn’s faculty, administration and staff should avoid conflicts of interest in work at Penn. As a non-profit institution, it is imperative, for both legal and ethical reasons that University and Health System employees do not improperly benefit from their positions of trust at Penn. Financial conflicts must be appropriately disclosed in accordance with conflict of interest and conflict of commitment policies, so that they can be reviewed, and as appropriate, managed or eliminated. Faculty, administrators and staff are responsible for identifying potential conflicts and seeking appropriate guidance.

http://www.upenn.edu/audit/oacp_principles3.htm

4. Responsible Conduct in Research.
As members of a complex research university, Penn faculty, administrators and staff have significant responsibility to ensure that research is conducted with the highest integrity, and in compliance with federal, state, and local laws and regulations, as well as University and Health System policies.

http://www.upenn.edu/audit/oacp_principles4.htm

5. Responsible Stewardship and Use of Penn Property, Funds, and Technology.
Penn faculty, administration and staff are expected to ensure that Penn property, funds and technology are used appropriately to benefit the institution, consistent with all legal requirements as well as University and Health System policies.

http://www.upenn.edu/audit/oacp_principles5.htm

Penn is committed to the protection of the health and safety of the university community and the creation of a safe working environment. To accomplish this end, Penn provides training in health and safety regulation and policy and Penn faculty, administration, and staff are expected to comply with sound practices and legal requirements.

http://www.upenn.edu/audit/oacp_principles6.htm

7. Respect for Privacy and Confidentiality.
In their various roles and positions at Penn, faculty, administration and staff become aware of confidential information of many different types. Such information may relate to students, employees, faculty, staff, alumni, donors, research sponsors, licensing partners, patients, and others. Penn faculty, administration and staff are expected to inform themselves about applicable legal, contractual, and policy obligations to maintain the confidentiality of such information, so as to protect it from improper disclosure, and to protect the privacy interests of members of our community.

http://www.upenn.edu/audit/oacp_principles7.htm

8. Appropriate Conduct with Respect to Gifts, Travel and Entertainment.
Penn faculty, administration and staff are expected to conduct themselves so as to ensure that their positions are not misconstrued for private gain, with respect to acceptance of gifts and the undertaking of University-related travel and entertainment.

http://www.upenn.edu/audit/oacp_principles8.htm

9. Appropriate Use of the University Name and Logos.
Penn regulates the use of its name, its shield, and related trademarks and logos in order to protect the University’s reputation, and to ensure that their use is related to the University’s educational, research, community service, and patient care missions. Faculty, administration and staff are expected to protect the University name and logos from improper use.

http://www.upenn.edu/audit/oacp_principles9.htm

10. Responsible Reporting of Suspected Violations and Institutional Response.
Penn faculty, administration and staff are expected to report suspected material violations of University and Health System policies, as well as violations of applicable laws and regulations, to appropriate offices, as set forth in the various policies. Penn faculty, administration and staff may be subject to discipline in accordance with the policies.

http://www.upenn.edu/audit/oacp_principles10.htm

The Office of Institutional Compliance is available to present a training and awareness program on the Principles of Responsible Conduct to Penn employees. In addition, printed versions of the Principles of Responsible Conduct are available for Penn employees. If you are interested in obtaining the brochure or scheduling a presentation, contact Linda E. Yoder, assistant compliance officer, at (215) 573-3347 or at leyoder@upenn.edu.