

BEFORE THE
NATIONAL LABOR RELATIONS BOARD

In the Matter of:

THE TRUSTEES OF THE UNIVERSITY
OF PENNSYLVANIA,

Respondent,

and

GRADUATE EMPLOYEES TOGETHER-
UNIVERSITY OF PENNSYLVANIA
(GET-UP) A/W AMERICAN
FEDERATION OF TEACHERS,
PETITIONER,

Petitioner.

Case No. 4-RC-199609

The above-entitled matter came on for hearing pursuant to Notice, before Hearing Officer, Mary Leach, at the National Labor Relations Board, Region 4, One Independence Hall, 615 Chestnut Street, 7th Floor, Philadelphia, Pennsylvania 19106, in Courtroom 3, on Friday, June 16th, 2017, at 10:00 a.m.

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A P P E A R A N C E S

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	<u>WITNESS</u>	<u>DIRECT</u>	<u>CROSS</u>	<u>REDIRECT</u>	<u>RECROSS</u>	<u>VOIR DIRE</u>
1						
2						
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4						
5	Kelly Jordan-Sciutto	427	495	548	552	--
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7	Eric Bradlow	564	615	--	--	--
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1	<u>E X H I B I T S</u>		
2	EXHIBITS	IDENTIFIED	RECEIVED
3	RESPONDENT'S/EMPLOYER'S:		
4	E-11	442	448
5	E-12	449	450
6	E-13	466	478
7	E-14	479	483
8	E-15	480	483
9	E-16	484	487
10	E-17	488	493
11	E-18	603	608
12	E-19	610	615
13	PETITIONER'S/UNION'S:		
14	U-28	519	519
15	U-29	519	524
16	U-30	532	544
17	U-31	646	649
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1 P R O C E E D I N G S

2 (Time Noted: 10:03 a.m.)

3 HEARING OFFICER LEACH: Okay. The Employer can call their
4 next witness, please.

5 MR. JOHNS: We call Dr. Kelly Jordan-Sciutto.

6 HEARING OFFICER LEACH: Good morning.

7 MS. JORDAN-SCIUTTO: Good morning.

8 HEARING OFFICER LEACH: How are you?

9 MS. JORDAN-SCIUTTO: Good.

10 HEARING OFFICER LEACH: Can you please say and spell your
11 first and last name.

12 MS. JORDAN-SCIUTTO: My name is Kelly Jordan-Sciutto,
13 K-E-L-L-Y J-O-R-D-A-N-hyphen-S-C-I-U-T-T-O.

14 (Whereupon,

15 KELLY JORDAN-SCIUTTO,
16 was called as a witness by and on behalf of the Employer, and
17 after having been duly sworn was examined and testified as
18 follows:)

19 HEARING OFFICER LEACH: Okay. Thank you. Great.

20 Um-hum.

21 DIRECT EXAMINATION

22 BY MR. JOHNS:

23 Q Good morning, Dr. Jordan-Sciutto.

24 A Good morning.

25 Q By whom are you employed?

1 A I'm employed by the University of Pennsylvania.

2 Q And what positions do you hold at the University of
3 Pennsylvania?

4 A I am the associate dean for graduate education, and the
5 director of biomedical graduate studies at the Perelman School
6 of Medicine. I'm also the Chair and Professor of Pathology at
7 the School of Dental Medicine at the University of
8 Pennsylvania.

9 Q All right. And you said dental medicine?

10 A Dental medicine, yes.

11 Q Can you generally describe your job duties as a faculty
12 member in the dental school?

13 A Sure. In the dental school, I run a research lab. That
14 research lab is funded by extramural sources from the NIH and
15 there I employ technicians; I have graduate students; I have
16 postdocs. I also have a wall on the teaching mission of that
17 school. I'm teaching the professional students, the dental
18 students, who -- and those duties have recently been sort of
19 decreased to accommodate the other role that I've taken on in
20 medicine.

21 Q Okay. And let's talk about that other role. What are
22 your duties with respect to the program of biomedical graduate
23 studies?

24 A So I'm the major overseer of that program. I have a
25 direct report to both the Executive Vice Dean for Research and

1 to Beth Winkelstein, our Vice Provost for Research at the
2 university in which we oversee the educational mission of our
3 biomedical graduate students. So this includes their
4 admissions, their curriculum. Ensuring that they find research
5 labs, and then overseeing in general their educational
6 processes, that they have thesis committees.

7 And I oversee the programs that run more of the minutia,
8 which is making sure that they, you know, get through and have
9 productive PhDs that meet a standard, an academic standard
10 that's consistent with the University of Pennsylvania.

11 Q Okay. I'm going to take you to a more basic level just so
12 we have a record that's clear.

13 A Okay.

14 Q A lot of us have been talking throughout this, been using
15 the term BGS; what does that mean? Is that a program of
16 biomedical graduate studies at the University of Pennsylvania?

17 A Yeah. So BGS is the collection of graduate programs,
18 through the biomedical graduate studies. So this is sort of an
19 umbrella program under which there are seven graduate programs,
20 these graduate programs have specific scientific focus, but
21 many of them have overlapping interests, in that, you know, I
22 myself am in four of the graduate programs because the
23 approaches that we use in our laboratory are process -- that's
24 just necessary in today's scientific arena to do the best
25 research.

1 Q Okay. So let's talk about BGS then a little bit. Can you
2 tell us why the BGS program was created?

3 A So the BGS was -- so, originally, there were a number of
4 graduate programs throughout Penn, and these graduate programs
5 are built out of a desire for faculty to train the next
6 generation of scientists. So we have a -- our faculty who'll
7 participate in these graduate programs before the creation of
8 BGS 32 years ago, were already doing this in some shape or form
9 in these various disciplines across the school.

10 In about 32 years ago, we realized that the nature of
11 biomedical education was becoming: (1) more disciplinary; and
12 (2) having all of these programs was difficult to sort of make
13 sure that they were all meeting the same standards.

14 And so the BGS was created as a means to sort of make sure
15 that there was a standard form of educational mission,
16 educational goals across all of the different programs. It
17 also obviously facilitates the common resources, especially for
18 the interdisciplinary approaches that we can use. It creates a
19 sense of community among our graduate students, so that our
20 graduate students all know me because they spend time in
21 courses together.

22 Q So I want to do some terminology. We're talking about
23 programs. Is BGS a school within the University of
24 Pennsylvania or is it a program? And what's the difference?

25 A So it's a program within the School of Medicine. So, the

1 School of Medicine has a mission that is as a School of
2 Medicine, we're trained next generation of medical doctors. So
3 these are the people who get MDs, as most of us think of a
4 doctor. They also will train residents, and fellows, and
5 follow that.

6 But the other part which has grown out of this desire from
7 the faculty to train the next generation of scientists is BGS.
8 So we are a program that trains and is focused on training the
9 next generation of scientists.

10 Q And are there different graduate groups that are located
11 within the BGS program?

12 A Yes. There are seven graduate groups within our program.
13 There is a neuroscience, pharmacology, cell and molecular
14 biology, biochemistry and molecular biophysics, epidemiology
15 and biostatistics -- which is one, that's all one, those two --
16 immunology, and genomics and computational biology.

17 Q I'd like to get from you a sense -- and I can go through
18 and ask you one by one -- but I want to get a sense of the
19 program study, what students are studying within those
20 different graduate groups. So why don't you start with cell
21 and molecular biology.

22 A Sure. So cell and molecular biology is a program that has
23 -- it's probably our most complex program, because it has six
24 sub programs within that program. All of those programs use
25 cellular and molecular tools to address biomedical questions.

1 So these questions can be around something like infectious
2 diseases, and that would be addressed, learned about, and sort
3 of pursued in our microbiology, virology and parasitology
4 program.

5 Or we have some that would be more interested in how we
6 develop as an organism, and so that would be in our development
7 biology sub program. And so, ultimately the questions that the
8 students ask vary based on that sort of sub program. So they
9 might be interested in development, infectious diseases, gene
10 regulations, so how we regulate the expression of genes.

11 How we -- I'm sorry, I'm missing three of them, I'm going
12 to -- cell physiology, metabolism, this focuses on sort of
13 complex ways in which we deal with say nutrition or things that
14 we eat. It also is how cells work, so it really gets at that
15 sort of physiologic rule of how cells function. And a classic
16 example that may resonate with people is understanding diabetes
17 and how people -- how that affects different cells within the
18 body.

19 Q So within this BGS, do you have faculty members that are
20 affiliated with the graduate groups?

21 A So within BGS, there are faculty can be -- there are
22 faculty associated with each of the different graduate
23 programs. You can be associated with multiple graduate
24 programs. I'm associated with four of those seven graduate
25 programs.

1 Q Which four are you associated with?

2 A The pharmacology graduate group, the neuroscience graduate
3 group, cell and molecular biology. And I'm in three of the sub
4 programs: in cell and molecular biology, and biochemistry, and
5 molecular biophysics.

6 Q Within the cell and molecular biology group that you
7 described already, are there faculty with affiliations with
8 that group beyond medical school?

9 A Absolutely. So there are --

10 Q Give us some examples.

11 A Yeah. So there are about seven -- and BGS as a whole, if
12 I can talk about --

13 Q Yeah, talk about BGS as a whole --

14 A -- 75 percent of the faculty are from -- are primary
15 appointments are in the School of Medicine, but 25 percent of
16 the faculty in BGS come from six other schools, including
17 Wharton; the dental school, that where I, myself, am from; the
18 Veterinary School; the School of Nursing; the School of
19 Engineering; and Wharton.

20 Q How about the School of Arts and Sciences?

21 A And the School of Arts and Sciences; absolutely.

22 Q And within arts and sciences, are there any particular
23 graduate groups there from which BGS draws faculty members?

24 A Certainly: biology, chemistry, physics, psychology -- we
25 have a large component of our faculty there in psychology.

1 There are also, I mean even though those are the classic ones
2 that we think of, we have faculty that come from programs that
3 would not be traditionally thought of as being part of a
4 biomedical program.

5 As you can imagine, with a large medical school on our
6 campus, it makes sense to understand the history of medicine,
7 to understand how medicine affects the public, how it affects
8 health, how it affects health decisions. So there are a
9 faculty across all of the disciplines within our program,
10 because it's relevant to what we do.

11 Q I think we stopped -- or started with cell --

12 A Yeah.

13 Q -- and molecular biology.

14 A Sure.

15 Q Can you just give us a little bit on immunology?

16 A So immunology is focused on understanding how we protect
17 ourselves against external pathogens, but also how we have that
18 go awry in terms of causing autoimmune diseases or over-
19 inflammatory diseases.

20 Q Would you consider the immunology graduate group
21 interdisciplinary as well?

22 A Sure. Immunology faculty --

23 Q As well?

24 A -- yeah -- often are also part of the infectious disease
25 program. But immunology graduate -- now applies, you can

1 understand how the immune system affects the brain, so we have
2 faculty that cross neuroscience and immunology. You can
3 immunology, understanding how it affects, so even like
4 biochemistry and molecular biophysics, using those approaches,
5 understanding immunology, so there's almost -- you can think of
6 almost any variation.

7 And it is one of I think the strengths of our programs
8 that we can address any question from multiple disciplines. So
9 if you come and you get your degree in immunology, you can
10 still also have that strong microbiology knowledge to come out
11 of our program with.

12 Q Okay. How about neuroscience; tell us about that.

13 A So neuroscience is, by its nature, interdisciplinary. It
14 goes everything from using, you know, genes, all the way up to
15 behaviors and how those -- each of those levels -- that that's
16 how we think.

17 So this can be dysfunction. It can be understanding
18 normal behavior, normal decision-making. And again there, from
19 because of that, sort of strength we have everything from
20 people who use biochemical, molecular, and genetic approaches
21 all the way up to people who have patients who are coming in,
22 and studying MRI, and how their brain functions, and then maybe
23 linking that to a behavior.

24 Q Okay. How about pharmacology; tell us what that is.

25 A So pharmacology is an interesting graduate program,

1 because I think almost all of us use its tools almost
2 regardless of which program you're in. Pharmacology, the
3 coursework itself by its nature, lends itself to understanding
4 how you would get to therapeutic approaches.

5 So it really is aimed at giving our students the best
6 chance of being able to take what they learn and create
7 translational approaches. And what that means is that we're
8 looking for the ability to take something we discover as a
9 target for disease, and use that to create a treatment for
10 patients. So the translation is going from what we study in
11 the lab to being able to give something that affects how we
12 treat patients.

13 Q Biochemistry and molecular biophysics; can you tell us
14 about that.

15 A So, biochemistry and molecular biophysics is also similar
16 to pharmacology, in that it's a tool that many of us use in our
17 lab, which is why there is so much interdisciplinary approach,
18 but this really focuses on how molecules themselves are
19 structured, how they interact, and then how they in their long-
20 term lifespan or function affect how cells work.

21 Q Okay. And about genomics and computational biology.

22 A Genomics and computational biology is one of our newer
23 graduate programs. It takes large datasets that are generated
24 from how, you know, cells, or genes, or the genome is
25 functioning, and takes those datasets and applies computational

1 approaches. They take these incredibly large datasets and draw
2 conclusions about risks for disease or what genes are playing a
3 role in a specific process. So it allows us to really go
4 beyond what probably our brains are capable of processing, and
5 put it into that next level where we can -- the computer will
6 see connections that we are not able to see.

7 Q Okay. And then finally, how about epidemiology and
8 biostatistics?

9 A So, epidemiology and biostatistics are put together
10 because they use somewhat of the same mathematical modeling,
11 but they also have their own unique mathematical models. But
12 they are designed to understand either epidemiology, using
13 those approaches to understand how diseases or, you know,
14 tracking any sort of population-based changes.

15 Whereas biostatistic can be studying everything from using
16 statistics, understand how a cell -- the gene, genome
17 functions, so you can see it has an overlap with genomics and
18 computational biology, but all the way up to how, you know, we
19 as organisms interact in society.

20 Q So in your role as director of the BGS program, do you
21 essentially have some oversight function over the graduate
22 programs within all those different graduate groups?

23 A Yes.

24 Q Again, I just want to get a sense of the structure too.
25 In that role, to whom do you report?

1 A In that role, I report directly the Executive Vice Dean
2 for Research at the School of Medicine, which is John Epstein.
3 He is in charge of our research mission at the School of
4 Medicine. And so we have fallen under his portfolio. We do
5 not report to the Executive Vice Dean for Medicine, Medical
6 Education who is the other education person in their office.

7 I also report to the Executive Vice Provost for Education,
8 which is Beth Winkelstein.

9 Q Okay. And with respect to Beth Winkelstein, are you
10 familiar with something called the Grad Faculty Council?

11 A Yes. I'm a member of the Grad Faculty Council.

12 Q Can you tell us what it is.

13 A So the Grad Faculty Council is a group of associate deans
14 like myself across the schools that have graduate programs. We
15 convene once a month, and we discuss any issues that are facing
16 our students at that time.

17 We discuss best practices. We use that to modify the
18 handbook, so that we are having best practices in our
19 educational. But this is sort of at a very high level, so
20 we're talking about the things that are common to all of the
21 graduate programs.

22 And so those things like we have guidelines for all of the
23 different components of running our programs that are set at
24 that level. And within those conversations, we can talk about
25 things like, you know, how we form thesis committees? What are

1 the best practices and curriculum? We also talk a lot about
2 recruiting and admissions. So this is a place where we can
3 take what's going on in other arenas and sort of capture that
4 for ourselves or share it with our colleagues.

5 Q Who else sits on the Grad Faculty Council that you sit on
6 -- no, I'm not looking for names of people, I'm looking for
7 essentially positions.

8 A So in addition to the Grad -- I'll admit, I've only been
9 in this role since February, so I don't know everybody that's
10 there -- I know that Beth and her office is there. And I
11 probably know the names better than I know the people.

12 So there's an individual, Stacy Lopez -- and I don't know
13 her official title -- but her job is to understand outcomes for
14 our students and to do analyses of when students leave our
15 program, where they go, were they happy with our program? What
16 did they like, what didn't they like? What did they think
17 about our climate? Where did we go -- you know, where do they
18 go when they leave, and do they feel prepared for those
19 positions?

20 So that's a way of sort of -- so she does a lot of the
21 analysis of our courses, making sure that our courses are
22 meeting the national need such standards. Anita Mastroieni, I
23 forget what she oversees, but she's on the Council. And --

24 Q How about from the different schools within the
25 university, are there representatives from each of those

1 schools that are comparable to the position that you have?

2 A Oh, yes. Sorry. So all the schools that are there, are
3 all the ones who have associate deans. So, it's me, from the
4 School of Medicine, Engineering, Wharton, Design, Graduate
5 Studies in Education, Nursing, SP2.

6 Q Arts and sciences --

7 A Arts and sciences, Eve Trapell. And I think I'm missing
8 one other person.

9 Q How about the Annenberg School?

10 A The Annenberg School; yes.

11 Q Okay. And the Annenberg School is the Annenberg School
12 for Communication?

13 A Yeah.

14 Q Okay. And all representatives from all those schools sit
15 on that Grad Council which is chaired by Beth Winkelstein?

16 A Yes.

17 Q Does BGS have a description of its program?

18 A It has a description on the website. Oh, yes, and we have
19 our fund brochure.

20 Q While we're marking that, I think I can ask you another
21 question. Generally speaking, how many faculty are affiliated
22 with BGS?

23 A Somewhere in like 650 to 660, something like that. And do
24 I get to comment? These are my neurons.

25 (Laughing)

1 UNIDENTIFIED SPEAKER: Are you trying to refresh
2 her --

3 BY MR. JOHNS:

4 Q I was going to actually ask you that. It's colorful. I'm
5 showing you a document before we get to that --

6 A Yes.

7 Q -- that's to be marked as Exhibit E-11. Can you first
8 just tell us what this document is.

9 A So this is a description of the overarching biomedical
10 graduate studies program, and all of the programs that fall --
11 of the biomedical graduate studies and all the programs that
12 fall underneath our umbrella.

13 So, it's all of those seven graduate groups that I have
14 discussed earlier. We use this as a means to communicate to
15 individuals either that we're recruiting as faculty or to
16 students that we're recruiting to our program.

17 Especially for students that we would like to consider
18 graduate school, this allows a student to get a sense of what
19 do we offer, what are the programs that are available, and
20 maybe make a decision, you know, oh, I like neuroscience, but I
21 really want to use cell and molecular approaches.

22 So I'll go to cell and molecular biology. Or you know,
23 no, I really want that neuroscience background. So this is
24 something that we use to help students understand what we have
25 to offer, and they can make decisions. And then this now links

1 to a website that has probably much more information than is
2 here. Even though that is also needs to be revised.

3 Q So, this is a document -- if I'm understanding what you're
4 saying -- that the school uses for several reasons, but one of
5 which is to attract students to enroll into the school by
6 medical graduate studies attempt?

7 A (No audible response.)

8 Q Okay. If you'd just turn to --

9 A Sorry, yes.

10 (Employer's E-11 identified.)

11 BY MR. JOHNS:

12 Q -- page 1. There's the first paragraph. Towards the end
13 of it, it talks about the fact that there are two affiliated
14 graduate groups: biology and bioengineering which are not
15 administered by BGS, but overlap with BGS groups and faculty
16 membership. Can you talk about the affiliation between BGS and
17 between biology and bioengineering?

18 A So, faculty that are in biology and bioengineering are
19 able to join our programs, depending on what their research
20 interest is. They can become -- so, they're affiliated, but
21 then there are full members of our actual -- of our graduate
22 programs.

23 So if the questions that are being asked, neuroscience is
24 an example I'm most familiar with where bioengineering, you
25 know, there's a real strong now computational overlap between

1 what you can do with engineering and what you would do in
2 neuroscience. And so, that's one of the places we have a lot
3 of faculty from bioengineering who will be part of neuroscience
4 as well as bioengineering.

5 And that goes both ways. We have faculty in BGS who are
6 also part of bioengineering or -- so that's something that we
7 are allowed to join programs, as long as our research is
8 affiliated with what their major questions are.

9 Q And just so we're clear -- I think it's obvious, but I'll
10 ask the question -- the bioengineering graduate group, in what
11 school is that housed?

12 A That's housed in the School for Engineering and Applied
13 Sciences, SEAS, we call it.

14 Q Okay. And how about, biology, where is that graduate
15 group?

16 A That graduate group is located in the School of Arts and
17 Sciences.

18 Q Okay. So with respect to that affiliation between
19 bioengineering and biology, will there be interaction between
20 biology faculty and students enrolled in BGS?

21 A Absolutely.

22 Q Can you describe how that occurs.

23 A So a classic way which we like to interact with both
24 engineering and arts and sciences, but for arts and sciences,
25 it's teaching, so we have a number of some of our best

1 lecturers who talk about key, basic science functions that come
2 from arts and sciences. And they'll lecture in our courses in
3 BGS.

4 Any student who desires to be a part of those graduate,
5 you know, work in their lab, so they could interact with them
6 through rotations in their laboratories, they can -- they also
7 obviously participate in our recruiting, in any of our social
8 functions for the graduate groups that they're a part of.

9 Q So I'm understanding, so with respect to the BGS program,
10 and the BGS program, there may be biology students who might
11 serve as a teaching assistant or have some teaching role within
12 that?

13 A No, the faculty --

14 Q The faculty, okay.

15 A -- I think, yeah, sorry.

16 Q I wanted to make sure I was understanding what you're
17 saying. So --

18 A No.

19 Q -- so what you're saying is you'll have faculty who will
20 then potentially lecture BGS --

21 A Not the -- so the Arts and Science students, they can
22 interact with our students in collaborative ways. And, you
23 know, they meet each other in social settings. But even more
24 exciting is that often turns into sort of exciting science
25 conversations, because we have students -- you can be in a lab

1 and you can have someone from engineering, from arts and
2 science, and from BGS all working in the same laboratory
3 because the question is relevant to each of those graduate
4 programs.

5 Q And if that's the case, they're all working in the same
6 laboratory, would there be supervised in the research they're
7 doing in that laboratory potentially by faculty members from
8 all those different schools?

9 A Absolutely.

10 Q Okay. I think you said earlier that there was -- there
11 were some faculty that are affiliated with the Wharton School.

12 A Yes.

13 Q In the BGS program. Can you tell us about that.

14 A So because -- so Wharton has, you know, Wharton obviously
15 focuses its efforts on business, but there are aspects of
16 business and certain research approaches that you would use in
17 their practices that make sense for us.

18 So the classic example, something I can think of which is
19 decision-making. So economic decision-making is really really
20 a hot field in neuroscience. So understanding why we make the
21 decisions to buy the things we buy. So there's -- clearly, you
22 need that sort of business understanding of the economics.

23 And marrying that with the understanding of how your brain
24 functions, has really created an interesting sort of field for,
25 you know, really understanding how we as individuals behave.

1 And then also certainly as we as a society behave.

2 Q Are there Wharton faculty members who participate in
3 research work within the BGS program?

4 A There are certainly are students joined -- can join the
5 laboratory of a faculty members in Wharton who are part of our
6 program of which there are a number. And so then they would
7 actually work in the Wharton School where those faculty are
8 housed.

9 Q So there may be BGS graduate students working in
10 laboratories within the Wharton School with faculty that have
11 their primary appointment within the Wharton School?

12 A True.

13 Q I think you've covered this in a lot of different ways,
14 but do you consider the BGS School to be interdisciplinary
15 within the University of Pennsylvania?

16 A Yes. Absolutely.

17 Q Okay. Tell us why.

18 A So I think the strength to this program and, you know, in
19 some ways we're grateful to the medical school for making it
20 this way is that, this program if you have a research project
21 that's related to the type of science that is a program within
22 BGS, any faculty member across any school is able to be a part
23 of that program.

24 So all you need to do is come up and talk to the graduate
25 chair, and as long as you can support those students during

1 their thesis years, that's you can join the program, and you
2 can take students from our program.

3 So, what really makes that exciting is that if you work at
4 Penn, one of the things that you value most as a faculty member
5 is the collaborative nature, so your colleagues, if you have a
6 question that you want to ask and you don't have the skills
7 because when you get a PhD, your skills are really honed down
8 into this fine set of things that you know, but your question
9 is something that really needs to be looked at this from
10 multiple perspectives, we can do that at Penn by going to these
11 other schools and getting an expert in that field to work on
12 that.

13 So, as an example, you know, I'm very interest in
14 inflammation. And Beth Winkelstein in the School of
15 Engineering is very interested in pain. And she has these
16 really valuable models, where she can read -- you know, using
17 engineering skills create pain models that allow, you know, for
18 whiplash, or for other things that allow us to really get in
19 and look a cellularly -- molecularly what's going on.

20 So together, neither of us would probably be able to do
21 that work by ourselves -- I'm sorry, separately, we wouldn't be
22 able to do that work; but together, we can do that work and
23 publish papers together.

24 Q And is there a description on BGS's website that talks
25 about the interdisciplinary nature of the school?

1 A Yes.

2 MR. JOHNS: Before we get to Exhibit E-12, we would move
3 for the admission of Exhibit E-11.

4 HEARING OFFICER LEACH: Any objection from the Union?

5 MS. HOYE: No objection.

6 HEARING OFFICER LEACH: Okay. Employer 11 is received.

7 (Employer's E-11 received.)

8 BY MR. JOHNS:

9 Q Dr. Jordan-Sciutto, I've shown you a document that we have
10 marked as Exhibit E-12 in this. If you could just take a
11 moment to take a look at this, and then tell us if you
12 recognize it.

13 A Yeah. It's from our website.

14 Q Okay. And what does this describe?

15 A So this is describing the BGS, the role of BGS within the
16 schools, so what it is, and well, who are our constituents, who
17 make up our program? So, you know, you can see that we have a
18 number of schools. But you can also see that we have
19 affiliated institutions as well with Star, Fox, Chase, and NIH
20 CHOP, which I don't know -- it's not listed here expressly, but
21 it's also affiliated and yet just kind of part of us at the
22 same time.

23 Q You've spoken about a lot of the schools that are
24 affiliated. I think one exception and that's the Nursing
25 School. Can you tell us how a faculty member in the Nursing

1 School participate in the BGS program?

2 A It's very similar to how, you know, for engineering or for
3 arts and sciences, nursing is -- so in nursing there are either
4 approaches that are used, there's a classic, a really obvious
5 role for them in epidemiology and biostatistics where you can
6 take what they're doing as nurses and apply it within that
7 realm.

8 But there is also the public health perspective. And so
9 there is a really strong collaboration between us and nursing,
10 looking at sort of how public health and biomedical sciences is
11 occurring. But I also know that there are a number of faculty
12 who do drug addiction research, there's people who understand
13 why we vomit.

14 I know that takes interesting. So, you know, so the sort
15 of, you know, that ends of being this really interdisciplinary
16 project, because it's neuroscience, because it involves
17 signaling from your brain. But it also is, you know, obviously
18 this, you know, very visceral stomach response.

19 So understanding, and then its response to infectious
20 agents often. So, sort of understanding all of those things.
21 But it can also be linked to anxiety and things like that, so
22 linked to psychology. So, it's really interdisciplinary, and
23 obviously you want to treat it in patients who have it, so
24 that's relevant to nursing.

25 (Employer's E-12 identified.)

1 MR. JOHNS: I'd move for the admission of Exhibit E-12.

2 HEARING OFFICER LEACH: Any objection from the Union?

3 MS. HOYE: No objection.

4 HEARING OFFICER LEACH: Okay. Employer 12 is received.

5 (Employer's E-12 received.)

6 BY MR. JOHNS:

7 Q So, I want to switch gears and talk a little bit about the
8 students at BGS. We've talked about the program.

9 Approximately how many students are in the BGS program?

10 A So this number is a little fluid because we don't have a
11 graduation that is set at a specific time. Students complete
12 their PhDs, and they leave when they complete their PhDs. So
13 that can be any time during the year as they schedule for
14 thesis.

15 So at the beginning of the year we start off with I think
16 something around 720, and that includes MD, PhDs, VM-PhDs, and
17 PhD students. At this current moment, after having a year of
18 students graduate, we're probably somewhere around 550 to 600,
19 but I don't know the exact number.

20 Q You just said a couple of I think joint degrees, which I
21 will confess I meant to ask you about earlier.

22 A Okay.

23 Q Tell us about the joint degree programs that exist in the
24 BGS program.

25 A Absolutely. So we have at the PhD level, we have a

1 VMD-PhD, and as well as MD-PhD. So these involve clinical
2 training where you learn to in the case of medicine, treat
3 patients; in the case of the veterinary school, treat animals.

4 And then during an intervening period in the middle of
5 that -- so you spend sort of two years getting your coursework
6 under your belt, and then you come to graduate school. And
7 during that time, they pursue a PhD, very similar to our, you
8 know, PhDs, since they have to meet the same requirements, they
9 have many of the same coursework, so they have to complete a
10 qualifying exam to demonstrate that they are PhD ready, which
11 involves proposing their thesis work.

12 And then they, you know, do the same thing as their
13 graduate students, they formulate their own project, they drive
14 that project towards a conclusion. Hopefully at the end of
15 that, we have new knowledge generated about a scientific
16 process.

17 And then after they've achieved their PhD, they go back
18 and finish either their -- do their internships where they --
19 for medicine, or for veterinary medicine.

20 Q So you talked about MD-PhD and VMD-PhD. Just for
21 completeness, are there any other dual-degree programs that
22 you're aware of?

23 A Dual-degree programs --

24 Q Or joint degree, I'm not sure if that's right. I might be
25 using the wrong term.

1 A No. Well --

2 Q Joint degree.

3 A -- so there's a fund -- you can imagine, there's a lot of
4 layers and complexity. So we also have joint programs for our
5 PhD students where they can get a master's in public health or
6 they can get a certificate in public health. You know, more
7 students choose their certificate program, just because it's
8 less time intensive. But then some afterward, will decide to
9 go after that full master's and the certificate will count
10 towards that time.

11 We have two other programs similar to that, one in
12 environmental toxicology, and another in translational
13 medicine. And the translational medicine is broken up into a
14 few different pieces, depending on how you want to employ
15 translational medicine.

16 Like do you want to be regulating how you know, patient
17 cohorts, you want to be regulating the sort of making sure that
18 patients are enrolled properly and that there's this what we
19 would call the internal review board, which has the name.

20 It doesn't tell you what it does, but it determines
21 whether human subjects are being treated properly, and you're
22 following all the guidelines that are set out by the national
23 -- all the different boards that sort of oversee that process,
24 or whether you're really going to be there sort of at -- in the
25 industry creating those drugs and how those drugs go out.

1 Q Is the master's in public health, is that a degree that's
2 conferred within the BGS program, or is it inside another
3 school?

4 A It's joint.

5 Q Joint with what?

6 A That's a really -- I think it might be nursing, just
7 because that's where I think it's housed.

8 Q Okay.

9 A I'm not exactly sure, though.

10 Q Understood. So I assume in addition to the joint degrees
11 we spoke about, you just admit PhD students as well within the
12 BGS program?

13 A Yeah. We only oversee the PhD students; that's right.

14 Q Okay. So I want to talk a bit about the PhD students
15 there. Generally speaking, within BGS, can you talk about the
16 degree requirements for a PhD student?

17 A So each program has its own coursework. So there's
18 required coursework. Some of that coursework is common, and
19 some of that coursework is not surprisingly discipline
20 specific. So and then there's usually electives. But there's
21 a certain number of courses all students require.

22 Q Okay.

23 A During that time, they also do rotations where they spend
24 time in laboratories, they do research. But the goal really of
25 those rotations is to get to know the lab environment, get to

1 know the mentor, see if that project is exciting and of
2 interest. If they want to spend, you know, another four to
3 five years working on that project.

4 And so during that first year, you'll do anywhere between
5 two to four rotations deciding where you will end up. Then at
6 the end, hopefully you will have chosen a laboratory where you
7 will spend the rest of your time at BGS working. During that
8 second year while you have selected a lab, your real goal is
9 preparing to pass that qualifying exam.

10 So the experiments you're doing are sort of really your
11 part of generating what's going to be your question, your
12 science, the thing that you're going to -- you know, the new
13 knowledge you're going to create for your discipline.

14 And so that's what our students do in that second year.
15 And at the end of that year, it culminates with the passing of
16 a preliminary exam or a qualifying exam, each program calls it
17 something different. We have one program that does this a
18 little different, immunology. But in the end, it's somewhat of
19 the same thing that the goal is at the end of that time, the
20 student has all -- we feel they have all the tools and all of
21 the knowledge they need to start asking that question that
22 they're going to do.

23 And then they spend the next three years working in the
24 laboratory in which they will be doing experiments to address
25 their question, that thing that they found exciting that they

1 want to, you know, understand more deeply and about whatever
2 their research is on.

3 And then at the end, they will defend that project in
4 front of a committee. Hopefully they will have published a
5 paper on that work, so that it benefits the whole scientific
6 community, not just those of us who are on the committee. So
7 that's a really important part of what we do.

8 Not all programs require publication. But it is something
9 that we think benefits our students because the truth is, it's
10 the main evidence that you have driven a project, and that you
11 can push that project through to its scientific conclusion. So
12 it's a really important part of what we do.

13 Q I want to come back and ask you about the topic of asking
14 that question, but before I do that --

15 A Yes.

16 Q -- I just want to ask and get some sense of the different
17 years, and how those degree requirements are completed. I
18 think I know based on what you said, but I just want to make
19 sure. Even before I get to that, though, do any of the
20 graduate groups require teaching as an academic requirement?

21 A So there are two programs that require teaching
22 academically. Epidemiology and biostatistics, and
23 neuroscience. These, the TA, time, is really focused on giving
24 them the skills that they will need for when they graduate with
25 their PhD. So we feel that the ability to communicate

1 information, to be able to present that to students and/or to
2 other individuals is just a key critical part of your
3 education.

4 And so we ask that those two programs feel particularly
5 strongly in asking their students to participate in that as
6 part of their programs. During that time, their stipends are
7 offset, they are not covered by the mentor to offset the time
8 that they will be spending on the TA, the sort of teaching
9 assistant duties.

10 And then any student in BGS, but those students as well,
11 if they choose to do any more teaching assistantships, those
12 are done at their selection. So they make the choice, they can
13 choose what they teach. And they receive compensation on top
14 of. So that's actual, they are compensated for what they're
15 doing by the host school, wherever they're TAing, which is most
16 often arts and sciences, but it could be engineering; it could
17 be any school.

18 Q So some of your students seek TAing opportunities even
19 though not required by the program?

20 A Yes. Because they feel that this is important for their
21 future career development. And this is something we see as
22 being really critical to what we provide which is not just to
23 get a PhD, but to get a PhD that you can use to be gainfully
24 employed. And so many of our positions, mine included, require
25 teaching as part of that. So --

1 Q And --

2 A -- it's a really valuable opportunity.

3 Q Sorry, I didn't mean to talk over you.

4 A That's all right.

5 Q In doing so, I think you said many of them do that outside
6 BGS and SAS?

7 A Yes.

8 Q Okay. And what types of graduate groups -- well, let me
9 ask it a different way, because I can't get too many graduate
10 groups.

11 In what departments with ATA and outside of BGS?

12 A Typically, biology is a big one where they'll do it, but
13 also in BBB -- sorry, Penn's full of acronyms -- Biologic Basis
14 of Behavior, which is their neuroscience equivalent in the
15 undergraduates, in SAS. They could teach in -- you know, some
16 of our students will teach in engineering, psychology, because
17 they're related to their disciplines.

18 Q All right. So then let me come back to the question of
19 within those degree requirements, typically -- we're talking
20 about a typical student -- first and second year, is that when
21 the coursework would typically take place?

22 A Yes. Can I go back to the TA thing for one second?

23 Q Sure.

24 A I should note that we limit TAing for our students. So
25 they could only do it -- so even if they do it, they can only

1 do it twice. Because their goal is for us to make sure that
2 they only -- that they're here to do research. The TA
3 experience is important, but we limit it. If they want to do
4 more than two TA experiences, they need special permission or
5 to be part of the certificate program for teaching, which is
6 a --

7 Q And -- oh, I'm sorry --

8 A -- a real thing --

9 Q -- go ahead.

10 A -- that our students may want to have that sort of
11 evidence that they have strong teaching credentials. And so
12 they'll receive education on how to be purely a pedagogical
13 lecturer. Sorry, sorry.

14 Q Who would they seek permission from to do that?

15 A The graduate group chairs, and their mentors have to
16 approve that as well. So that's sort of a conversation that
17 usually happens between the student and the mentor, and then if
18 they both agree this is the right path, it goes to the graduate
19 group chairs.

20 Q Okay. So then back to the years.

21 A Sorry. Yeah.

22 Q No, that's okay. First and second year, is that typically
23 when the coursework is completed?

24 A So the majority of coursework should be completed by the
25 time at the end of the second year. There are some courses

1 that can be taken third through -- years three through five.

2 Those are often associated either with those certificate
3 programs or if there's something that students feel strongly,
4 they just really need to add or wasn't offered at the time when
5 they were going through first and second year. They might take
6 another course. But the majority of our students are thesis-
7 focused from years three on.

8 Q At the end of the second year, that's typically when you
9 used the term qualifying exams are taken?

10 A Yes.

11 Q All right. And after qualifying exams are taken, from
12 years three through five -- or through the end of the program,
13 I guess I should say -- what are students typically doing?

14 A They're doing research in their laboratories.

15 Q That's a good segway back to the question that I had
16 earlier, which normally I don't remember to ask again, but I
17 will. You talked about that that's when they begin asking the
18 question. Can you explain to us what that means, what you mean
19 by that.

20 A Sure. So part of that preparing for that preliminary
21 exam, where you're going to propose what your thesis will be
22 on, what new piece of knowledge you will get -- you spend a lot
23 of time digging into the literature, doing some of your own
24 experiments, but getting sort of a basis or a logical format
25 that leads you to a hypothesis. This is the overarching -- I'm

1 trying to think how to say this without saying hypothesis --
2 it's what we do all day long.

3 You sit there and you come up with an idea about how
4 something works, based on the logical data that's before you.
5 And so then you design experiments to specifically address that
6 hypothesis. So what you want to be able to do is design a
7 experiments that at the end of the day, you support that that
8 outcome is true.

9 It may not fully, you know, prove it. And proving a
10 hypothesis is very challenging. But having that data that
11 support that that's the right way to think about the question
12 or the problem is what our students then address. So the
13 experiments are critical in order to demonstrate that they can
14 design an experiment that truly addresses a question.

15 And that analyzing the data shows that they can interpret
16 what they find, which is really what we're teaching them to do.
17 We're teaching them to design experiments that can address a
18 scientific question of interest to their field. And we're
19 teaching them then to analyze those data, and then use those
20 data to really decide what would be the next important, the
21 most important thing to do to drive this field forward, to
22 create new knowledge?

23 Q So when they're deciding which laboratory to undertake
24 that process in, I think you said there's a laboratory rotation
25 before they get there, how do the students use the laboratory

1 rotation to decide which lab to go into in order to ask that
2 question?

3 A So, there's a bunch of -- each program does this a little
4 bit differently, but website is one big place so all of our
5 faculty have probably have websites that describe their work
6 with their publications. They can go into the literature and
7 find some information on their own.

8 But most programs have some forum where faculty come
9 together and talk about their work. And this can be done sort
10 of in a -- sort of, you get 10 minutes, get up, and tell the
11 students what you do, and what they would work on if they came
12 to your lab.

13 And they'll just cycle through the faculty and the program
14 who can take students. If you have the amount of funding to
15 take students. Or we do something called, I guess, speed
16 mentoring where you get everybody in a room, and you spend five
17 minutes telling each student what you do, and you tailor it to
18 what their specific interests are.

19 Q It's like speed dating --

20 A It's like speed dating, yeah --

21 Q -- is that that --

22 A -- it's like speed dating, but it's like speed recruiting,
23 yeah.

24 Q Sure. Okay. And students choose labs based on their
25 academic interests?

1 A They have complete -- they have complete choice of where
2 they rotate. We do encourage them to look specifically for
3 places that have funding for them. So we will not -- we very
4 carefully monitor the ability to fund our students in years
5 three through five, since it's all mentor-funded at that point,
6 apart from training grants, and other students can get their
7 own funding.

8 But going into that process, we -- all of that is not
9 known yet, and so we want to make sure that mentors have at
10 least two years, so that a student is in a lab that resource
11 rich so that they can address their question. You want to make
12 sure the lab has the money to do the experiments that the
13 student comes up with.

14 Q When a student chooses a lab, and I assume is accepted by
15 the faculty member -- I think you said that faculty member is
16 responsible for the funding in that instance, and I'm going to
17 come back and talk about funding packages in a second -- but
18 once the student is in that lab, are they sometimes working in
19 laboratories that are funded through faculty members' external
20 grants?

21 A Yes.

22 Q Okay. When they're performing research within that lab,
23 you talked about asking the question, is that research that
24 ultimately results in the dissertation that a PhD student in
25 BGS will use in order to fulfill their degree requirements at

1 the University of Pennsylvania?

2 A Absolutely.

3 Q Is there any way to distinguish between research that's
4 performed in those laboratories on behalf of the grant versus
5 research that's been used for the student dissertations?

6 A No. I mean they're the same thing, because the grant is a
7 -- the grant is a bigger concept idea. And the proposal is a
8 subset that of the student falls under the overarching
9 hypothesis. So each grant comes with a bigger question. And
10 then the student is really looking at one focus piece that they
11 have sort of taken and made for their own out of that question.

12 Q But are the BGS students expected to do research the
13 entire time they're there?

14 A Yes.

15 Q Okay. Is there any point when they're actually graded for
16 their research?

17 A So in their first two years, those rotations. And then
18 even after they commit to the lab, the sort of two years that
19 they're doing what we call independent study, those are all
20 graded. Not only do you provide a grade, you provide a report
21 that goes into their current file describing how they performed
22 in your laboratory. We talk about the strengths and
23 weaknesses. The idea is to give them the feedback they need in
24 order to, you know, fill in the gaps in their abilities so that
25 they can be the best researcher they can be.

1 Q Is one of the goals of having them work in faculty labs to
2 train these students as researchers?

3 A Yes.

4 Q Do you view that as one of your responsibilities as
5 mentoring those students who are in lab, your labs?

6 A Yes. It's one of the best responsibilities I have.

7 Q What's the typical time to completion for a PhD student in
8 BGS?

9 A I think the average number is six years.

10 Q So approximately six years?

11 A Yes. Some programs are shorter, some are longer.

12 Q Okay. Do PhD students receive funding in the BGS program?

13 A Our students are fully funded their entire time. There is
14 not ever a moment where they are without, or at risk, or have
15 to even think about finding their own funding, except for if
16 they want the prestige of having obtained their own external
17 funding. So when students apply for their own funding, it is
18 at their choice.

19 Q And when you say for the entire time, does that mean
20 regardless of whether they're there four years, five years, or
21 six years, or whatever?

22 A Yeah. As long as they are students in good academic
23 standing, and they are working within the laboratory towards
24 the goal of their research, so when they're working on their
25 project, they are still students, and they will be paid as

1 students.

2 Q What are the elements of the fellowship funding that they
3 receive once they're accepted into BGS?

4 A What do you mean, what are the elements?

5 Q What do they get?

6 A They get a stipend.

7 Q Okay.

8 A So they -- their tuition is completely covered. So we
9 don't ever ask our students to pay tuition. We have -- so they
10 have full tuition, full stipend. They get health insurance,
11 they will, as of July 1, getting gym memberships. We pay all
12 of their student fees, so our students don't pay any of their
13 student fees.

14 Q Student health insurance?

15 A We cover their health insurance.

16 Q Okay. And is the fellowship funding laid out to the
17 student at the time they're admitted into the program?

18 A Yes. It's actually in the letter when we offer them their
19 acceptance, so.

20 Q And I know we've been going here a little while,
21 Dr. Jordan-Sciutto, so if you need a break at any time, please
22 feel free to tell us.

23 A Yeah. Thank you.

24 Q Okay. Dr. Jordan-Sciutto, I've shown you a document we've
25 marked as Exhibit E-13. If you could just take a moment, tell

1 us if you recognize this.

2 A Yes.

3 Q Okay. What is it?

4 A This is the letter that we send -- so this one is
5 particularly the letter we send to some molecular biology
6 students who are admitted into our program. Once we accept the
7 students, all students who are accepted get this letter. And
8 they have a timeframe in which up until April 15th they can
9 tell us whether they will accept our offer.

10 Q Okay. So when you say accept your offer, is this the
11 letter that's offering students admission into the program to
12 be a PhD student in the BGS program at the University of
13 Pennsylvania?

14 A Yes.

15 (Employer's E-13 identified.)

16 BY MR. JOHNS:

17 Q And I think it's in the second paragraph there, is this
18 sort of the fellowship funding package, the description of it
19 that you referenced earlier?

20 A Yep.

21 Q Now, you said that students are fully funded the entire
22 time that they're in the BGS programs. If a student has to
23 switch labs or decides that their research is not the research
24 with the particular faculty member is not really the question
25 they want to ask, or it doesn't fit the question they want to

1 ask, is maybe the right way to put it, is there a gap in their
2 funding between the time that they decide to leave a lab and
3 the time they get to another lab?

4 A Absolutely not. So in the -- and this happens, as you can
5 imagine quite frequently for many reasons -- students decide to
6 switch laboratories and we offer them a six- to eight-week
7 trial period to find another lab.

8 We ask obviously that they be careful in selecting that
9 next rotation, but we would cover up to what we would call two
10 mini rotations where we would cover them out of the BGS funds
11 instead of from a mentor's stipends during those, which is
12 normally what is covering them in the years beyond three.

13 Q And during those six to eight weeks, do students find
14 another laboratory?

15 A Most often they find that first one. They are very
16 careful, because this is -- you know, the longer it takes them
17 to find a laboratory, the longer it takes them to graduate. So
18 they're very motivated to find a good home in the next place.

19 Q Have you ever had a student who was unable to find a
20 laboratory?

21 A I've never had a student who's been unable to find a
22 laboratory that I'm aware of. I think that sometimes in the
23 rotation part, so not usually in this sort of secondary
24 scenario. But in the first case, we'll have some students may
25 have to do, you know, a fourth rotation or.

1 Q Oh, I see what you mean. So with respect to the rotation
2 part what you're saying is, they've gone through a rotation,
3 they don't like any of that, and they decide to do another
4 rotation to see if they're interests align more closely with
5 the faculty members in that rotation?

6 A Absolutely. That's the case.

7 Q Okay. But once they've been in the lab, you've never had
8 any experience at BGS to your knowledge where a student has
9 been unable to find a laboratory?

10 A Not to my knowledge.

11 Q Okay. When students work in the laboratory -- I want to
12 come back to sort of a few questions we talked about earlier --
13 when students work in a laboratory, can they create an
14 interdisciplinary approach to the research that they do?

15 A I hope so.

16 Q Okay.

17 A That would be the best outcome, yeah.

18 Q Why do you say that would be the best outcome?

19 A Because it means better science. So if I could use one of
20 my own personal examples. I had a student who was very
21 interested in the glial, the parts of -- the cells in the brain
22 that don't actually perform the communication but they're the
23 support cells. And she'd been working on one of the support
24 cells called the astrocyte. And the project was going fine.
25 It wasn't giving her -- it was giving her the answers, it was

1 really well executed experimentally -- well-designed
2 experiment, but it wasn't an exciting answer. And so she would
3 get a publication, it wouldn't be one that she was excited
4 about.

5 Meanwhile, there was another investigator who, you know, I
6 knew, but she had also been known that was working on another
7 cell type called the oligodendrocyte, which was completely
8 unexplored, you know, at any level within our field. And so
9 she reached out, she set up a collaboration.

10 We had a meeting. And she ended up taking over a
11 completely new project. She wrapped that other one at the same
12 time -- and she got her name on that publication for the work
13 she contributed there -- we found another way to wrap it into
14 something else.

15 But this other part really sort of set the stage for her
16 project. It then led to what I have as a very fruitful
17 collaboration with that investigator, and we are now
18 co-mentoring a second student. And I expect this one will pull
19 in a whole nother level of expertise from someone who works on
20 protein folding.

21 Q What is the discipline of that other investigator?

22 A She works in oligodendrocyte biology, so she actually
23 works in developmental biology.

24 Q Okay. And which department is that researcher affiliated?

25 A She is in the department of neurology at the Children's

1 Hospital of Pennsylvania, with an adjunct appointment I guess
2 in neurology at the Perelman School of Medicine.

3 Q You talked a little bit about publishing. Is it an
4 expectation during the time that students are performing
5 research in the laboratory that there may be jointly published
6 articles between faculty members and students?

7 A Yes. There is an expectation, but that is a goal students
8 will have. Most students will actually want to have more than
9 one publication. So the publications are in their best
10 interest, because it's the best way that they can demonstrate
11 to the community at large they are driving a project.

12 And so it really is -- when you look at a person you're
13 trying to hire for your laboratory as a postdoc, someone coming
14 out of a PhD, you look at their publications to see is this
15 work, what was the impact of that work, how well-executed was
16 that work?

17 And so the papers are a really critical way that we use to
18 evaluate people that we will hire. And certainly for faculty,
19 that's another same thing is true for hiring faculty members.

20 Q Is it also true that the research that is reflected in
21 those papers also may serve as part of the research that
22 ultimately results in a student's dissertation?

23 A In most of our students' cases, the papers they publish
24 are actually chapters within their thesis. So this is -- this
25 work that they -- and there may be elements of that that are

1 provided by a collaboratee or a colleague. But it's the
2 student's paper, they're first author, which means it's their
3 work and their driven hypothesis. They can put that as a
4 chapter within their overall thesis.

5 Q And with respect to that thesis, ultimately BGS -- the
6 students who are getting a PhD in your program, are there
7 committees or faculty members that evaluate that thesis in
8 order to make a recommendation as to whether a degree should be
9 deferred to an individual?

10 A Yes.

11 Q Can you describe how that process works.

12 A So all of our students, once they pass their qualifying
13 exam, form a thesis committee. So the thesis committee is
14 composed of a Chair that is not the thesis mentor, as well as
15 at least three other faculty members from their graduate
16 program and/or the school's -- or Penn.

17 They can have outside numbers, but those usually are in
18 addition to those core members. Each program sort of has
19 different guidelines in terms of adding an additional member at
20 the time that they defend.

21 But during that original -- those really sort of first two
22 to three thesis years, the student will meet with that
23 committee. They will discuss where their research has gone,
24 what experiments have gone well, and talk about those outcomes,
25 talk about what research hasn't gone well, and get input on

1 where to take those projects.

2 They'll get input on whether the project at whole is a
3 promising project, and they should stick on that path, or
4 whether they should consider alternatives. But what I see
5 mostly is that the committee is there for the student to
6 provide the best advice possible for them to progress through
7 the PhD.

8 So they'll get feedback on everything from how they --
9 their knowledge of the literature, for their field, their
10 knowledge of the project, their analysis of their experiments,
11 their ability to present the experiments. But the big thing is
12 they'll get where -- you know, is what they're doing
13 worthwhile, and is it moving in the right directions? Is it a
14 promising progression for them to get the degree.

15 Q And does ultimately that committee make a recommendation
16 as to whether that degree should be conferred?

17 A Does the committee make the recommendation that they are
18 able to defend their thesis? So at the end of the time that
19 the student makes a -- I am asking for permission to defend,
20 they will grant permission to defend.

21 And then at the final stages, they will hold a public
22 defense followed by a private defense. And in that private
23 defense, the faculty members will question the student to
24 ensure that they are truly the master of their research area.
25 And they will sign -- they actually are the people who sign off

1 on the completion of the degree.

2 Q As someone who attended law school, I didn't have to
3 defend anything, so, can you tell us what a defense is, just so
4 we --

5 A Sure. So a thesis defense is, sort of in our case has two
6 parts. Our student stands up and does what we call a public
7 defense. So in the public defense, they'll present their
8 research. Because the audience tends to be -- include, you
9 know, family members, and some more lay audiences -- it tends
10 to have a sort of broader background.

11 So this was a place where they will really demonstrate
12 their knowledge of the field, and what is going on in the
13 field, and their ability to convey that to the audience. They
14 will then talk specifically about what hypothesis they tested
15 within that field, and then they will outline all of the
16 experiments and show the data that support that hypothesis
17 leading to the ultimate conclusions that they drew from what
18 they were able to show.

19 After that is done, they take questions from the audience.
20 So anyone can ask a question, and certainly the committee, the
21 thesis committee is in the room during this questioning. And
22 so it can be taken in as part of the defense. But then after
23 that, the public leaves and it is left a thesis mentor, the
24 student and the thesis committee, and they ask questions about
25 thesis, about the documents. It doesn't all have to be just

1 what's in the actual public defense.

2 There is also a written document that includes any
3 publications, any additional research areas that were done that
4 were not -- that are left unpublished that they wish to
5 include. It will have an introduction.

6 And it will also have what I think is the most important
7 part, which is a discussion where they will talk not just about
8 what they did, but what this means and where it will go. And I
9 think that's the most exciting part, where it shows their real
10 maturity and growth of their thinking.

11 Because they're not just, you know, thinking about the
12 experiments, you know, in the sort of of very linear fashion,
13 they are really incorporating that into the bigger picture of
14 the field. And to me, that's one of the most exciting parts of
15 the thesis defense is hearing them talk about that.

16 Q What happens at the conclusion of a successful thesis
17 defense?

18 A We offer them congratulations as a new colleague and
19 doctor within our discipline. And they receive their PhD. So
20 at that point, they are able to -- you know, they certainly can
21 come to our graduation which we hold every May. But at that
22 point, they are officially PhDs and can get jobs anywhere.

23 Q That's where the degree is conferred?

24 A Yeah.

25 Q So, it's --

1 A Well, I should say, it's conferred if they pass; right?

2 So --

3 Q Yeah. I missed successful --

4 A Yeah, yeah, yeah, yeah.

5 Q Okay. So I'm understanding. So ultimately, the
6 progression is students will join a laboratory. They will do
7 research in that laboratory pursuant to the supervision of a
8 faculty member -- who is often, as you said, in your department
9 -- funded by external grants.

10 That research often results in joint publications with the
11 faculty member, which then results potentially -- or often, I
12 think you said -- in chapters of the thesis that the student
13 submits, which ultimately results in the conferral of the
14 degree?

15 A Yeah.

16 Q Does funding for your PhD students, does it vary based on
17 the number of hours they spend in the laboratory?

18 A No. All students receive the same stipend throughout all
19 their time, apart from the years we give raises, which almost
20 every year we give a stipends increase, based on cost of
21 living.

22 Q Okay. Hang on. Do you want what the acronym IDP stands
23 for within BGS?

24 A Yes.

25 Q Okay. What is an IDP?

1 A It's an individual development plan.

2 Q And can you tell us what individual development plans are
3 used for within the BGS program?

4 A So the individual development plan is now mandated by NIH.
5 But we had something similar to this before that. The thesis
6 committee can sort of do some of this. But what we really like
7 about the IDP is that it is a way to canvass the students to
8 progress in all areas.

9 This is a form that includes a section where a student
10 will rate their own abilities in various domains that we feel
11 are relevant to receiving a PhD. A mentor will do the same
12 thing. And then they will meet and discuss the student's
13 progress.

14 So it's a really great way to make sure that, you know,
15 often times in a thesis you might spend a lot of time talking
16 about their experimental design, because it's, you know,
17 they're doing that every day. So this is a way to remind
18 everybody to step back, and take a look at those other skills,
19 and make sure all the skills that you need are being developed.

20 As part of this, they also develop sort of they talk about
21 their accomplishments. And so it's a really -- another way
22 sort of to create that conversation between the mentor about
23 what they've accomplished, so that you can then decide on the
24 plan for the next year. And the big part of this is it comes
25 out with action items.

1 Action items for personal development within the
2 laboratory as a scientist; professional development in terms of
3 what they need to do for their career choices. And it really
4 opens that conversation for what they want to do after graduate
5 school, so they can start getting those extra skills they might
6 need.

7 It also talks about any plans for publications, for
8 attending meetings, so it's -- it also opens that conversation
9 with maybe I'm comfortable for students which I'd like to go to
10 this international conference. And then, you know, it's a
11 really great forum for them to say, yeah, that would be a
12 really good experience for you. And so it really outlines
13 those plans and sets it up.

14 Q And is part of that discussion with the faculty members
15 reviewing the IDPs and that have to do with what's best in
16 order to have this student's training, essentially their
17 academic development progress in order to get through the
18 program?

19 A Yeah. And because everybody needs different things, its
20 name is accurate. This is an individual development plan.
21 It's meant for that individual to be able to attain all of the
22 skills that they specifically need, every student needs sort of
23 slightly different things to become successful. I should say,
24 most of that is private. The only part that we see is the
25 action plan.

1 MR. JOHNS: Before we get to this, I would move for the
2 admission of E-13, if I haven't done it; I don't think I did.

3 HEARING OFFICER LEACH: You didn't.

4 MR. JOHNS: Okay.

5 HEARING OFFICER LEACH: Any objection from the Union?

6 MS. HOYE: No objection.

7 HEARING OFFICER LEACH: Okay. Employer 13 is received.

8 (Employer's E-13 received.)

9 MR. JOHNS: Thank you.

10 BY MR. JOHNS

11 Q Dr. Jordan-Sciutto, I've handed you two documents this
12 time. One that's been marked as Exhibit E-14, and one that's
13 been marked as Exhibit E-15. Let's start with E-14. What is
14 this?

15 A So this is the website where students will go to find
16 which of the specific IDP plans they should be filling out. So
17 you can see that there are IDP plans that are for different
18 students. It's also -- explains why they are doing it. So
19 sometimes, you know, students may see this as being a bit of a
20 hoop. But I think that as this becomes, you know, as they
21 start doing them, they realize there is a real great benefit to
22 having -- to opening these discussions. You can see the first
23 and second year of our students IDPs are carried out with not
24 necessarily the mentor, but with their programs, because at
25 that point, we're considering more about coursework, and

1 getting through the qualifying exam.

2 But then after that, in their thesis years, they have
3 distinct needs and distinct metrics that need to be discussed.
4 And so that's sort of the place where we'll talk about those
5 skill sets, that are more thesis driven and less at the
6 didactic side.

7 (Employer's E-14 identified.)

8 BY MR. JOHNS:

9 Q Okay. Now, if you can move to Exhibit E-15, please.

10 A Yes.

11 Q What is this?

12 A So this is the actual form that the student will fill out.
13 And you can see that there are several pieces to it. So it
14 really is sort of take a step back and if you go to the third
15 page, you'll see that they have a place where they can sort of
16 click off the bubbles as to, you know, where they are in terms
17 of, you know, bench skills, writing, project management. So
18 you can see there's a wide arrangement of skills that we want
19 to make sure our students are getting. And the goal of this
20 isn't so much the scoring; the goal is more to open the
21 conversation. So it's a place where I can say to my student, I
22 see you gave yourself a 1 for notebook keeping. What's going
23 on with your notebook? Why don't you think you're doing a good
24 job; right? It's also a place where if I am giving them a 1,
25 and they're giving themselves a 3, we can talk about why that's

1 not -- you know, why that's inconsistent.

2 And then but the ultimate goal really is to just sort of
3 going through all of these different pieces that allow us to
4 talk about their skills, talk about their plans and their
5 accomplishments, and then ultimately get to that last page,
6 which is the action plan.

7 (Employer's E-15 identified.)

8 BY MR. JOHNS:

9 Q Okay. Before we get to the last page --

10 A Yeah, sorry.

11 Q -- let's look at the bubbles. No, I think you're --

12 A Yeah, yeah.

13 Q -- in the right spot, which was the third page. The very
14 first area in which the students would fill this out is labeled
15 research skills and scientific thinking. Why do we ask them to
16 evaluate themselves in that area?

17 A So we ask them: (1) because all of these skills that are
18 listed here, are things that we think they need in order to get
19 their degree. I think that they -- you can see that there are
20 slight nuances to the distinction of the skills. And so, while
21 you may be really good at some, you may not be good at all of
22 them. So it again, it opens that conversation with the mentor
23 to be able to talk about why do you think you're not doing
24 well? Or if you think you're doing well, and you actually
25 aren't, it's a place to sort of have the discussion that this

1 is, you know.

2 Troubleshooting is a great example, where students think
3 they're doing a really great job of like figuring out what's
4 going on. And it's a place where I can say, I don't know, I
5 don't think you're thinking about all the possible
6 alternatives. You're focused down too closely to your data.
7 It's very easy to get lost in the weeds.

8 And so this is an opportunity for also the students to
9 say, you can see the target skills square. They can say, you
10 know, I really want more statistical analysis knowledge. I
11 know you give us this course, but I don't think my statistical
12 analysis skills are tops. What can we do to address that?

13 So it allows us to say, maybe recommend them for a course
14 or get them some additional help either from me, from members
15 of the lab, or from other resources at the university.

16 Q There's also, if you move on the right-hand side, the
17 second one down, the students are asked to evaluate themselves
18 in the category of mentoring/teaching. Can you tell us about
19 that.

20 A So most often, the mentoring/teaching component is
21 overseeing somebody in the laboratory. So I think if you're
22 going to run a laboratory, you need to oversee somebody in the
23 laboratory. So the majority of my students have somebody that
24 they mentor in terms of how to be in the lab.

25 Often, these are rotation students who are coming through

1 to decide whether our lab is a good place to work. Sometimes,
2 they're undergraduates who I -- who will come to my laboratory
3 for honors thesis. Sometimes the dental student who is doing a
4 -- wants a research experience.

5 So we've had success in sort of our students getting that
6 experience of what it's like to teach somebody how to do it.
7 And it turns out, not only is it really good in terms of the
8 getting those skills for mentoring, they really learn more
9 deeply about what they're doing. Because it's one thing to
10 take something in, it's another thing to explain it to
11 somebody.

12 So it's a really valuable experience for our students to
13 be able to be in sort of turn the tables around. It also gives
14 them a little perspective of what it's like to be a mentor. It
15 gives them an idea of what those responsibilities are, what are
16 the challenges. And so this is something that I think creates
17 some empathy between the mentor and the student as well.

18 Q And when you say mentor, I mean these are faculty
19 advisors --

20 A Yes.

21 Q -- who are advising the student in their progress through
22 the PhD program at BGS?

23 A Yes, that's right. The mentors in my -- when I discuss
24 the mentors, I'm talking about the PI, the principal
25 investigator, the faculty member.

1 Q And do students in BGS fill these out every year?

2 A They fill one out every year.

3 Q Okay.

4 A And they are required to turn in that action plan to be
5 BGS and to their programs. The rest of this is actually just
6 between them and their mentor. So the idea is to ensure that
7 these discussions are happening on an annual basis.

8 Q Do the BGS graduate groups have their own handbooks for
9 graduate students in the groups?

10 A Yes.

11 MR. JOHNS: While I'm handing this up, I would move for
12 the admission of Exhibit E-14 and Exhibit E-15.

13 HEARING OFFICER LEACH: Any objection from the Union?

14 MS. HOYE: No objection.

15 HEARING OFFICER LEACH: Okay. Employer 14 and 15 are
16 received.

17 (Employer's E-14 received.)

18 (Employer's E-15 received.)

19 BY MR. JOHNS:

20 Q Dr. Jordan-Sciutto, I've shown you a document that we have
21 marked as Exhibit E-16. If you could just take a moment to
22 look at this, and then tell us if you recognize it.

23 A I absolutely recognize it.

24 Q Okay. What is it?

25 A This is the handbook for the neuroscience graduate

1 program. It contains the guidelines that students are expected
2 to use in order to, you know, throughout their educational
3 experience in NGG -- in neuroscience, I'm sorry.

4 (Employer's E-16 identified.)

5 BY MR. JOHNS:

6 Q Is this handbook provided to the graduate students who
7 joined the neuroscience graduate group?

8 A It is, and it's available on the website. So that's
9 always accessible for them.

10 Q There's a section in here that's labeled Teaching
11 Assistantships, which I think is Section 1.7. I just want to
12 briefly talk about that, if you can turn there.

13 A Sure.

14 HEARING OFFICER LEACH: What page was that?

15 MR. JOHNS: It's Section 1.7, I'm not sure the pages --

16 HEARING OFFICER LEACH: Okay.

17 MR. JOHNS: -- are numbered.

18 HEARING OFFICER LEACH: Thank you.

19 THE WITNESS: They aren't numbered.

20 BY MR. JOHNS:

21 Q Are you there, Dr. Jordan-Sciutto --

22 A I am here.

23 Q Thank you. So you spoke earlier that not all the graduate
24 groups have teaching requirements within BGS, neuroscience
25 however, if I recall, was one of the graduate groups that does

1 have a teaching requirement.

2 A Yes.

3 Q The description here about the teaching requirement which
4 there's no need for us to go through, because we can all read,
5 but there's a couple things just in general I wanted to get out
6 of that. First of all, what's the length of the teaching
7 requirement within neuroscience?

8 A It's one semester.

9 Q During the time that the student serves in that role, do
10 they get any additional stipend for serving in that role?

11 A They don't get additional stipend for this experience.

12 Q There's a second paragraph here which talks about in the
13 rare cases in which the NGG student fails to make the expected
14 contribution to the TAship, first of all, just -- what's an NGG
15 student?

16 A The Neuroscience Graduate Group student.

17 Q I just wanted to make sure. Can you tell us about what
18 would happen in that particular instance?

19 A So if that were the case, they would meet with the
20 academic review committee, which is what ARC stands for in that
21 paragraph. They would have a discussion with the ARC to, you
22 know, find out what was going on. They would be expected to do
23 another TAship with no additional stipend added, because they
24 need to take these seriously, because it is an important
25 educational experience for them.

1 Q Would they lose any of their funding as a result of of
2 having to do that?

3 A No. It's the time that they would have to do it again.

4 Q And with respect to the academic review committee that you
5 talked about, what do they generally have responsibility over?

6 A The academic review committee meets with the students
7 during their -- before that, you have an official mentor. So
8 academic review largely handles, you know, advising students on
9 what courses to take, because they do have some electives.

10 Advising students on rotations, so they'll meet with them,
11 and make sure they have a rotation plan. They advise students
12 on the preliminary exam preparation. They provide a course for
13 the qualifying exam, preliminary exam -- each program calls it
14 something different.

15 They also assign those qualifying examination committees
16 to the student, and they oversee the passing of a qualifying
17 exam. They would deal with any issues that occur in years
18 three and beyond that were academic issues. So they would be
19 the committee that academic integrity would come to. They
20 would be the committee that would handle any of those types of
21 things. I have actually never seen that committee meet on
22 those issues, so that's good news for NGG.

23 Q So essentially, they're overseeing the students'
24 performance in the academic requirements within neuroscience
25 throughout the time they're there; is that fair?

1 A Yep.

2 MR. JOHNS: I would move for the admission of Exhibit
3 E-16.

4 HEARING OFFICER LEACH: Any objection from the Union?

5 MS. HOYE: No objection. That's fine.

6 HEARING OFFICER LEACH: Okay. Employer's 16 is received.
7 (Employer's E-16 received.)

8 MR. JOHNS: Thank you.

9 THE WITNESS: Could I ask for a break.

10 HEARING OFFICER LEACH: Oh, sure.

11 THE WITNESS: I'm sorry.

12 HEARING OFFICER LEACH: Can we go off the record.

13 COURT REPORTER: Sure.

14 THE WITNESS: Thank you for that.

15 HEARING OFFICER LEACH: Sure.

16 (Off the record at 11:19 a.m.)

17 (On the record at 11:24 a.m.)

18 HEARING OFFICER LEACH: Okay. We're back on the record.

19 BY MR. JOHNS:

20 Q Okay. Dr. Jordan-Sciutto, I've shown you a document that
21 we've marked as Exhibit E-17. Can you just take a moment to
22 look at this, and tell us if you recognize it.

23 A Yes. I recognize it.

24 Q Okay. What is E-17?

25 A So E-17 is the pharmacology graduate group handbook, which

1 is one of the other graduate programs in BGS.

2 Q And is pharmacology one of the graduate groups within BGS
3 that does not have a teaching requirement?

4 A Yes.

5 (Employer's E-17 identified.)

6 BY MR. JOHNS:

7 Q There's a discussion in here about -- and I just want to
8 make sure that we even are talking about -- first of all, does
9 this handbook outline the basic requirements in order to obtain
10 a PhD degree from the pharmacology graduate group?

11 A Yes.

12 Q Can you turn to the very last page. There's a discussion
13 notwithstanding the fact that you said that teaching is not
14 required, the discussion on the last page that talks about:
15 "although it's not required, are given the opportunities to
16 assist." Why does pharmacology give the opportunity to its
17 graduate students to assist in teaching?

18 A For students who would be interested in a career that
19 involves lecturing or teaching, students should have that
20 opportunity to get that experience while they're here. So
21 that's the basic reason is, you know, if they want that
22 opportunity, it's available to them. So they can request it.

23 Q What do BGS PhD students, once they receive their degree,
24 what are the types of positions that they typically go into?

25 A So, 60 percent of our graduates end up in some research-

1 intensive experience where they are either faculty members in
2 which as a faculty member, a component of your position most
3 often includes teaching, as well as research.

4 Others end up in industry. Again, even in industry, most
5 of the industry work is team-based work. And so a really
6 critical component of team-based work is being able to present
7 your data and being able to explain projects and where they
8 should go.

9 So for those 60 percent of the careers, that visit's
10 incredibly important. Among the other 40 percent, about 15
11 percent of them go into pure teaching positions. So obviously,
12 this is very critical for them. And many of those students
13 take advantage of our teaching certificate which nicely builds
14 on the NGG model where they start that sort of an experience.

15 The neuroscience model, where they start with the
16 experience, where they, you know, give that TA. They have
17 training in terms of how to TA, but then they follow that up
18 with some additional teaching experiences.

19 Some of the other students -- other careers that our
20 students end up in include, some end up being clinicians, those
21 are largely our MD-PhD students, so they're not a pure PhD
22 student. And then the remaining of them do things such as law,
23 patent law, business with an MBA; each of these career
24 opportunities involve presentation for the most part. So we
25 think that this is a valuable skill especially preparing them

1 to get up and talk about their own research. Sometimes it's
2 easier to start with talking about other people's findings
3 first.

4 Q Just to touch base briefly on what you said about the
5 people get their certificate program from the Center of
6 Teaching and Learning.

7 A Sure.

8 Q Can you just give us a general sense of what you need to
9 do in order to get a certificate from the Center of Teaching
10 and Learning?

11 A I don't have all of the details in my head, but I know
12 that --

13 Q Just in general.

14 A Yeah. It involves additional TA experiences. It involves
15 organizing any workshops that focus on teaching-related issues.
16 I gave a couple of these workshops, so I can give you an idea
17 of the topics like, how do you teach outside your area of
18 expertise?

19 Or how do you run an integrated classroom, or how do you
20 flip classroom. So those are some of the kinds of lectures
21 that -- I mean sort of topics that they're discussing. So the
22 big thing is to stay up on the cutting edge of what's going on
23 in education, so the workshops are designed around those. And
24 they largely employ our faculty, but they are able to also
25 bring in people from outside of the university to talk as well.

1 And I think they may need to be -- either be a head TA, or
2 teach a course, depending on which they're able to obtain. So
3 they do have a really true teaching experience as part of that.

4 Q I'm going to ask you what's going to sound like a really
5 dumb question, so I'm going to preface it -- there's talk when
6 you look at Exhibit E-17 too about dissertation and thesis.

7 Is there any difference between a thesis and a
8 dissertation, or are those terms used interchangeably
9 sometimes? I just want to make sure we all understand what
10 we're talking about.

11 A I think we do use dissertation and thesis interchangeably.
12 I think your dissertation really is the written document. But
13 I may be thinking about that backwards. The thesis to me is
14 sort of all of those things; the defense and the writing. But
15 the truth is, I think we use those words sort of
16 interchangeably, that they're part of this written document and
17 the oral defense that follows.

18 Q Just a few more questions for you, Dr. Jordan-Sciutto. Do
19 you or have you ever served on the thesis committee for any
20 students obtaining PhDs outside of BGS?

21 A Yes.

22 Q All right. Does that happen often?

23 A Yes.

24 Q Can you give us some examples from what other schools
25 you've served on thesis committees with students?

1 A So I've been on several thesis committees in the School of
2 Engineering related to my expertise there. I have been on
3 thesis committees also outside of the University of
4 Pennsylvania. I'm trying to think if I've ever served on one
5 in one of the other schools, but I can't remember.

6 Q But you have served on thesis committees within the School
7 of Engineering?

8 A Yes, sir.

9 Q Okay. Have you ever served as the mentor for a student
10 outside of BGS?

11 A I've not been the primary -- I have not been the primary
12 mentor for a student outside of BGS.

13 Q How about secondary mentor for any students outside of
14 BGS?

15 A I guess within a strongly collaborative on a project for
16 bioengineering.

17 Q Are you aware of any faculty members within BGS serving as
18 the mentor for students outside of BGS?

19 A Yes. I'm aware.

20 Q So that happens from time to time?

21 A Yes.

22 MR. JOHNS: Before I forget, I'd like to move for the
23 admission of Exhibit E-17.

24 HEARING OFFICER LEACH: Any objection from the Union?

25 MS. HOYE: No objection.

1 HEARING OFFICER LEACH: Okay. Employer's 17 is received.

2 (Employer's E-17 received.)

3 BY MR. JOHNS:

4 Q Okay. Just a couple more questions, and I promise you I
5 will be done. Does BGS sometimes or do faculty members of BGS
6 occasionally have technicians who perform research in the labs
7 as employees, do they sometimes then later apply for admission
8 into the PhD program of BGS?

9 A Yes, that's quite common actually.

10 Q When it happens that a student who had been formally a
11 technician, applies for admission into the School of BGS, I
12 want to get a sense, is that person who served as the
13 technician and is now a student, are they permitted to use the
14 research that they did as employees as part of their thesis?

15 A Absolutely not.

16 Q Why not?

17 A Because that work was (1) done as a technician, it's seen
18 as being done for the mentor, and is indeed actually the
19 mentor's research project. So when you're a technician in a
20 laboratory, you do the work that your mentor tells you to do.
21 The mentor does largely the experimental design, works up the
22 question, thinks of the idea. So the actual scientific work is
23 done by the mentor. It is the manual labor that is done by the
24 research technician by and large.

25 Those students -- those technicians can earn authorship if

1 they contribute to things like interpretation or the writing of
2 the document. But they're, in general, they are the work
3 that's done as a technician is seen as, you know, (1) it's an
4 exchange for the compensation they received as a technician.
5 And it is also, you know, it wasn't their idea; it wasn't there
6 project; it wasn't their question.

7 Q How does that differ from those individuals once they go
8 into the labs as graduate students?

9 A So as a graduate student, your project and experiments you
10 do are all dovetail off of this question that you originally
11 came up with. So, they are your ideas. And certainly, you get
12 input from your mentor and from your colleagues on how to do
13 it.

14 Your mentor certainly trains you in terms of designing
15 experiments and helps with the analyses. But the primary
16 question, the primary scientific premise, the thought behind
17 the project comes from the student. So, it's there -- it's
18 really their project.

19 Q And technicians are employees of the University of
20 Pennsylvania, and are not a student when they're a technician?

21 A They are employees of the University of Pennsylvania.

22 Q Sorry, I do have one last question. Never listen to a
23 lawyer in that instance.

24 When your students are in the program, do you consider
25 them research fellows, I just want to get a sense of the

1 terminology that's used.

2 A We think of them as research fellows; yes.

3 Q And is that true throughout the time that they are in the
4 BGS program?

5 A Yes.

6 Q So for all years including years one and two?

7 A Yes.

8 Q You have to say yes.

9 A I'm sorry, yes.

10 Q Yeah. So in years one and two, I think you stated earlier
11 when someone as a research fellow by designation, they're being
12 graded for the research that they do?

13 A Yes, they are.

14 MR. JOHNS: That's all we have.

15 THE WITNESS: Thank you.

16 HEARING OFFICER LEACH: Okay.

17 MR. JOHNS: The Union may have some questions for you.

18 Thank you, Dr. Jordan-Sciutto.

19 HEARING OFFICER LEACH: Union.

20 THE WITNESS: Thanks.

21 CROSS-EXAMINATION

22 BY MS. HOYE:

23 Q Good morning, Doctor. My name is Lauren Hoye. I'm one of
24 the lawyers that representing the Union in this case.

25 A Hi.

1 Q You mentioned that you sit on the Graduate Council of
2 Facilities. Are there any other programs out of the medical
3 school that have a director that sits on the Graduate Council
4 of Faculties?

5 A Not that I'm aware of.

6 Q Okay. The graduate groups that are within BGS, you said
7 there are seven of them; is that right?

8 A Yeah, seven --

9 Q Okay. And five of them do not have a teaching requirement
10 and two of them do --

11 A That's right.

12 Q -- is that right? Okay. And so immunology does not have
13 a teaching requirement; correct --

14 A No. No, it doesn't.

15 Q Does immunology have an undergraduate program?

16 A Not that I'm aware of.

17 Q Okay. Genomics and computational biology, no teaching
18 requirement there; correct?

19 A No teaching requirement.

20 Q And do they have an undergraduate program?

21 A Not that I'm aware of.

22 Q Okay. How about biochemistry and molecular biophysics.
23 Is there -- there's no teaching requirement there?

24 A No.

25 Q Okay. And do they have an undergraduate program?

1 A So their discipline is represented by three undergraduate
2 programs at Penn to my knowledge, chemistry, physics and
3 biology, all of which would have overlap with those three
4 departments.

5 Q Okay. Cell and molecular biology, there's no teaching
6 requirement there; correct?

7 A No teaching requirement.

8 Q Do they have an undergraduate program?

9 A I would think the majority of their material would be
10 covered under biology. Although chemistry would be relevant
11 and certainly essential to any of those experiments.

12 Q Pharmacology, there's no teaching requirement there;
13 correct?

14 A Correct.

15 Q And do they have an undergraduate program?

16 A I don't think there's a undergraduate program across the
17 country in pharmacology.

18 Q Okay.

19 A That's one of our issues in pharmacology.

20 Q Neuroscience, there is a teaching requirement there;
21 correct?

22 A There is.

23 Q Okay. And there is an undergraduate program there in
24 neuroscience; correct?

25 A Yes.

1 Q Okay. Now, graduate students generally though as you
2 testified to in BGS can work as a TA subject to some
3 restrictions if they choose to do so; correct?

4 A They can do so if they choose.

5 Q Okay. And that would be for an undergraduate course?

6 A It can be for an undergraduate course. It can be for a
7 graduate level course. It can be anything that, you know, they
8 can even do it outside of the university, again with special
9 permission at other schools.

10 Q So it could be within BGS or it could be at another school
11 and university?

12 A Yep.

13 Q Okay. So for example, if the chemistry department had the
14 need for a TA, a student of BGS could TA in the chemistry
15 department?

16 A Yes.

17 Q Okay. And there's a maximum of two semesters that's
18 placed on that TAship?

19 A Yes.

20 Q Okay. And does that have to be in consecutive semesters,
21 or could it be one semester in year three, and one semester in
22 year five, for example?

23 A It's completely at the student's discretion for the -- for
24 those who have choices. So for NGG, which has a requirement,
25 and I think this may be true for epidemiology and biostatistics

1 that they may have specific times. They're not like, you have
2 to do it this semester, but there are timeframes in which they
3 occur. But they can -- for those that do subsequent elective
4 TAships, it is not.

5 Q Okay. And with respect to the NGG students that have the
6 teaching requirement, they typically do that in year three,
7 but --

8 A Typically --

9 Q -- but not always?

10 A It's typically year 3. A lot of it depends, you know,
11 they can move -- depending on the student's needs -- can move
12 depending on the project --

13 Q Okay.

14 A -- that they have, or maybe they really want to do a
15 specific course.

16 Q So it could possibly happen in year 4 or 5 depending on
17 the student?

18 A It could. But almost always it is year 3.

19 Q Okay. Is there any difference between the TA work that
20 students in neuroscience or is it epidemiology are doing, is
21 there any difference between that TA work and the elective TA
22 work that students are doing and perhaps the other BGS graduate
23 groups?

24 A So I would say -- I can speak best to the neuroscience
25 program. I admit that I don't know as well the epidemiology

1 and biostatistics platform for their TAs. But in NGG, one
2 big difference is that we provide them with training and peer
3 mentoring, because again, this is part of their educational
4 mission; so that they are going into this process with
5 knowledge about how to approach it.

6 Again, it is a requirement that get evaluations afterward,
7 and so that is -- and that is discussed with the academic
8 review committee. So these are -- this part is seen as an
9 evaluative process. So if they do the -- if they do TAing
10 without, you know, on their own, they get their student
11 evaluations that sort of they have to fill out for the
12 university -- for the course for the university.

13 But they don't actually -- aren't evaluated on that if
14 their thesis committees or with their mentor, or with their
15 programmist.

16 Q Are they given any training?

17 A They can have training if they seek it out, so our Center
18 for Teaching and Learning is actually quite generous with
19 providing the training, but it is again up to them to seek it
20 out.

21 Q Okay. I want to turn to -- I want to turn to Employer
22 Exhibit 16, it's the neuroscience grad group handbook. And
23 we'll go again to Section 1.7, that you testified about on
24 direct. Let me know when you're there.

25 A Yes. Okay.

1 Q Are you there? Okay. So in Section 1.7, Teaching
2 Requirement and Opportunities. You already said that students
3 in the neuroscience grad group are required to serve as a TA
4 for one semester.

5 It states here that that TAship must be in one of three
6 courses at the core of Penn's Biological Basis of Behavior
7 program called an Introduction to Brains and Behavior, and
8 Cellular Neuro Biology. Those two courses, the Introduction to
9 Brains and Behavior and Cellular Neuro Biology, are those
10 undergraduate courses?

11 A Yes.

12 Q Okay. And are they introductory level courses for
13 undergraduates?

14 A Definitely the first one is introductory. I don't know as
15 much about the other one.

16 Q Okay. Are they required courses for undergraduates in the
17 neuroscience program?

18 A Probably that first one definitely is. I do not know
19 about the second one.

20 Q Okay. The next sentence states that these TAships provide
21 NGG students with important teaching experience, and help to
22 better integrate the primary graduate and undergraduate
23 neuroscience programs on campus. Do you see where I'm
24 referring to?

25 A I thought I was, but now I'm not there.

1 Q Okay.

2 A Sorry.

3 Q Let me know when you're there. It's the second sentence
4 in that first paragraph under 1.7.

5 A I'm sorry, say that again.

6 Q The second sentence in that very first paragraph under
7 1.7, teaching requirement --

8 A Okay.

9 Q -- and opportunities. It starts: "These TAships
10 provide."

11 A Yeah.

12 Q Do you see that?

13 A Yep.

14 Q It just says:

15 "These TAships provide NGG students
16 with an important teaching experience and
17 help to better integrate the primary [and
18 help to better integrate the primary]
19 graduate and undergraduate neuroscience
20 programs on campus."

21 A Yes.

22 Q Do you see where I'm referring to?

23 A Yeah, I do --

24 Q Okay. So does the university have an interest in
25 integrating the primary graduate and undergraduate neuroscience

1 programs on campus?

2 A So I wouldn't characterize it the way that you're stating
3 it. What they're discussing here is obviously we would like to
4 recruit students to consider PhDs. So this creates an
5 opportunity for our undergraduates in BBB to see neuroscience
6 PhD as a career opportunity. So that's one way that they do
7 it.

8 The other thing is that our neuroscience and students and
9 the BBB program do a lot of outreach. So this includes
10 outreach to middle school students through what we call Kids
11 Judge, as well as through the Brain Bee and Upward Bound.

12 So these are outreach opportunities that we think are just
13 really critical in terms of making students before they even
14 get to undergrad to think about neuroscience as a discipline,
15 because it's not sort of widely canvassed in as you can imagine
16 grade schools, and elementary schools, and some high schools.

17 So this is one way in which we really want to facilitate
18 that interaction. It also obviously provides sort of a peer
19 and mentoring opportunity. So often, as an example, one of the
20 things they'll do is say, oh, you're interested in this, why
21 don't you work in Dr. Jordan-Sciutto's lab. She works under
22 neurodegeneration, you would really be interested in that. And
23 then the student will reach out and contact me, and say, oh, I
24 was talking to your student who's the TA for my class, would
25 you be interested in, you know, work having -- I would be

1 interested in your projects, can we talk about that? And then
2 they'll come, if it's a match, they may end up working in my
3 laboratory. If not, I can refer them to other faculty.

4 So, I think there is something that -- the idea is about
5 giving the undergrads the opportunity to know more about the
6 graduate student life, and get involved in research, because
7 obviously that's one of the things we think that's -- we're
8 excited about in our programs.

9 Q Just so I am clear, the BBB program, is that what amounts
10 to the undergraduate neuroscience program?

11 A BBB is what we would consider Penn's version of a
12 neuroscience undergraduate program.

13 Q Okay. So it sounds like that integration referred to here
14 between the primary graduate and undergraduate in neuroscience
15 programs list an aspect of that is a desire to recruit students
16 from the undergraduate neuroscience program into the graduate
17 program; is that fair to say?

18 A Into any graduate program. So I want it to be clear.
19 It's not that we're trying to get them to come to Penn. We
20 know that it's actually in their best interest to go someplace
21 else. Educationally, we think diversity and your experiences
22 meaning different institutions is among those things that's
23 important, but it is for them to consider this career path.

24 Q Okay. And yet presumably, you'd like them to come to
25 Penn; right?

1 A Oh, if they're really good; yeah, sure.

2 Q Okay. Moving on in that paragraph at 1.7, next sentence
3 says, they typically occur -- and I think it's referring here
4 to teaching assistantships, they typically occur in the year
5 immediately following successful completion of the candidacy
6 exam period. We talked about that.

7 The NGG Chair makes the TA assignments during June or July
8 for the upcoming academic year. So this is the Chair of the
9 neuroscience graduate group; correct?

10 A That's correct.

11 Q And that individual determines which graduate students in
12 the neuroscience graduate group is going to teach where;
13 correct?

14 A That's correct.

15 Q Okay. And students don't always get their first choice;
16 correct?

17 A They don't always get their first choice.

18 Q Okay. And in fact it states:

19 "While an effort will be made to place students in courses
20 of their choice, each course must be covered fully; correct?"

21 A Yes.

22 Q Okay. And that's referring to those undergraduate
23 courses; correct?

24 A That's right.

25 Q Okay. And it states -- and it states, the end of that

1 sentence: "and thus occasionally options are limited"; right?

2 A I mean options can be -- they will discuss it with the
3 student, but it, you know, there may be that they will be given
4 to that specific course. I should -- I think it's worth noting
5 that the number of TAs that you need for these courses is far,
6 far less than the number of our neuroscience students.

7 So often, this is in here obviously because we need to
8 have students do certain things. The majority of the time
9 students get their choice. Or and even, I know you mentioned
10 there's these three courses they cover. To the two students, I
11 have from NGG did not cover any of those courses. They covered
12 courses that were in Lifelong Learning.

13 What's the night school program at Penn called? There's a
14 -- I forget what it's called, but there is the -- it's the
15 program for in night school basically; they're the people who
16 pursue degrees in evening.

17 Q Okay.

18 A I forget the name of our program at Penn. Other places
19 I've been, it's called Lifelong Learning. So it's a place
20 where people will come to pursue their degree, but in the
21 evening at night. So it's geared towards working individuals.

22 Q Okay.

23 A So two of my students taught that class.

24 Q And that's an undergraduate course still?

25 A Well, it's in the undergraduate class, but it's a

1 different component of it. So it's not our standard standing
2 body of students who are, you know, taking a full-course load;
3 these are usually part-time students.

4 Q Okay.

5 A Although full-time students probably can take them; I
6 don't think it's off their radar.

7 Q Okay. The next paragraph here, you testified about
8 briefly on direct "in the rare cases," do you see that
9 paragraph?

10 A Yeah.

11 Q And it talks about this sort of repeat of the TAship, if
12 they don't do it satisfactorily the first round. What happens
13 if they don't complete it in a satisfactory way the second
14 time?

15 A I think that you would be in an area that we have never
16 experienced our NGG students are outstanding. So I don't --
17 it's just never been something I've even seen happen, but the
18 TA experience would be expected to be something they need to
19 complete successfully. They need to take it seriously because
20 it is a part of their evaluation and part of their career
21 development.

22 Q So if they are unable to complete it successfully, would
23 they lose their funding --

24 A No.

25 Q -- from the university?

1 A No.

2 Q They would continue in the program without completing it
3 successfully?

4 A If they are in good academic standing otherwise, yes. I
5 mean, so the good academic standing in terms of their research
6 is progressing; they're, you know, now often times, the kind of
7 scenario you're talking about, is unlikely to happen in an
8 engaged active, you know, student that we would recruit to our
9 program.

10 So, yes, this is an academic requirement. They would have
11 to complete that academic requirement. They would not lose
12 funding. They would only lose funding is if they were no
13 longer in good academic standing within the program, which
14 would mean, their research isn't progressing. They're, you
15 know, they're not succeeding in this TAship. They're not
16 showing up to lab. They're not doing any of the things they're
17 supposed to be doing that is part of obtaining the PhD.

18 Q So you could still be in good academic standing without
19 then successfully completing that TAship portion of the NGG
20 grad group?

21 A Sure.

22 Q Okay.

23 A Like I said, I think that's unprecedented. I've never
24 heard of that happening in all the years I've been in NGG.
25 But, yeah, I mean the TAship has no bearing on them receiving

1 their PhD, apart from the fact that they need to do it
2 successfully as part of the program.

3 Q Okay. I'm a little confused by what you just said.
4 Because the first part of it --

5 A I mean we need to be able to complete it; right? So in
6 order to get the PhD, they need it. But they're, you know,
7 having to repeat it would have no bearing on them being kicked
8 out of the program.

9 Q Okay. I understand what you're saying. If -- my question
10 has to do with, if they're unable to complete it the second
11 time -- so let's say, you've got someone that falls within this
12 paragraph. And they don't do it successfully the first time;
13 they're given a second shot, they don't do it the second time.
14 I understand that you're saying, we have never had that
15 experience --

16 A Yeah, I --

17 Q -- that you are not aware of that experience. What I'm
18 wondering is, if that person is unable to complete the TAship a
19 second time, at that point, can they remain in the group as
20 long as they're otherwise in good academic standing?

21 A Yes. I mean they would not be -- lose their funding or to
22 be kicked out of the program. I think they would have a very
23 serious conversation with the academic review committee to
24 discuss why this is happening. And, you know, they would put
25 measures in place to make sure that they were able to remediate

1 those issues. So, it's likely they would come up with a
2 remediation strategy in order to get this student through this
3 process.

4 Q Something like other than teaching that they could do?

5 A Something that would give them the skills that would be
6 related to this.

7 Q Okay.

8 A I mean you're talking to me about something, like I said,
9 that I don't think has ever happened in the history of our
10 program, so it would be completely uncharted territory.

11 Q Okay. I want to move on, in the same document, you
12 testified about some additional teaching opportunities that
13 students have that are elective.

14 A Sure.

15 Q And at the bottom -- or starting about halfway down this
16 same page, it's not numbered, but it's the page that has 1.7
17 teaching requirement and opportunities. It's the paragraph
18 that begins: "In addition to the one-semester tier
19 requirement"; do you see that?

20 A Yes.

21 Q Okay. So students are allowed to pursue two other
22 teaching opportunities. And as you said, they can do two
23 semesters; is that right?

24 A (No audible response.)

25 Q Okay. And the options listed here as I see are -- I'm

1 looking at the bullet points here -- an option of doing
2 individual tutoring; is that right?

3 A Yes.

4 Q Okay. And the second option is, it says:

5 "Sometimes BBB courses or other
6 courses at Penn request additional TAs from
7 the NGG. These requests must be approved
8 by the NGG Chair."

9 Do you see where I'm referring to?

10 A Yep.

11 Q Okay. So it's possible then that there's a need with
12 respect to either courses at BBB or other courses at the
13 university where there's a need for a TA, and that would be
14 filled by somebody from neuroscience?

15 A It could be.

16 Q Okay. And then the third option is the workshops that are
17 through the Center for Teaching and Learning, CTL; right?

18 A (No audible response.)

19 Q Okay.

20 A Yes.

21 Q I want to talk about the seventh group, which we didn't
22 touch on, the epidemiology and biostatistics grad group within
23 BGS. I'm going to show you a document I've marked Union 28.

24 A Thank you.

25 Q You're welcome. When you've had a chance to review this,

1 let me know. I know It's sort of a thick packet.

2 A Actually, may I get my reading glasses?

3 Q Absolutely. Yeah.

4 A That is super unfortunate, my glasses are broken.

5 Q Did they just break in your bag?

6 A I have no idea. I'll admit, I'm so at the point in the
7 reading-glasses phase, where I am just trying to not use them
8 as much as possible.

9 Q Take your time. I have tape.

10 A Do you really?

11 Q Redaction tape.

12 MR. JOHNS: So do I.

13 MS. HOYE: If it'll work.

14 HEARING OFFICER LEACH: Should we go --

15 COURT REPORTER: Yes.

16 HEARING OFFICER LEACH: -- we could go off the record for
17 a moment.

18 MS. HOYE: -- record for a minute.

19 THE WITNESS: Sorry.

20 HEARING OFFICER LEACH: No problem.

21 (Off the record at 11:56 a.m.)

22 (On the record at 11:58 a.m.)

23 COURT REPORTER: Back on the record.

24 CROSS-EXAMINATION (CONTINUED)

25 BY MS. HOYE:

1 Q Let me know when you've had a chance to review that. And
2 take your time.

3 A All right. Yes.

4 Q Okay. Do you recognize this document?

5 A I'll be honest, I have not seen this document, because
6 this webpage will not pull up on my -- on Safari.

7 Q Okay. Are you aware that epidemiology and biostatistics
8 has a handbook?

9 A Yes.

10 Q Okay. And have you seen that handbook before?

11 A I have not.

12 Q You have not? Okay. Well, let me ask you this. Are you
13 aware that epidemiology has a teaching requirement --

14 A I am aware.

15 Q -- is that right? Okay.

16 A Yes.

17 Q And that teaching requirement is also for one semester
18 similar to neuroscience --

19 A Yes.

20 Q -- is that correct? Okay. And as they are similar to
21 neuroscience a requirement about what course would fulfill that
22 teaching assistantship; if you know?

23 A I do not know.

24 Q Okay. And are the courses if you know that epidemiology
25 and biostatistics graduate students that they teach, are those

1 undergraduate courses; if you know?

2 A I believe most of them are master's student -- master's
3 level courses. I think they also teach graduate courses within
4 our program as well for BGS. I do not know if there are
5 undergraduate courses; I don't think there are.

6 Q Okay. Are the assignments for which courses they teach
7 made based on course needs?

8 A I mean I'm confused by that question. They wouldn't teach
9 a course that they don't need a TA for. So they would only
10 teach in courses where there are the need for a TA; right? So
11 I'm confused what your question is --

12 Q You answered -- you answered my question, but --

13 A I mean, so they wouldn't teach a course where there are no
14 TAs. They would only TA in courses where the TAs are
15 appropriate.

16 Q Where the university needed a TA to teach that course?

17 A So -- you keep saying "the university," which is weird,
18 because --

19 Q Okay.

20 A -- to me, because the university has no oversight over
21 these master's programs or the epidemiology. So --

22 Q Okay.

23 A -- this has to do with the program itself. And so this
24 program specifically oversees its own master's program as well.

25 And --

1 Q Okay.

2 A -- so these are courses all within their graduate
3 educational training program.

4 Q Okay. So --

5 A So this pro -- so this program, the master's program,
6 doesn't report up to my knowledge to the Vice Provost for
7 Education. They don't sit at that table with me.

8 Q Okay. So if I can refer you then -- this might help
9 clarify --

10 A Yeah, would you please --

11 Q -- if I can refer you to Section 7.5, Teaching Assistants.
12 Unfortunately, these pages are not numbered, but you can track
13 it by section number.

14 A 7 point?

15 Q 7.5, Teaching Assistants. And let me know when you're
16 there. Sure. Take your time.

17 A Here, there we go.

18 Q I'm looking at the bottom of that page, that 7.5 appears
19 on, it's the "Section 7.5.2, Students Who Serve As Teaching
20 Assistants." Do you see where I'm referring to?

21 A Yes.

22 Q Okay. So in that paragraph, I'm looking at the fifth
23 sentence, let me know when you're there, it starts: "Full-time
24 doctoral students may be asked."

25 A Yes.

1 Q It says:

2 "Full-time doctoral students may be
3 asked to teach an additional semester to
4 meet the needs of the department's
5 educational programs."

6 What's your understanding of what "the needs of the
7 department's educational programs" is referring to; if you
8 know?

9 A My guess is it's those master's programs, as well as the
10 PhD courses that they run.

11 Q Okay.

12 A So there are courses that are run -- they have a lot of
13 courses that are required as part of their PhD curriculum. So
14 I think it's TAs in both of those places.

15 Q Okay. The next sentence there says:

16 "Students who are fully supported on
17 research assistantships or trainingships
18 are eligible to receive supplementary
19 compensation for additional teaching."

20 Is that right?

21 A That's right.

22 Q So you had testified on direct that in BGS, graduate
23 students who are performing research are referred to as
24 research fellows?

25 A Yes.

1 Q I see there's a reference here to research assistantships;
2 is there a distinction between research assistant and research
3 fellow in BGS?

4 A Not to my knowledge. Research assistants are actually
5 what we call the undergraduates who work in our laboratories.
6 It's just the title that is used for my undergrads. In the BGS
7 system, they are all research fellows.

8 Q Okay. So for purposes of graduate students, there's not a
9 distinction between a research assistant and a research fellow?

10 A (No audible response.)

11 Q Okay.

12 MR. JOHNS: Did she answer? There was no --

13 THE WITNESS: I'm sorry. There's no --

14 MS. HOYE: Sorry.

15 MR. JOHNS: I didn't hear a verbal answer.

16 MS. HOYE: Yeah.

17 HEARING OFFICER LEACH: So you have to just be sure you
18 say it into the record.

19 THE WITNESS: Sorry, again. To me there's no distinction.

20 HEARING OFFICER LEACH: Okay.

21 THE WITNESS: Research fellows are what we call them.

22 BY MS. HOYE:

23 Q Okay. I'm going to show you -- there's also a reference
24 there, Doctor, in that same sentence:

25 "Students who are fully supported on

1 research assistantships or traineeships are
2 eligible to receive supplementary
3 compensation for additional teaching."

4 What's a traineeship; if you know?

5 A So my guess is that these words all come from -- so,
6 epidemiology and biostatistics was an independent graduate
7 program up until about two years ago.

8 Q Okay.

9 A So my guess is that much of this wording comes from the
10 time before they transferred into our program.

11 Q Okay.

12 A So there isn't -- a traineeship, all of the students in
13 epidemiology and biostatistics are no different than our other
14 BGS students; they are research fellows. They perform research
15 in their area of interest related to their question, their
16 projects, in the hopes of earning their PhD.

17 Q So that term, traineeship then, you don't know what that
18 refers to, or have you ever --

19 A I've never heard that word --

20 Q -- okay. That's fine. Okay. I'm going to show you --
21 I'm going to show you a document, is marked Union 29.

22 HEARING OFFICER LEACH: Is there any objection to **Union 28**
23 being received into evidence from the Employer?

24 MR. JOHNS: No objection.

25 HEARING OFFICER LEACH: Okay. Union 28 is received.

1 (Union's U-28 identified and received.)

2 BY MS. HOYE:

3 Q Take a moment to review this document, and let me know
4 when you've had a chance to do so. This one will hopefully be
5 a little bit easier to read.

6 A Yes. Yeah. I recognize this one.

7 Q Okay. What are we looking at here?

8 A So this is the expectations that our students sign upon
9 arrival explaining all of our policies within the programs so
10 that they're aware of these things. So this is one of the
11 first things they sign as a graduate student.

12 (Union's U-29 identified.)

13 BY MS. HOYE:

14 Q Okay. And I want to go to page -- well, these aren't
15 numbered either -- but it is "Section 6: Other AGS Policies."
16 It's on the second-to-the-last page. Let me know when you're
17 there.

18 A I'm there.

19 Q Okay. And the second paragraph: "Student Teaching and
20 Other Supplemental Activity"; do you see that?

21 A Yep.

22 Q Okay. Now it looks to me like this section, Student
23 Teaching and Other Supplemental Activity talks about what
24 you've testified to already in terms of there are two graduate
25 groups within BGS that have -- they require teaching

1 assistantship and the remainder that do not have a required
2 teaching assistantship; is that fair to say?

3 A Yes.

4 Q Okay. And this idea of a supplemental teaching experience
5 for those who wish to have it; correct?

6 A I'm sorry? Can you say that again?

7 Q And the safety of a supplemental teaching experience for
8 those who wish to have it within BGS?

9 A Yes. They may have it.

10 Q Okay. So given that not all grad groups in BGS require a
11 teaching assistantship, is it accurate to say that the teaching
12 assistantship was not a necessary part of the academic training
13 for all students, all PhD students that are enrolled in BGS?

14 A It's not an academic requirement for all of our students.

15 Q Okay. I want to turn next to research. With respect to
16 research, is it accurate that all BGS graduate students are
17 expected to serve as a research fellow during the time they're
18 in BGS?

19 A That's a strange question to me. They are expected to
20 perform the research. We have to give it a name in our payroll
21 system, so it is the research fellows -- they are research
22 fellows. But, yes, that's what they're expected to do.

23 Q Okay. And the money that they receive while serving as a
24 research fellow, that's subject to taxation; correct?

25 A That's a complicated question, it's more complicated than

1 you think. Subject to certain types of taxation and depending
2 on whether they have their own funding from NIH or not. I
3 believe the rules differ.

4 But I am not a tax lawyer, and so I definitely don't know
5 all of those rules. But I do know that there are differences
6 in state requirements, versus local requirements, versus. So
7 as a stipend, I believe it is not subject to state taxation.

8 Q What about federal?

9 A I think everything is subject to federal.

10 Q And what about city; if you know?

11 A I do not know any more. I know that it used to -- so I
12 obviously was a PhD student. I happened to have been a PhD
13 student in Philadelphia. And I do know that it was not subject
14 to city tax, the stipends were not subject to city tax in that
15 era. But I do not know the current state. Lots of things have
16 changed since then.

17 Q Okay.

18 A Not just my vision.

19 (Laughing)

20 BY MS. HOYE:

21 Q Okay. The rotations that you've talked about,
22 specifically in -- are the rotations you talked about -- lab
23 rotations -- specific to neuroscience or true in any graduate
24 group within BGS?

25 A Which part of the last -- so, I mean all the students in

1 BGS do lab rotations, all seven --

2 Q Okay.

3 A -- programs require lab rotations as part of their
4 process.

5 Q Okay. And do those rotations occur in the fall, spring
6 and summer terms?

7 A That does change a little bit by the program. So there is
8 a -- they can occur in all three. They mostly occur in the
9 fall and the spring. And usually -- so again, different
10 programs different things -- so for some programs, you do three
11 rotations, you're done by the end spring. Some students come
12 early and actually start with a summer rotation. Right now we
13 have about 20 students doing that, but that varies year to
14 year. And it is optional based for the students.

15 Other students will may not find that perfect lab in those
16 first rotations, and so they'll do a summer rotation after the
17 first -- after the end of the first year.

18 Q So there are some students that are new to BGS that
19 started -- or new to the rotation portion of their BGS
20 education that started their rotation this summer?

21 A There are 20 students who started. They'll be part of the
22 incoming class in September, but they started June 5th or
23 something like that this year.

24 Q Okay.

25 A So they're doing rotations now.

1 Q Are they being paid --

2 A Yes.

3 Q -- this summer? Okay. Now the students that are in years
4 one -- BGS students that are in years one and two doing their
5 rotations through various labs, they're doing research while in
6 those rotations; is that correct?

7 A Sure.

8 Q Okay.

9 A They're doing research related to a project that they sort
10 of discussed with the mentor, we call it a rotation project.

11 Q Okay. And that's under the supervision of a faculty
12 member?

13 A Yes.

14 Q Okay. And are they considered research fellows?

15 A I mean they're all the same. Everybody has the same
16 nomenclature before they pass their qualifying exams and after.

17 Q Okay. And then the students that are doing research in
18 years three through five, or should be doing research in years
19 three through five, they're getting -- most of them are getting
20 funding through Penn during that time; correct?

21 A I mean they all get paid the entire time that they're
22 doing their PhDs. All their pay comes from the School of
23 Medicine.

24 Q Some of them have outside funding, though; or no?

25 A So, it's still awarded to them via Penn.

1 Q Okay.

2 A I mean, the award comes to them as a member of our
3 community; just like my research funding comes to me, as a
4 member of the Dental School.

5 Q Okay. I want to talk with you about publications. I see
6 that you have many publications. I'll show you a document that
7 I'll mark Union 30.

8 A Thank you for thinking I have many.

9 Q This is like everybody's favorite part of the case.

10 A I know. I'm going to look at my CV, and be a little
11 unhappy with myself, I suspect.

12 HEARING OFFICER LEACH: Does the Employer object to Union
13 29?

14 MR. JOHNS: No objection.

15 HEARING OFFICER LEACH: Okay. Union 29 is received.

16 (Union U-29 received.)

17 BY MS. HOYE:

18 Q Take a moment to review this, and let me know when you've
19 had a chance to do so.

20 A Yeah. Okay.

21 Q Okay. What are we looking at here?

22 A This looks like it's a Pub Med Search of my publication
23 record. It doesn't have all of my papers, but it has 20 of
24 them.

25 Q Okay. And --

1 A 26, I guess.

2 Q Okay. So this is not an exhaustive list of all your
3 publications?

4 A Yes. For whatever reason, you don't have any -- even
5 though it looks like you included my previous, alias, my name
6 before I got married, which was all my PhD work was under that
7 name, that's missing. But I am confused as to why a bunch of
8 the work that I've done since coming here isn't here. But
9 that's okay.

10 Q Okay. So this is -- is it fair to say that this is a list
11 of some of your publications, but not exhaustive it sounds
12 like?

13 A Yes.

14 Q Okay. Now can you just explain to us what the importance
15 is as a research scientist in these publications for you?

16 A So the importance of the publications for me there are
17 several levels of importance. Obviously, the publication is
18 the main means in which we as scientists convey our findings to
19 our community.

20 So the research journals and their system that exists
21 within the journals are for us to publish papers through a
22 peer-review means.

23 So all of the papers that are received for publication,
24 are reviewed by at least two if not more external private
25 reviewers that are unknown to the person who submitted the

1 paper, as well as at least one if not more editorial staff that
2 are scientists themselves so these are not editors in that they
3 are copy, text, writing these things.

4 These are editors in which they are evaluating the science
5 within the paper. So the main means in which we communicate
6 our new knowledge is through these publications. So that is
7 the -- these are what we would consider are sort of the product
8 of what my research and my laboratory does. But the big reason
9 for doing this is obviously to communicate the information.

10 And so getting the information out there is imperative,
11 because we want our colleagues to: (1) know about it, and to
12 use it in terms of driving their science. We also want it out
13 there so that it can inform people on what is going on in the
14 field. We want it out there so that it's clear that the work
15 we have done is being presented so that our funding sources
16 know that the work has been done, and has been published, and
17 so it is of high enough quality to be peer-reviewed and be
18 published.

19 Q Are there benefits to the university in faculty members
20 being published?

21 A So, what kind of benefits would you be discussing? There
22 are no financial benefits. In fact we pay to have our papers
23 published. All of our grant funding comes with a subset of
24 funding to specifically cover the costs of our publication.

25 So most publications actually come -- we actually pay to

1 have them published. So there isn't what you would consider
2 commercial value to these publications. The value of these
3 publications is in prestige, and honor, and contributing to the
4 knowledge base of the field. So it is a way in which we can
5 show that our faculty are contributing to their field at large.

6 Q Now, with respect to -- you've submitted grants to NIH and
7 NSF; correct?

8 A Only NIH.

9 Q Okay. So we'll deal with NIH.

10 A Oh, I guess I did submit an NSF when I was a graduate
11 student, but I don't even know if that's the same thing.

12 Q Okay. So with respect to the grants that you've submitted
13 to NIH, or grant applications I should say, that you've
14 submitted to NIH, that grant application is given a score;
15 correct?

16 A Yes.

17 Q Okay. And that score is based in part on an institutional
18 component; correct?

19 A Yes. There's an environment piece.

20 Q Okay. And what does that refer to?

21 A So in the environment section of the grant, we talk about
22 what we have in our laboratories that would meet the need --
23 what you would need to be able to do the science.

24 So, for example, if I am going to propose to do live cell
25 imaging, I need to demonstrate that I have a piece of equipment

1 that will capture cells live and to do the video recording. So
2 it is a place where we discuss all of the experimental
3 resources that we have.

4 We do talk about the collegiality of our colleagues. So I
5 will for example list my collaborators and who would contribute
6 to that work. I might discuss specific centers, or institutes
7 that are across campus that contribute to my work. For
8 example, the Center for Neurodegenerative Disease Research at
9 Penn provides me with tissue, so if my -- for Alzheimer Disease
10 patients.

11 So if I was going to write a grant that involved using
12 that tissue, I would list their center as a resource or an
13 environment. So the environmental piece of a grant
14 demonstrates that the university has the scientific environment
15 the sort of space for you to be able to conduct the study. So
16 it really is -- the score is based more on that you're able to
17 perform the experiments at the institution. It is less of a
18 qualifier of the institution.

19 Q So the scientific environment, is that based in part on
20 the publications that have already come out of that
21 institution?

22 A No.

23 Q Okay.

24 A It was based on my publication -- so the only thing that's
25 evaluated and that's actually me as the investigator, my

1 publications are evaluated and any collaborator that I have is
2 evaluated. So that -- and we put them in in something called a
3 biosketch.

4 So it's different than what you're seeing here. That
5 biosketch includes a summary of what we feel our contributions
6 to the field are, and key publications that support those key
7 contributions. So --

8 Q So -- oh, go ahead --

9 A -- the environment is not part of that.

10 Q So if you -- are you more likely to get grant funding if
11 you have had more publications?

12 A I am more likely to get a competing renewal. So if I've
13 already had funding for a topic, I am more likely to renew that
14 grant if I have published work on it. It's not the number,
15 it's the quality of the work, and how it relates to the next
16 stage of the process.

17 Q And that would be published work coming out of research
18 that's done in your lab; correct?

19 A Yes.

20 Q Okay. And that could include research being performed by
21 research fellows in your lab; correct?

22 A That is any work -- anyone who contributes intellectually
23 to the work or experimentally actually not -- it's more
24 intellectually contributing to the project -- can earn
25 authorship on the publication. So there are very strict

1 guidelines that we follow in terms of our publication
2 requirements.

3 Q And certainly, among the people who are contributing
4 intellectually to that research would be research fellows
5 working in the lab; correct?

6 A So I would call them my graduate students; but, yes.

7 Q Okay.

8 A So I don't call them research fellows. I call them
9 students. They are my --

10 Q Okay.

11 A -- I would say my students contributed to this.

12 Q But research fellows is the term that they're given
13 through payroll; is that what your testimony was before?

14 A Yes.

15 Q Okay. I just want to make sure we're talking about the
16 same people.

17 A Well, I mean I get -- I understand why you're making me
18 say that, but I want you to be -- I want it to be clear that I
19 don't think of them as my research fellows. I think they are
20 my graduate students. So when I -- when someone comes to my
21 lab and says, who's in your lab? I don't say I have four
22 research fellows. I say have four graduate students.

23 Q Okay. And these would be PhD students in your lab?

24 A Right.

25 Q Okay. I want to look at U-30, which should be in front of

1 you.

2 A Okay.

3 Q And I understand this is not an exhaustive list, I'm
4 looking just at the first entry here, and I'm not even going to
5 try to read what the title of that --

6 A Sure.

7 Q -- publication is. But I do see that there are four names
8 that are listed below.

9 A Yep.

10 Q Colacurcio, DJ's, Zieskin (ph), JW, you, and then Espinosa
11 CA.

12 A Yes.

13 Q Colacurcio, he was a graduate student that worked for you;
14 is that right?

15 A Dan Colacurcio did his PhD for me; yes.

16 Q Okay. How about JW Zieskin.

17 A Koby Zieskin also was one of my graduate students.

18 Q Okay. And then I see your name next. And then Espinosa,
19 CA Espinosa, who's that?

20 A She is now a research assistant professor, who I
21 collaborate with at this point when we published this paper,
22 she was a research associate, which is a faculty-level position
23 that comes after being a postdoctoral fellow and before we --
24 she becomes some sort of research or regular tenure track that
25 is in the system.

1 Q Okay. So she's a faculty member --

2 A She is faculty.

3 Q -- okay. In terms of the order in which these are listed,
4 the names are listed, can you explain to us what the
5 significance is in terms of the order in which the names are
6 listed?

7 A Sure. So, the first -- the person who's listed first is
8 usually the person who wrote the paper. And conceived of the
9 idea, the question, the hypothesis, that were test in this --
10 tested in this paper. They are usually the people who drive
11 the project.

12 And so they're the majority of the information contained
13 in the paper, would have been generated by this individual.
14 The last author is usually the person who was the overseer of
15 that project. So in this case, Dr. Espinosa, she was my MD-Mx,
16 MDM-IV expert in the laboratory. She brought that expertise to
17 my lab. We put it into a unique experimental context and of
18 course expanded it into this realm of looking at in the context
19 of Alzheimer's Disease.

20 And so this was really her overseeing this project. I
21 contributed as well, and was involved in many of the meetings
22 and overseeing Dan, but I this Challas (ph) project, she was
23 really the senior investigator. So this last person on the
24 paper is usually the person who is overseeing the project.

25 (Union U-30 identified.)

1 BY MS. HOYE:

2 Q Okay. And so on that first entry, can you tell us what
3 your role would have been on that project?

4 A So as I -- so I was also mentoring Dan, as one of my
5 graduate students. I mentored Dan. I provided input on the
6 research project. I provided input on the analysis. We'd
7 discussed, you know, aspects of design, aspects of
8 interpretation.

9 I reviewed the document. I, you know, certainly suggested
10 where things should be, different components of the paper that
11 needed to be included or excluded in terms of what was in the
12 text. So in this regard, Challa (ph) and I -- Dr. Espinosa and
13 I like we played somewhat overlapping roles, but because the
14 initial idea conceived around MD-MX and MD-MDM-IV, was hers.
15 She was senior author.

16 Q Okay.

17 A Which is what we call that last spot.

18 Q So that last spot, senior author, that's the term you use,
19 and that's the person who you said conceives of the initial
20 idea; is that fair to say --

21 A Well, she conceived of the sort of MD-MX and MDM-IV, the
22 big overarching goal.

23 Q Okay.

24 A This very focused piece was Dan's.

25 Q Okay.

1 A This was one of the major chapters in his thesis. He had
2 two chapters. This was one of them.

3 Q Okay. The NIH, you talked about how you had applied for
4 funding from the NIH; you've also received funding from the
5 NIH; correct?

6 A True.

7 Q Okay. And the graduate students in your lab have worked
8 on research that's funded by those grants; correct?

9 A Some of them.

10 Q Okay. And you in the course of submitting a grant
11 application to NIH, you are familiar with the budget that you
12 have to fill out that goes along with the grant application,
13 I'm sure.

14 A Absolutely.

15 Q Okay. And the budget sets out the funding that you want
16 NIH to provide to you to support the research that you're
17 either doing or going to be doing?

18 A Yes.

19 Q Okay. And who prepares the budget?

20 A So I provide guidelines in terms of the overarching thing.
21 So the budget initially starts with me, or I identify how many
22 people it would take to do the experiments that we're
23 proposing. The experimental -- like the amount of supplies,
24 any equipment, all of those types of things, I sort of come up
25 with a rough idea of what I would need for the experiments

1 proposed.

2 There is a grant administrator in our department who
3 really puts the budget together as it goes into the NIH. But
4 ultimately, it's me that's in charge of sort of dictating what
5 are the key pieces that we would need funding for: animals,
6 you know, et cetera.

7 Q Okay. And one of the key pieces would be personnel costs;
8 is that right?

9 A Yes.

10 Q Okay. And that would include salaries; correct?

11 A Yes.

12 Q Okay. And that would include salaries for postdocs; is
13 that right?

14 A Yes.

15 Q And graduate students; correct?

16 A Yes.

17 Q And undergraduate students; correct?

18 A I don't list my undergraduate students on mine. They are
19 so transient.

20 Q Okay. And then salary for the PI, too; correct?

21 A Salary for the PI.

22 Q Okay. And these would be the people that would be working
23 on the research underlying the grant application; correct?

24 A So when you write -- so often when you write a grant
25 proposal, you put out what people you would need to do it.

1 Because the grant isn't funded, it's not that you have these
2 people in hand.

3 So most often times, you know, obviously for when Challa,
4 and Dr. Espinosa, and I put in a grant together, we're
5 together; we've been a team a long time. We both go on the
6 grant. We both know that we're both going to contribute to
7 this work moving forward.

8 But if I was going to list a graduate student -- although,
9 I don't usually list graduate students -- what I list are
10 technicians and postdocs, largely because I can -- I know that
11 I can go out and hire those from the workforce.

12 Graduate students are not -- I don't go out and hire a
13 graduate student. Graduate students choose me, and so I can't
14 plan ahead. So I couldn't put a graduate student on a grant
15 for the future, unless they were already in my lab working on
16 it. And then the other thing is, they would not be required to
17 stay for the whole time.

18 So the budget that you put forward is really to outline
19 the personnel and the type of personnel you would need. It
20 isn't a contract that everybody who I've listed there will be
21 paid by that application. It is demonstrating that I have the
22 expertise that I can pursue this project.

23 Sometimes, I will list postdocs, particularly because I
24 have a postdoc who has an expertise that I know strengthens the
25 application. I can do the same thing with a technician. So I

1 tend not to have technicians in my laboratory so when I -- but
2 when I do, I can list them on my applications. I tend not to
3 do that just for stylistic reasons and how I run my laboratory.

4 Q Okay. But certainly on the budget, there is an area where
5 you could put in salary for graduate students; correct?

6 A If I were to -- so, the other complication with putting on
7 a graduate student, is you also have to put in tuition. So for
8 all entries, if you are going to list a graduate student, you
9 can. But if you do, you also need to include the tuition
10 coverage for them as well.

11 Q Okay.

12 A Another reason why I don't usually list students in this
13 role. I just see students in a different role here. You can
14 list students for sure. But --

15 Q Okay.

16 A -- that's just not -- I don't think that that's an
17 appropriate place for me to list them in terms of how I run my
18 laboratory, but it's different.

19 Q Okay.

20 A They can end up being paid off of it. And then when they
21 are, their salary, and their stipend, and their tuition comes
22 off of the grant.

23 Q Okay. So with respect to the salaries listed on the
24 budget, those are itemized direct costs; correct?

25 A No.

1 Q Okay.

2 A If I put in an itemized grant, then that is the case. If
3 I put in a modular grant, they are not itemized. So I do list
4 those individual people, but I do not -- I do not list the
5 cost.

6 So in my applications, if I'm putting in a modular budget
7 -- this is really NIH terminology crazy central -- but when you
8 put in a grant that's 250k or less, you can only ask for a
9 grant in 25k increments.

10 So for \$250,000, I might list me and two people. I don't
11 list what their salaries are. They just know that with me and
12 these two people, we can accomplish the experiments that are
13 proposed.

14 If I can do an itemized grant. And if I -- and that is
15 anything over 250k. So then in that case, there would be an
16 itemized thing that lists out the salaries of everybody that's
17 on the application.

18 Q Okay. So it depends then on how much money you're asking
19 for; is that fair to say?

20 A That's fair.

21 Q Okay. And there are also indirect costs --

22 A Yes.

23 Q -- is that correct? Okay. Can you explain to us what
24 those are?

25 A So the NIH has negotiated a contract with the NIH for

1 indirect costs. So for every dollar that we earn -- that we
2 sort of receive from the NIH to cover the costs of our
3 research, there is an additional 57.5 cents I think is our rate
4 right now that comes with that money to your school.

5 And I say that, because here at the University of
6 Pennsylvania, the money actually comes to the school that you
7 housed in, because we are a resource-centered-managed
8 university. So the money comes to the school. A percentage of
9 that money will go to the university to cover the costs of all
10 of the compliance that is needed in order to do research like
11 we propose.

12 So this includes: institutional use of animal --
13 institutional care and -- crap, I'm sorry. We call it the
14 IACUC, institutional animal care and use committee -- there it
15 is. The institutional review board which oversees and makes
16 sure that we are compliant with regard to human-subject
17 studies.

18 Environmental health and radiation safety, which does all
19 of our chemical hygiene, all of our radiation usage. So there
20 is large bodies that oversee that work to that. And so part of
21 the funding package covers -- so that goes to the university --
22 largely gets spent overseeing those what we call regulatory
23 bodies.

24 They also cover costs to offset the submission and
25 administration of grants. They can be used then in our home

1 schools to offset the costs of, you know, the lights,
2 electricity, the space, the deferred maintenance costs on our
3 building, which the bottom line is, the money that comes, does
4 not even come close to covering what really ends up being used
5 when we get a grant proposal here.

6 Q Are there any restrictions on how the money that comes in
7 for indirect costs is used?

8 A Any restrictions on how it's used? I'm sure there are
9 lots of restrictions on how it's used. I just don't know any.
10 I don't know --

11 Q Okay. Just give me one minute.

12 A Yeah. Sure.

13 Q You gave the example on direct or you talked about I
14 should say a BGS student working at Wharton Business School
15 with Wharton faculty, how many students are you aware of in BGS
16 that have worked at Wharton under a Wharton faculty?

17 A I don't have an exact number off the top of my head. I
18 simply know of it's one faculty member who was actually
19 recruited as a professor across our schools.

20 HEARING OFFICER LEACH: I could' hear you're a little low.

21 THE WITNESS: I'm sorry. There's one faculty member who
22 was recruited specifically as sort of this sort of joint
23 between the Wharton and the School of Medicine, but I don't
24 know the exact number of students that are working at Wharton
25 or Engineering for that matter.

1 Although I suspect there is quite a few of them there,
2 just knowing the number of faculty that are involved in BGS. I
3 just know them better because I am part of both of those
4 programs myself. I am --

5 BY MS. HOYE:

6 Q Okay.

7 A -- bioengineering as well as BGS. So I know those faculty
8 better. I just don't know the Wharton group as well myself.

9 Q Okay. So you're not -- you're not aware of how many
10 students from BGS have actually worked at Wharton under Wharton
11 faculty?

12 A I don't know.

13 Q Okay. How many students at BGS are joint degree VMD-PhD,
14 if you know?

15 A So VMD-PhD is small, maybe -- so I'm doing the math in my
16 head, it's like 2 to 3 percent of our students -- so it might
17 be, we get maybe three or four a year in that program, so.

18 Q How about MD-PhD?

19 A About 120. We get about 20 a year.

20 Q 20 a year; is that what you said?

21 A (No audible response.) Actually that might be -- it
22 depends on how you count the MD-PhDs. So it might be 180 if
23 you count them in their post -- because they stay on for after
24 they get their PhDs to do their residencies, so.

25 Q Okay.

1 A It depends how you count them. But there's about 20 per
2 year.

3 Q Okay. And how many students are there overall in BGS
4 entering each year; if you know?

5 A I do know. I know that painfully well. So the number
6 that enters every year varies based on our acceptance rate. So
7 we make a certain number of offers. Every year that acceptance
8 rate varies a little bit. So our target goal is 120 students.

9 For this past year, the students that entered in 2016 were
10 like 121. We were right in the sweet spot. For the three
11 years prior to that, it was under 100. For the coming year,
12 it's 143. We did something right, but we're maybe --

13 Q That's for the --

14 A -- too right.

15 Q -- that's for the students --

16 A 2017.

17 Q Okay. There's a reference -- sorry, I'm sort of jumping
18 around here.

19 A That's all right.

20 Q In one of the documents that's in front of you, it's the
21 admission letter.

22 A Yes.

23 Q There's a reference in the final paragraph --

24 UNIDENTIFIED SPEAKER: Where are we?

25 MS. HOYE: It's E-13

1 BY MS. HOYE:

2 Q There's a reference in that final paragraph of that letter
3 to something called the Council of Graduate Schools; do you
4 know what that is?

5 A Let me look at what -- that timeframe.

6 Q Let me know when you have that.

7 A Oh, so this is the agreed by the Council of Graduate
8 Schools. This I suspect it all sort of generally agreement
9 with other graduate programs like ours across the country.

10 Q Okay. So --

11 A So this is Princeton, Columbia, Duke, NYU, like any other
12 place that's a graduate school, this is sort of our agreement
13 that we want adhered by them.

14 Q Okay. And I see in the paragraph that precedes that, that
15 begins:

16 "This letter if your official
17 notification of admission for the fall
18 2017. Note that you also have the
19 opportunity to start for the summer 2017
20 semester early June start date."

21 So students that are entering into the BGS program, could start
22 in the beginning of the fall term or the beginning of the
23 summer term?

24 A That's right.

25 Q Okay.

1 HEARING OFFICER LEACH: Did we move Union 30 in?

2 MS. HOYE: No.

3 HEARING OFFICER LEACH: Okay. Does the Employer object to
4 Union Exhibit 30?

5 MR. JOHNS: Yes. It's not a complete list of Dr. Jordan-
6 Sciutto's publications -- no, I'm just kidding. I don't.

7 (Laughing)

8 THE WITNESS: It is a weird selection of them, I'll admit.

9 MS. HOYE: I'll tell you what I --

10 HEARING OFFICER LEACH: So just so we're clear, no
11 objection from the Employer?

12 MR. JOHNS: No objection.

13 MS. HOYE: -- I got it from the Penn, it's linked on the
14 Penn website. So you got to take it up with them.

15 THE WITNESS: Yeah, I know. Believe me, I'll be looking
16 into which website you got this from, because, yeah, it's not
17 my --

18 HEARING OFFICER LEACH: Union 30 is received.

19 (Union Exhibit U-30 received.)

20 MS. HOYE: Just give me a minute.

21 BY MS. HOYE:

22 Q The IDP, individual development plan, I'm looking Employer
23 Exhibit 14, let me know when you have that.

24 A Yes. 14?

25 Q 14, yeah --

1 A Not 15?

2 Q -- the single page, yeah. I see that the IDP is due
3 August 1st of each year. So does that mean students are
4 expected to be working on their IDP over the summer, getting
5 ready to turn it in --

6 A No.

7 Q -- in August?

8 A That means it has to be completed each year. We will
9 verify on August 1st whether you've done it. It usually occurs
10 when they have their thesis committee meeting. So my student
11 just had a thesis committee meeting yesterday morning.

12 Q Okay.

13 A So we did her IDP the week before, because at that meeting
14 they'll ask her. And this is just true of every -- I think
15 this is worth knowing -- that at the beginning of every thesis
16 committee meeting, the committee sends the mentor out of the
17 room, and spends time talking to the student. The IDP is one
18 of the things that we discuss during that time.

19 But it's also a time for that student to get, you know,
20 specific feedback, to get -- to talk about mentor-student
21 relationships if they're having concerns. And it's a place to
22 get their help for the rest of the meeting if they think say, a
23 project's not going the way they want it to go, or the mentor
24 isn't being supportive, this is the venue for them to do that.

25 There is also an opportunity for the students to step out

1 and the mentor to have a similar discussion. So, there's equal
2 time for the committee. The committee really does serve the
3 student. And so the IDP reports to them. And then every
4 **August 1st**, we need to make sure that you did at least one this
5 year.

6 Q Okay. So it could be done before August 1st --

7 A It could be done any time.

8 Q -- is what you're saying? Okay. And in the case of the
9 student you just talked about, it was done for this thesis
10 committee meeting that was last week; is that correct?

11 A (No audible response.)

12 Q The document E-15, the other IDP related document. You
13 testified about the page that has the bubbles on it, is
14 essentially this -- the second page in the packet, but the
15 third --

16 A Yes.

17 Q -- total. And the bubbles that refer specifically to
18 mentoring/teaching, am I correct in understanding your
19 testimony that that section, that mentoring/teaching with below
20 a delegating providing instruction, providing instruction
21 feedback, setting expectations for others that that refers to
22 students that are mentoring -- graduate students that are
23 mentoring rotation students in the lab?

24 A That's definitely part of what that refers to. So, yes,
25 if you -- so, I think what you're trying to get at is whether

1 this refers to their performance as a teaching assistant?

2 Q Right.

3 A The mentor does not evaluate their -- any of the students
4 who do teaching assistantships, it isn't the mentor that
5 evaluates that. It's the person who's running the course, and
6 the students who provide the evaluation, and that goes back to
7 the academic review committee for those departments.

8 The mentoring and teaching that this is referring to is
9 the mentoring and teaching that occurs within the research
10 projects under the mentor's supervision. So it's within the
11 laboratory.

12 Q Okay. Do students in BGS work 12 months out of the year?

13 A I mean, minus two weeks that they're allowed for vacation
14 and university holidays.

15 Q Okay.

16 A Yes. I should note that that's if they take them. These
17 are all their choices. So I had a student who didn't take a
18 vacation for two years; that was his choice.

19 Q They're not required to take vacation?

20 A (No audible response.)

21 Q Okay.

22 A It's strongly encouraged, however.

23 MS. HOYE: I don't have any other questions for you.

24 Thank you very much.

25 THE WITNESS: No problem.

1 HEARING OFFICER LEACH: Employer.

2 MR. JOHNS: Yeah. Just a couple of follow up.

3 HEARING OFFICER LEACH: Um-hum.

4 REDIRECT EXAMINATION

5 BY MR. JOHNS:

6 Q We looked at the admission letter again. Does BGS make
7 offers or admit PhD students based on serving the needs of a
8 certain number of undergraduates?

9 A Absolutely not. The admissions process is completely
10 separate from any of those considerations. It actually is
11 linked to how much funding we can support. So it's how many
12 faculty within that graduate program can support them through
13 their thesis year. So it is linked more tightly to, do we have
14 enough labs for them to do research? I mean that's the key
15 thing, it would be useless to come here and not be able to find
16 a mentor. So all of the things that we monitor closely are
17 that there's enough places that have funding for them to do
18 research. That's one of the very main things.

19 Q You said that some students choose to start their program
20 in the summer; not all students choose to start their program
21 in the summer?

22 A Nope.

23 Q Some start late?

24 A Some start -- so this year they started June 5th, the
25 summer matriculants, they received a similar letter and

1 introduction. But they do attend the main, you know,
2 convocation, Welcome In the Fall with the rest of their peers.
3 The rest of them start sometime -- I think August 28th is the
4 first day for this year.

5 Q And the main convocation and welcome is around the fall
6 semester?

7 A It's August 28th; yeah, the day they start.

8 Q Okay. Is there an undergraduate program in epidemiology?

9 A I'm not aware of an undergraduate program in epidemiology,
10 but --

11 Q But there's a TA requirement in epidemiology?

12 A Yes.

13 Q I think you said there was an undergraduate program in
14 neuroscience, but then you started talking about BBB. Is there
15 an undergraduate program in neuroscience or is there an
16 undergraduate program in BBB? I just want to get clarification
17 of that.

18 A The undergraduate program is BBB.

19 Q There's no undergraduate program called neuroscience?

20 A There's not one called neuroscience.

21 Q Okay. I think I may have led you down the wrong term.
22 Just for terminology, you said you sit on -- I think I might
23 have asked you whether you sit on a Grad Council of Faculties;
24 do you sit on the Grad Council of Deans? The graduate --

25 A Yeah, see, so, I call it Grad Deans, because we use --

1 Q Yeah, that's what I mean --

2 A -- everything is -- So, yes, I sit on the Grad Deans.

3 Q There was one point where you were asked a question and
4 talked about graduate student salaries. Do graduate students
5 receive salaries or stipends?

6 A They receive stipends, which are -- you know, a minimum is
7 set by NIH.

8 Q You also talked about lab rotations that some if they
9 haven't been, you know, haven't been satisfied, not doing them
10 in summer, do the majority of students do their rotations in
11 the fall and the spring?

12 A The majority of rotations occur in the fall and the
13 spring. There's I think only a -- so only the 20 who -- you
14 know, the ones who start early. This year, we have a record
15 number of 20. I think that reflects the largest class size.
16 But most are done by the end of May, early June.

17 The problem is, each program does it a little bit
18 differently. They break down the time and rotations
19 differently. So it ends a little differently for each program.

20 Q If you could pull out U-28 for a second.

21 A Got it.

22 Q And I'm going to apologize --

23 A Yeah.

24 Q -- it's a bad one to read. I have to take my glasses off,
25 you can put them on.

1 MS. HOYE: Maybe you could trade.

2 (Laughing)

3 THE WITNESS: Yeah, right.

4 MR. JOHNS: I do not think it would help.

5 BY MR. JOHNS:

6 Q And I'm going to refer back to 7.5, the Teaching Assistant
7 section as well; okay?

8 A All right.

9 Q And really, just 7.5.1.

10 A Got it.

11 Q It says:

12 "The program assigns TAs to courses in the biostatistics
13 graduate programs, master's of science and programs outside
14 department such as the biomedical graduate studies programs,
15 master's of public health, master's of science. Are these
16 students TAing in both master's and PhD courses?

17 A Yes.

18 MR. JOHNS: No further questions.

19 MS. HOYE: I have just one follow up.

20 RE-CROSS-EXAMINATION

21 BY MS. HOYE:

22 Q The BBB which we've been referring to, that -- is it a
23 program? I want to use the correct terminology.

24 A So I am going to be not knowing the exact terminology we
25 use for BBB.

1 Q Okay.

2 A Because it's -- I know that it has faculty in it from both
3 that are both the disciplines from psychology and biology. So
4 I don't know whether it's a program or -- I don't know. Sorry.

5 Q Okay. Is it across all of BGS or is it --

6 A BBB's not in BGS.

7 Q Okay.

8 A BBB is in an under -- the undergraduate program.

9 Q Okay. Where is it located?

10 A I have no idea, sorry.

11 Q Or do you know which school or college it's affiliated
12 with?

13 A I believe it's affiliated with SAS.

14 MS. HOYE: Okay. I don't have any other questions. Thank
15 you.

16 HEARING OFFICER LEACH: Okay. I do. Are you okay to --

17 THE WITNESS: Sure.

18 HEARING OFFICER LEACH: Okay. All right. In the
19 beginning when you went over your titles and responsibilities,
20 you were talking a little bit fast. And I didn't get all of
21 it. So I want to be sure I'm clear. You're the Assistant Dean
22 of Graduate Education?

23 THE WITNESS: Associate Dean for Graduate --

24 HEARING OFFICER LEACH: Oh, associate, okay. Okay. And
25 then you also mentioned that you do something in Perelman; what

1 do you do there?

2 THE WITNESS: So my associate -- so the Associate Dean for
3 Graduate Education, is within the Perelman School of Medicine.
4 That is actually within that school.

5 HEARING OFFICER LEACH: Okay.

6 THE WITNESS: But my primary appointment's in the Dental
7 School.

8 HEARING OFFICER LEACH: Oh, okay, okay. That's the next
9 thing I was going to ask.

10 THE WITNESS: So, I have -- my faculty voting rights are
11 in the Dental School. But my administrative -- those
12 administrative responsibilities regarding the biomedical
13 graduate studies program, are in Perelman.

14 HEARING OFFICER LEACH: Associate Dean of Graduate
15 Education in Perelman.

16 THE WITNESS: Yes.

17 HEARING OFFICER LEACH: And you're also a Professor?

18 THE WITNESS: I'm also a Professor.

19 HEARING OFFICER LEACH: In the Dental School?

20 THE WITNESS: In Pathology in the Dental School.

21 HEARING OFFICER LEACH: Okay. Okay. Employer 11.

22 THE WITNESS: Yes.

23 HEARING OFFICER LEACH: Which is the colorful document.

24 THE WITNESS: Yes.

25 HEARING OFFICER LEACH: So what I do is highlight when I

1 feel like I'm missing a couple of things. So the Employer
2 asked you about Employer 11, and to offer an explanation. And
3 I highlighted there was a faculty interaction regarding
4 teaching and you mentioned something that an SAS person could
5 lecture in engineering.

6 THE WITNESS: For -- in our --

7 HEARING OFFICER LEACH: So can you explain that again,
8 because I didn't quite get the facts there.

9 THE WITNESS: Right. So we have a -- so there are courses
10 offered through our graduate programs, BGS.

11 HEARING OFFICER LEACH: Um-hum.

12 THE WITNESS: Because faculty in those programs come from
13 seven different schools across the university, including
14 Engineering or Wharton, or SAS --

15 HEARING OFFICER LEACH: Okay.

16 THE WITNESS: -- they will teach in those courses. So I
17 co-directed a course on cell cycle. And we had two faculty
18 from SAS whose expertise was very relevant to that topic who
19 gave lectures.

20 HEARING OFFICER LEACH: Okay.

21 THE WITNESS: And then oversaw student discussions, more
22 of our courses are around discussion. So we have faculty
23 contributing to the teaching mission at BGS across the campus.
24 So you're teaching within our program can occur both ways; we
25 can teach in other programs, they can teach in our programs.

1 HEARING OFFICER LEACH: Okay.

2 THE WITNESS: And while I'd say, they're usually part of
3 our graduate programs, because that's how we get to know them,
4 it's certainly not required. If somebody has an expertise that
5 we think is relevant, we can ask faculty to come and lecture.
6 They can say yes, they can say no; it's up to them. But that
7 happens.

8 HEARING OFFICER LEACH: Okay. You talked about the
9 involvement of Wharton. You said Wharton focuses on business
10 and certain research approaches make sense for your department?

11 THE WITNESS: For my graduate program. So for the example
12 I think I gave was that, you know, economics -- so
13 understanding how you make economic decisions is a budding
14 field in neuroscience that involves economics and neuroscience
15 expertise. And so there's a faculty member I think we just
16 brought in who explicitly serves in that niche.

17 And another faculty member who, you know, does moral
18 decisions within that program. And he's in psychology and the
19 arts and sciences.

20 HEARING OFFICER LEACH: So you would have -- it's possible
21 that I guess you would have some of your BGS students that are
22 working in collaboration with Wharton students, or that --
23 would they be working with Wharton Professors, or both?

24 THE WITNESS: Both. They could collaborate with Wharton
25 Professors. They could actually -- if the Wharton Professor is

1 part of our program, that Wharton Professor could be their
2 primary mentor.

3 HEARING OFFICER LEACH: Is that the same thing for
4 engineering?

5 THE WITNESS: Yes.

6 HEARING OFFICER LEACH: Okay.

7 THE WITNESS: And I definitely know examples in
8 engineering.

9 HEARING OFFICER LEACH: And for engineering, engineering
10 would have -- you know, they would have the master's and PhD
11 students as well; right?

12 THE WITNESS: Yes.

13 HEARING OFFICER LEACH: Okay. What about Wharton?
14 Wharton has, is it master's and PhD, or both; as far as what
15 you know?

16 THE WITNESS: Yeah. I mean I know they have a PhD
17 program, because that's the Grad Dean I interact with.

18 HEARING OFFICER LEACH: Okay.

19 THE WITNESS: I know they have probably -- they have an
20 MBA that's quite impressive across the country, so I suspect
21 that they have master's programs. I think that's what an MBA
22 is, a master's in --

23 HEARING OFFICER LEACH: And --

24 THE WITNESS: -- business administration. Yes.

25 HEARING OFFICER LEACH: -- do you know whether the -- as

1 far as the Wharton students, do you know whether Wharton has
2 teaching assistants or research assistants?

3 THE WITNESS: I have no idea. Sorry.

4 HEARING OFFICER LEACH: Okay.

5 MR. JOHNS: I would note, Madam Hearing Officer, we will
6 have a witness from Wharton at 2 o'clock --

7 HEARING OFFICER LEACH: Okay.

8 MR. JOHNS: -- or so.

9 HEARING OFFICER LEACH: Sounds good. Okay. I'll move on
10 then.

11 MR. JOHNS: Okay. I'm sorry. You get why I objected --

12 HEARING OFFICER LEACH: No, no, it's fine. If you tell me
13 that you're going to have somebody, then I --

14 MR. JOHNS: Yeah, at 2 o'clock.

15 HEARING OFFICER LEACH: -- can get that from someone else.
16 Okay.

17 THE WITNESS: Yeah. He'll know more about Wharton than I
18 do.

19 HEARING OFFICER LEACH: Okay. All right.

20 MR. JOHNS: Yeah, we have a -- we're done.

21 HEARING OFFICER LEACH: Just give me a moment please. I
22 want to be sure I understand. In the BGS program, you gave a
23 lot of explanation about TAs and the fact that they can do that
24 twice during their, I guess, academic career?

25 THE WITNESS: Yes.

1 HEARING OFFICER LEACH: But then they would have an
2 opportunity to do it later as well. We talked about research
3 assistants or research fellows. Are students in BGS assigned a
4 research assistant position in the same way they would be
5 assigned a TA position? Or would you say that they're doing
6 research based on I guess pursuing their degree?

7 THE WITNESS: They're always doing research based on
8 pursuing their degree. I don't know of anything -- I don't
9 think we could even permit them to be a research assistant --

10 HEARING OFFICER LEACH: Okay.

11 THE WITNESS: -- to do research that's unrelated to their
12 thesis. If that happened, I think the student would be well
13 within their rights to call me in and reprimand that faculty
14 member.

15 HEARING OFFICER LEACH: Okay.

16 THE WITNESS: I mean that's the kind of thing that is just
17 -- that's not what our students are meant to be. They are
18 meant to be pursuing their own academic interests; they're not
19 meant to be pursuing experiments that are to solely support
20 something that is unrelated to their project.

21 HEARING OFFICER LEACH: Okay. And I know the admission
22 letter discussed the stipend. What would you say that the
23 stipend is to be used for?

24 THE WITNESS: So the idea of the stipend is to offset
25 living expenses so that they can focus on their research

1 without having to worry about finding ways to cover their costs
2 for their, you know, living in Philadelphia which is, you know.

3 HEARING OFFICER LEACH: Okay.

4 THE WITNESS: Not super expensive, but not super cheap.

5 HEARING OFFICER LEACH: Got you. Okay. The admission
6 letter Employer 13, which is this one.

7 THE WITNESS: Yes.

8 HEARING OFFICER LEACH: Is there a -- was there a teaching
9 requirement? I don't see that --

10 HEARING OFFICER LEACH: No.

11 HEARING OFFICER LEACH: -- that's listed.

12 THE WITNESS: It's not listed.

13 HEARING OFFICER LEACH: So it's not required for this
14 particular person?

15 THE WITNESS: It's not required for any of the -- it's
16 only required for two of our programs.

17 HEARING OFFICER LEACH: Oh, I understand.

18 THE WITNESS: Yeah. So those --

19 HEARING OFFICER LEACH: Okay.

20 THE WITNESS: So, it's not in the overarching letter
21 because it's not part of their --

22 HEARING OFFICER LEACH: Understood.

23 THE WITNESS: -- for all questions.

24 HEARING OFFICER LEACH: Okay. Okay. I appreciate that.

25 When a student is acting as a TA, what do they do?

1 THE WITNESS: It depends on the course that they're TAing
2 for. So we have specific things that are outlined that they're
3 required to do. They're required to attend the teaching -- the
4 like -- no, it's not the teaching -- the.

5 HEARING OFFICER LEACH: Lectures?

6 THE WITNESS: Yeah, we're not there yet though.

7 HEARING OFFICER LEACH: Okay.

8 THE WITNESS: The preparatory course. So they're required
9 to attend the course that's offered by the Center for Teaching
10 and Learning on how to TA. They are required to attend the
11 lectures. They are required to for different ones, sometimes
12 they have to hold a recitation each week. Sometimes they grade
13 exams, and they design exams. So, it's a little different
14 depending on the course that they're TAing for.

15 HEARING OFFICER LEACH: Okay.

16 THE WITNESS: Usually it involves reviewing material that
17 was covered in class. So there's a great value in explaining
18 the information to somebody else. It really sort of solidifies
19 the core concepts, and it is one of the reasons that we favor
20 those core courses in neuroscience, because it really
21 consolidates that information for our neuroscience students.

22 HEARING OFFICER LEACH: When they hold their recitation
23 sections, are they in the classroom alone?

24 THE WITNESS: Yes. Well, or with their fellow TAs. There
25 may be a couple of them together. But they're not --

1 HEARING OFFICER LEACH: Okay.

2 THE WITNESS: -- the teacher's not there, the professor is
3 not there.

4 HEARING OFFICER LEACH: And how often do they -- how often
5 does a recitation section occur?

6 THE WITNESS: Probably at most, once a week. And that
7 likely varies, depending on the course that they're TAing for.

8 HEARING OFFICER LEACH: Okay. When they are acting as a
9 TA, who would be their -- who guides their teaching?

10 THE WITNESS: The professor in the course. So whoever is
11 the faculty member who's leading the course, is who they would
12 report to for being the TA.

13 HEARING OFFICER LEACH: Okay. And I think you said that
14 -- I'm sorry, and I know I may have heard this --

15 THE WITNESS: No, I --

16 HEARING OFFICER LEACH: -- yesterday, so I want to be sure
17 if I heard it from you. With regard to any teaching
18 evaluation, did you offer any testimony on that?

19 THE WITNESS: Yes.

20 HEARING OFFICER LEACH: Did you say they were -- can you
21 tell me what that -- and again --

22 THE WITNESS: Yes. So they --

23 HEARING OFFICER LEACH: -- I apologize.

24 THE WITNESS: -- they receive the fact on their
25 performance in the course. But of course the students provide

1 evaluations. But the really meaningful component is the
2 evaluation they get from the professor that they TAed with.

3 HEARING OFFICER LEACH: Okay.

4 THE WITNESS: So the professor who ran overarching course.

5 HEARING OFFICER LEACH: Okay. And is that feed -- does
6 that feedback have any relation to their funding?

7 THE WITNESS: No.

8 HEARING OFFICER LEACH: And I know you already gave the
9 example of what happens if someone has an issue with the TA,
10 that they can do it again, basically --

11 THE WITNESS: Yes.

12 HEARING OFFICER LEACH: -- have an opportunity to do that.
13 Okay. I don't have any other questions.

14 Does the Employer have any other questions?

15 MR. JOHNS: No.

16 HEARING OFFICER LEACH: The Union?

17 MS. HOYE: No.

18 HEARING OFFICER LEACH: Okay. We're done.

19 THE WITNESS: All right. Thank you.

20 HEARING OFFICER LEACH: Thank you. You're done.

21 (Laughing)

22 HEARING OFFICER LEACH: Not us.

23 THE WITNESS: Yes, sorry.

24 HEARING OFFICER LEACH: But you are. Thank you. Can we
25 go off the record.

1 COURT REPORTER: Yes, ma'am.

2 (Off the record / lunch recess at 1:10 p.m.)

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10 (On the record at 1:56 p.m.)

11 HEARING OFFICER LEACH: Okay. The Employer can call their
12 next witness.

13 MR. JOHNS: We call Dr. Eric Bradlow.

14 HEARING OFFICER LEACH: Okay. Good afternoon.

15 MR. BRADLOW: Hello.

16 HEARING OFFICER LEACH: How are you?

17 MR. BRADLOW: I'm great; you?

18 HEARING OFFICER LEACH: Great. Okay. Can you say your
19 first and last name, and spell it, please.

20 MR. BRADLOW: Eric Bradlow, E-R-I-C-; last name is
21 Bradlow, B-R-A-D-L-O-W.

22 (Whereupon,

23

ERIC BRADLOW,

24 was called as a witness by and on behalf of the Employer, and
25 after having been duly sworn was examined and testified as

1 follows:)

2 HEARING OFFICER LEACH: Okay.

3 DIRECT EXAMINATION

4 BY MR. JOHNS:

5 Q Good afternoon, Dr. Bradlow. Can you start by telling us
6 where you work?

7 A I'm a Professor at the Wharton School of the University of
8 Pennsylvania.

9 Q Okay. And what's your educational background?

10 A I have an undergraduate degree in statistics and economics
11 from the University of Pennsylvania and the Wharton School.
12 And I have a master's and PhD from the Graduate School of Arts
13 and Sciences at Harvard University.

14 Q And your PhD, in what discipline?

15 A My PhD is in statistics.

16 Q Okay. And what are your current positions at Penn?

17 A I hope you have a few minutes, because I've got a few of
18 them.

19 Q We do.

20 A I'm currently in the marketing department of the Wharton
21 School, it is my primary position. It's one of nine different
22 departments within Wharton. I currently am the Chairperson of
23 the department, so I run the department. But I also have three
24 other faculty appointments.

25 I'm also a Professor in the Graduate School of Education.

1 I'm a Professor of Economics, which is in the School of Arts
2 and Sciences. And I also have an appointment in the Statistics
3 Department, which is in the Wharton School.

4 Q Did you formerly hold any administrative positions within
5 the Wharton School?

6 A I did. Up until this past year. For seven years, I was
7 actually the longest standing person to hold this position, I
8 was the Vice Dean and Director of Wharton's Doctoral Programs.

9 Q Can you tell us just generally what your job duties were
10 in that position?

11 A Sure. As I mentioned to you, Wharton as a school --
12 obviously is one of the schools of the University of
13 Pennsylvania. Wharton has nine different departments. And so,
14 for example, I'm in marketing. I'm in statistics, finance,
15 counting -- these are all departments within the overall
16 school.

17 Each one of them has someone that runs their doctoral
18 program. But then there's a Vice Dean who sits on top of them
19 that runs, and is responsible for doctoral programs for the
20 entire school. That was the position that I held for seven
21 years. And of course, I reported up to the Graduate School
22 Council which is part of the University of Pennsylvania.

23 So I'm the rep -- besides running the different
24 departments, and for the graduate programs, I reported up to
25 the Grad School Council.

1 Q And who chairs the Graduate School Council?

2 A The Vice Provost -- or I may get her exact title wrong,
3 although she's sitting here -- the Vice Provost for Education
4 is currently Beth Winkelstein. Prior to that, it was Andy
5 Binns for the other six years for which I was Vice Dean.

6 Q And when you sat on that Council, did you have peers from
7 the other schools at the university that sat on that Council as
8 well?

9 A Yeah. Absolutely. I mean there was a representative from
10 all the other schools, Schools of Arts and Sciences,
11 Engineering, BGS, Annenberg, all the other different schools of
12 the university. And that's exactly was the purpose of us
13 meeting together.

14 Q All right. I want to get back to your faculty
15 appointments, just find out a little bit about that. Just
16 generally describe your job duties as a faculty member in that
17 role.

18 A Sure. I always view my job as kind of -- well, let's
19 imagine there's kind of four major parts to my job. So I'm a
20 research scholar. So I write academic papers, peer-reviewed
21 academic papers for the academic community. That's kind of one
22 major part of my job.

23 Obviously I teach at Wharton. We only have one faculty.
24 People ask us all the time, like do you have a faculty that
25 teaches undergrads, a different one that teaches PhDs? No. So

1 I teach undergraduates, master students, and PhD students. So
2 that's part of my job.

3 Three, we've talked about the administrative roles I've
4 taken at the school. So as I mentioned, I'm currently the
5 Chairperson of the marketing department. I guess I mentioned
6 for seven years, I was the Vice Dean of Wharton's Doctoral
7 Programs. I also forgot to mention, I also run an
8 interdisciplinary center on analytics at the Wharton School
9 called The Wharton Customer Analytics Initiative. I founded
10 that center nine years ago, and I'm the faculty director of
11 that center.

12 Q So those are --

13 A Oh, I forgot the fourth part. I treat this as a separate
14 bin, although maybe you could put it in bin no. 1. I treat
15 doctoral education as probably I feel it will be my lasting
16 legacy at the school.

17 So I'm a very -- I try to pay it forward. I advise a
18 large number of doctoral students across different schools of
19 the university. And I treat that separate from my own research
20 because it's about mentoring and education of students.

21 Q And when you say you advise doctoral students from
22 different places across the university, can you give us some
23 examples of that?

24 A Sure. So I can even give you examples currently.

25 Q Yes.

1 A So I currently have two doctoral students in the marketing
2 department who I'm their primary dissertation advisor. I just
3 grad -- that's in marketing. I have three graduate students
4 over the last two years where I was their primary advisor from
5 the statistics department, which is in Wharton. I have three
6 students right now in the School of Economics with whom I'm
7 either their co-chair of their dissertation or a committee
8 member on their dissertation committee. And I probably worked
9 with maybe four or five students in the School of Education
10 over the last few years as well. So I mean I take a very
11 active role in trying to mentor them, and trying to, you know,
12 create academic admissions.

13 Q Let me follow up on two things that you just said. You
14 said you've worked with some students in economics. Where does
15 the economics graduate group sit at the university?

16 A Yeah. So, we have to just be a little bit -- the answer's
17 clear, but we have to be a little bit careful. There's an
18 economics department. And that sits in the School of Arts and
19 Sciences at the University of Pennsylvania.

20 And so I work -- as a matter of fact, it's very, very,
21 common that people in Wharton work with people in the School of
22 Arts and Sciences. I could give many examples including a
23 joint program, my home department has with psychology, which we
24 can talk about separately.

25 But there's also a group called business economics and

1 public policy. Or we call it BEPP, B-E-P-P for short. That's
2 kind of an applied economics group within the Wharton School,
3 which is also of course, very cross-disciplinary.

4 So when you say economics, I just want to make sure we're
5 clear, we're talking about the School of Arts and Sciences
6 Economics Department. But if someone were to say to me
7 "applied economics," I would then say, that's the department
8 within the Wharton School.

9 But one nice thing, I'm sure this is something to touch
10 on, that's the -- I mean when people ask me what I love about
11 the University of Pennsylvania, it's the cross-disciplinary
12 nature of the school.

13 Q I'm going to follow up on a couple of things. And I'm
14 actually going to come back and just ask you generally, what
15 the Wharton School is. But --

16 A Sure.

17 Q -- since you've touched on these things, I want to get
18 them out while I remember. You talked about an
19 interdisciplinary center on analytics. Can you tell us a
20 little bit more about that?

21 A Sure. I mean you know, if we each -- if everybody in this
22 room had a dollar for every time the word big data, or data
23 science, or predictive analytics was said, either in the news
24 or just to us, we'd be wealthy. It's kind of, you know, how do
25 you collect data? How do you analyze data? How do you help

1 businesses make decisions with data?

2 That's the center I started nine years ago. We're a
3 cross-disciplinary center, meaning we have scholars from all
4 over the University of Pennsylvania and actually all over the
5 world. The way we work, we have a very simple, if you like,
6 and I call it a business model, but we're a nonprofit research
7 center, so we don't really have any business in that sense.

8 We partner with companies. Those companies share data and
9 business problems with us. And then we gift the data to
10 academics from all over the world in all departments, people
11 from computer science, to chemistry, to accounting, to
12 information systems.

13 And they basically help these companies solve their
14 problems by doing algorithmic development and research. So
15 that's what -- that was the main purpose we started the center
16 for was to act as a bridge between companies and academics.

17 And the one thing is I don't think we ever would have
18 forecast, but it's turned out this way, that we would have such
19 an impact on the academic community and in practice on so many
20 different fields; way beyond just those that are typically
21 associated with the School of Business.

22 Q Can you give us some examples?

23 A Yeah. So, for example, today we -- matter of fact, the
24 reason I couldn't come until this afternoon was we we had a
25 symposium today with one of our corporate partners. This is

1 after the research is all done. It turns out it's -- I could
2 name the company if you'd like -- but it's not important --
3 it's a financial services company.

4 We had scholars there: some were from education, some
5 were from economics, some were from finance, some were from
6 obviously from marketing, some were from statistics. And so,
7 as I've always said, analytics is industry and department
8 agnostic. It's department agnostic, it's school agnostic. You
9 know, the data doesn't care what department you're from, and
10 every school within the University of Pennsylvania -- and I'm
11 very proud that the University of Pennsylvania is building a
12 big umbrella organization around analytics -- is, you know,
13 every school, every student needs to understand how to collect
14 data, analyze data, and make decisions with data.

15 Q Do any students have involvement with the center for
16 analytics?

17 A Absolutely. And so we hire both undergraduate and
18 master's students from the Engineering School. Those students
19 want to help with the data aspects of the data we collect from
20 companies. We also offer courses to people from all over the
21 University of Pennsylvania in programming languages that are
22 known today -- I mean, I could tell you the names of them --
23 letter is R.

24 It's literally the letter R, it's a statistical
25 programming language; SQL, which is a database language;

1 Python, which is a programming language. And so our center
2 offers educational workshops for people. Typically, we get to
3 2 to 300 people showing up at these workshops. And these are
4 master students, PhD students, undergraduate students from all
5 over the university that we're trying to help educate them.

6 Q You say sometimes you have master's students in
7 engineering who would work there. Why would they have a
8 connected to analytics, engineering students?

9 A Well, the way I view the field of analytics, it really has
10 three basic parts to it. This is that -- matter of fact,
11 everybody would say it has three basic parts. The society for
12 people that work in this area says it has three parts.

13 One is the data collection part. So people in computer
14 science and engineering know how to build massive databases.
15 They know how to structure them. They know how to make them
16 efficient so that data can be extracted from them.

17 And so there are many students, as part of their education
18 from the engineering school, that want hands-on experience with
19 datasets. And so, we're an academic center. So we provide
20 them an educational opportunity to work with not just the
21 theory of data, but actually real data.

22 And so that's why many engineering students want to kind
23 of partner with our center and enhance their academic skills by
24 working on real problems and real data. The second part of
25 analytics is what we call prediction. So that's where people

1 that are like statisticians like myself come in. Is that once
2 we have a good dataset, we can now build models to predict the
3 future.

4 And then the third part is what people call optimization,
5 which is once you do that, now if you're a firm, you can set
6 optimal prices, or optimal coupons, or et cetera. So analytics
7 has three parts. If you'd like, the first part's about
8 database construction, and that's where people from the
9 engineering school play a very large role; then there's the
10 prediction part, then there's the optimization.

11 Q You said you had an appointment in the School of
12 Education; is that right?

13 A That's correct.

14 Q Okay.

15 A Actually, it was one of my greatest joys. My first job
16 actually out of graduate school was not at the University of
17 Pennsylvania; it was at the Educational Testing Service in
18 Princeton. I'm sure everybody in this room has taken one of
19 their tests whether it's the SAT, or the GRE, or TOEFL, or you
20 know, we're the test -- ATS is -- I say, we, it's been 21 years
21 -- we're the testing company.

22 And I was in their statistics and mathematical psychology
23 research group at ATS. And I kind of started off my academic
24 career by being a statistician for problems in education.

25 And so when I joined the University of Pennsylvania in the

1 Wharton School, the Dean of the School of Engineering at the
2 time actually contacted me and asked me if I would want an
3 appointment in the School of Education, which I said, well, of
4 course I do. It would be a great honor, and it would be
5 perfect because of the cross-disciplinary nature of the work
6 that I do with the people in the School of Education.

7 Q Have you taught any courses within the School of
8 Education?

9 A I have. So I taught a cross-listed course between -- a
10 cross-listed course between the Wharton School and the School
11 of Education. It was in an area called -- it's basically an
12 area of mathematical psychology.

13 And I actually served -- as I mentioned, I served on a
14 number of dissertations. And I'm actually asked to write
15 tenure letters quite often for people in the School of
16 Education because of my, if you'd like, crossover between
17 statistics and its application to areas of education.

18 Q I'm going to follow up on another thing you said. You
19 said there is a joint program between psychology and marketing,
20 I believe you referenced?

21 A Absolutely. So --

22 Q Could you describe that?

23 A Yeah. So, you know, the field of marketing is -- I mean
24 we're and if you want, we can also talk about faculty members
25 we have in marketing that are cross-disciplinary. But let me

1 get to psychology. Basically, people in marketing tend to have
2 PhDs in one of four areas.

3 So one is of course not surprisingly, marketing. That
4 would be a good thing. I don't happen to have one. I have one
5 as I mentioned to you from the School of Arts and Sciences, not
6 from a business school. But other statistics, which is my home
7 department; another is economics, which of course is also in
8 the School of Arts and Sciences; and the other one is
9 psychology, consumer behavior, why do people make the choices
10 they make, and this is what people in psychology study.

11 And so we figured it would be both for academic value, and
12 maybe also position in the market, that wouldn't it be great if
13 we could partner with the School of Arts and Sciences at Penn
14 and create a joint PhD program where you could be either
15 admitted to marketing in Wharton or psychology in the School of
16 Arts and Sciences.

17 And then you actually get a degree that's actually a joint
18 degree from both programs. It's not two PhDs, it's one PhD,
19 but you must meet the requirements of both the Psychology PhD
20 program and the Wharton Marketing PhD program.

21 And so we created this. This was created under my
22 leadership of Vice Dean. Obviously, it had to be voted by both
23 departments. It then went to both schools. It then went to
24 the -- who was then Andy Binns -- it went to the Vice Provost
25 for Education. It had to go to the Provost Office.

1 We just feel that the better marketing is tied to
2 fundamental disciplines, like psychology, statistics,
3 economics, the better the educational experience is for our
4 students. But we have a formal joint program. And we have
5 graduated students from it now.

6 Q And how long ago did you start that?

7 A I think it's -- I'm saying roughly, it's roughly -- well,
8 I cannot say roughly -- I know it's five years ago, maybe six,
9 because the first PhD student -- who happened to come in on the
10 psychology side -- again, you could be admitted into psychology
11 or marketing, and then after you arrive, you decide you want to
12 do this joint program.

13 She's came in from psychology. She's going to Washington
14 University in St. Louis. And we have probably maybe 10 PhD
15 students in that program now, which may not sound like a lot on
16 the surface, but it's actually a large fraction. Because you
17 know, PhD programs aren't hundreds and hundreds of students.

18 And so we really consider it one of our flagship programs.
19 And if I have my say, and if Beth, who's sitting back here, has
20 her say, if she approves, we'd also like to create a joint
21 program with economics. I think it would be a great thing for
22 the Wharton School. And I would be thrilled if we created a
23 joint program with the engineering school.

24 I think there are a lot of students that would want joint
25 PhDs between, for example, statistics, computer science. I

1 think University of Pennsylvania, because of its cross-
2 disciplinary nature, is the right university to do it at.

3 Q The students who have been in that joint program, do they
4 have interaction with faculty members from both Wharton and
5 from Psychology?

6 A Oh, well, they have to. So there isn't a choice. You
7 must have an advisor on both sides. And you must have
8 committee members from both sides. And also, let's just talk
9 about the physical taking of PhD courses. They must meet --
10 let me say it again -- they must meet the requirements of both
11 the psychology PhD program and the marketing PhD program. And
12 so it's professors like myself who teach the marketing PhD
13 courses. So there's multiple levels.

14 They have to have -- I mean they have to take courses from
15 our faculty. They have to write research papers in marketing
16 as well as research papers in psychology. And then their
17 dissertation has to have a joint part to it as well, a joint
18 supervision of faculty from both sides.

19 So they have to, if you'd like, get someone to agree to
20 advise them or supervise them both from psychology and from
21 marketing.

22 Q Let me step back and ask the much more basic question,
23 which is, can you just generally describe the Wharton School,
24 and then in particular, if you could outline the different
25 departments that you spoke about within the Wharton School?

1 A Sure. I mean we're a school of business. And so, it
2 doesn't mean we don't have basic scientists in the school. I
3 consider myself -- I mean, I'm a statistician -- we try -- we
4 obviously have three different -- obviously, we have three
5 different main educational programs at Wharton as part of our
6 teaching mission.

7 We have an undergraduate business school, which has
8 roughly 2,000 students in total; so 500 per year. We have a
9 master's program. The classic, the MBA program, which stands
10 for Master's in Business Administration. People always forget,
11 it's a master's program. That's what the M stands for in MBA,
12 it's a graduate program.

13 We have roughly 2,000 students in that program as well;
14 1,000 a year. And for two years. And then we have the PhD
15 program, I believe -- I may be wrong, but I don't think I am --
16 I'm pretty sure of all the business schools in the world -- we
17 are the largest PhD program.

18 Wharton takes doctoral education extremely seriously. In
19 every survey asked of the Wharton School, it's listed as the
20 number one priority of the faculty, the graduate programs. And
21 so we have nine departments. I'll see if I can name them all
22 from memory. I probably should be able to. I can name two
23 from memory, marketing and statistics, because I have
24 appointments in those departments.

25 Q You got a head start then.

1 A I got a head start. Marketing; statistics; we have
2 applied economics; we have finance; we have accounting; we have
3 management; we have a department we call OIDD, which is
4 Operations Information Decisions; we have healthcare
5 management; and we have -- I'm probably forgetting the other
6 one, it's probably like a real estate and insurance. So I
7 think those -- I might have forgotten one, I apologize --

8 Q Ethics and legal studies?

9 A Aha, I forgot that one. That doesn't mean I'm not an
10 ethical person, by the way.

11 (Laughing)

12 THE WITNESS: And by the way, we're on the 7th floor, and
13 they're on the 6th floor of our same building. So I could have
14 just gone up the buildings; but, yes, legal studies and
15 business ethics.

16 BY MR. JOHNS:

17 Q Okay. You may have said this, I'm not sure, approximately
18 however PhD students does Wharton have?

19 A Somewhere between 200 and 225.

20 Q Okay. Can you give us a sense of generally speaking, what
21 are the degree requirements for a Wharton PhD student?

22 A Yeah. This is one of the things that -- yes, let me just
23 tell you detail the requirements, and then if you want to ask
24 me about any parts of it.

25 So the University of Pennsylvania -- I always -- I know

1 this sounds -- well, since I'm second generation at the
2 University of Pennsylvania, and my son's third generation at
3 Penn, I just want to make sure we're clear -- the Wharton
4 School is part of the University of Pennsylvania.

5 And so we have -- there's a university -- the PhD degree
6 is not given by the Wharton School. The PhD degree is given by
7 the University of Pennsylvania. So we're the Wharton School of
8 the University of Pennsylvania. Penn has requirements, minimum
9 standards, for all PhD students. And so Penn has a minimum of
10 14 courses, full semester courses that every PhD student has to
11 take, that's the minimum. Actually many Wharton departments
12 have a higher standard than that. We're allowed to go up to as
13 many as 20; so it could be between 14 and 20.

14 And most PhD students take four classes a semester. So
15 you can think the first year and a half to two years, most
16 students are doing a combination of research and fulfilling
17 their course requirements.

18 Every department at the Wharton School, you must take
19 what's called a qualifying exam. It's typically both a written
20 exam, but could be written and oral. It's a written
21 examination. We just completed that exam in my department. So
22 all the grading is done. It's salient in my mind. So students
23 have to do that.

24 All students, in every department, have to write a
25 research paper; sometimes two, two research papers, which also,

1 you know, basically just show that you're capable of writing a
2 dissertation, which is an original piece of research, just like
3 it is for any scholar, or any that the PhDs do.

4 And then of course you have to write your dissertation.
5 So kind of the main phases of the Wharton PhD program are the
6 same as the main phases of everybody's PhD program. You have
7 course requirements; you have a qualifying exam; you have
8 research papers to demonstrate research competence; and you
9 have to write the dissertation itself.

10 So those are the main areas of the Wharton PhD program, as
11 well as teaching. And so we can talk about teaching depending
12 on what you ask.

13 Q My next question was going to be, in some of the
14 departments at Wharton, is teaching a degree requirement?

15 A It is.

16 Q And can you --

17 A And --

18 Q -- do you know in which departments that is; if you know?

19 A Well, here's -- let me say the departments I know about.
20 Let me just say the following first thing about teaching. The
21 answer is, in most departments, but not all it's a degree
22 requirement.

23 In my home department of marketing, we actually do not
24 require teaching of students; although, roughly half the
25 students choose to teach as part of their educational

1 experience.

2 Most of the departments in Wharton require teaching, and
3 that's laid out in their, you know, what's called an offer
4 letter if you'd like, which is when they're offered admission
5 to the University of Pennsylvania and the Wharton School
6 Doctoral programs, it says, here are your requirements around
7 teaching.

8 And so, most doctoral students at Wharton, if I had to
9 guess, 75-plus percent teaching during their educational
10 experience. And I can say, given my own educational experience
11 as I mentioned at Harvard, it was a crucial part of my
12 educational experience and training to become a professor.

13 Q In what way?

14 A Every way. I mean, you know, I mentioned to you, you
15 know, if you don't -- I mean, part of being a professor is
16 doing research, but also an important part of it is educating
17 scholars. And, you know, given the importance of education
18 today and educating tomorrow's future scholars -- whether it's
19 undergraduates, master's students, PhDs -- you need to be able
20 to teach. You need to be able to communicate your ideas well.

21 And, you know, we have something in universities, which
22 some people might like and not like, it's called tenure. And
23 we have a tenure clock. And when you're a junior professor,
24 it's really hard to publish a lot of papers. It's hard. It's
25 hard at any point in your career, but it's really hard.

1 And so to me, having the ability for doctoral students to
2 experience what it's like to stand up in front of a room and
3 educate people, and grade, and to all the things that we as
4 professors have to do, it's such an important part of your
5 training that -- as a student, that -- so I just feel it's a
6 fundamental part of the educational experience that most
7 students should get.

8 Q And you stated that even where it's not required, many
9 students opt to have the opportunity to teach; why do they do
10 that?

11 A I think it's for a couple reasons. One is, as we just
12 mentioned, which is when they go onto the job market, you know,
13 people look at your academic record, which means, you know,
14 where did you go as an undergraduate; where did you go to
15 graduate school; how many -- you know, what -- let me see your
16 research papers.

17 But schools today -- especially, remember we're a business
18 school -- part of our job when we're professors is to teach.
19 So if you have experience teaching as a graduate student, that
20 minimizes risk. In other words, they can see that you've
21 taught before. And so they understand that you know what it
22 means to create lesson plans, and to grade students, and to
23 have to take a complex idea, and make it simple, and to make it
24 so that you can explain it to people.

25 So I think it's a very, very important job. And the

1 reason why some students even though they're not required to
2 teach, choose to teach is because they want that experience
3 immediately as part of their educational training. And I've
4 always said, it's not research or teaching, it's research and
5 teaching.

6 And the most successful people that I've seen over my now
7 21 years at Penn -- but if you add on being a graduate student,
8 a lot years -- are the people that are able to take their
9 research and bring it into the classroom. And I think that's a
10 wonderful opportunity for students to learn -- for graduate
11 students to learn right from the beginning.

12 Q Now, you talked about the different requirements of the
13 PhD program. And if I'm understanding you correctly,
14 Dr. Bradlow, you're essentially saying that PhD students are
15 pretty much doing research throughout the time they're in the
16 program as PhD students; is that a fair characterization of
17 what it is?

18 A Yeah. I mean let me -- are you referring to Wharton PhD
19 students?

20 Q Yes. I'm talking about Wharton -- yes.

21 A Yeah. So we strongly encourage PhD students to get
22 involved in research in Day 1. As a matter of fact, I mean
23 this is going to sound strange -- we admitted five PhD students
24 to marketing this year and five to statistics.

25 I've already started working on research projects with a

1 number of those students. Why wait? And so, we've started
2 working on projects. But, yes, even though if you'd like, a
3 lot of people may be colloquially call those first two years
4 the years for coursework, it's not right.

5 You need to -- we have students start research kind of
6 immediately once they arrive. And that could be as an RA,
7 where they join a professor who's got an existing project, and
8 they join that project, and they learn how to do research, and
9 they learn how to research ideas. Or it could be -- a lot of
10 students now, you know, what used to be 21, or 22, or 25, or
11 30, or whatever age someone is, is the new 20, a lot of these
12 students come in, and they know what they want to research on.

13 And actually, one of the things that's wonderful is many
14 students come to us now -- when I was an undergraduate, they
15 didn't have these opportunities -- but come to us with research
16 programs.

17 And I could tell you all the acronyms of Penn's wonderful
18 undergraduate research programs, but many graduate students
19 come to us now with research experience and they actually kind
20 of already have somewhat of an idea of the kind of projects
21 they want to work on.

22 Q Does the research that these students start very early on
23 and then continue throughout their career, does that ultimately
24 end up resulting in the dissertation?

25 A The answer is, sometimes yes, sometimes no. I'll just use

1 myself as an example. As I said, I started as someone -- I
2 mean I love mathematics, I loved math as a child. I went to
3 graduate school to be a what's called a theoretical
4 mathematician.

5 It turns out, I'm okay at it, but I'm not great at it.
6 I'm not as great as I needed to be. And so, I spent the first
7 two years of my doctoral career doing kind of theoretical math.
8 And then realized that actually I had more of a passion for
9 applied math and statistics and what I do now, which is
10 analytics.

11 And so I switched. And it's not that I switched
12 departments. I switched areas within departments. And so, as
13 I mentioned, let's just take my home department of marketing.
14 We have people studying statistics, economics, psychology,
15 marketing -- and I actually left out, at some point we could
16 talk about Penn Integrates Knowledge Professors -- but another
17 area which has really become a big part of not just marketing,
18 but of Wharton as a whole is neuroscience, which is housed in
19 the School of Medicine.

20 And so, there may be a time -- I shouldn't have left them
21 out -- there may be a time where we actually besides having
22 joint degrees with psychology, we may have them with economics;
23 I hope we have them with computer science; and we may have them
24 with the School of Medicine and neuroscience.

25 Q Do Wharton students -- Wharton PhD students sometimes have

1 the opportunity to do research with professors from outside
2 Wharton?

3 A Oh, that's -- I mean yes. In many cases, it's strongly
4 encouraged. So for example, like one thing we just mentioned
5 was the formal joint PhD program with the psychology. There
6 actually is also a joint PhD program with the law school. We
7 also have a joint PhD program -- or sorry, this one's a dual
8 degree program.

9 There's an MD-PhD program. And so these are individuals
10 from the medical school who are getting their medical degree,
11 but also getting their PhD degree, and actually probably my
12 most famous doctoral student that I have who's now a Professor
13 at Penn in the School of Medicine was an MD-PhD student.

14 And so -- and as I also mentioned, just the overlap
15 between applied economics and economics that we've already
16 talked about between statistics and computer science;
17 statistics as in Wharton, computer science as in engineering;
18 marketing in Wharton; psychology.

19 Matter of fact, many, many of our students -- pretty much
20 most of -- not all of our students take PhD level courses
21 outside of the Wharton School. And when appropriate, are
22 encouraged to seek out faculty at Penn that can help strengthen
23 their training.

24 Q Have you also had students from outside the Wharton School
25 do research with professors inside the Wharton School?

1 A Absolutely. I mean I already gave as an example. I'll
2 give one -- I'll get back to my examples, but then I want to
3 talk about another program that became -- is actually becoming
4 more and more popular.

5 So as I mentioned, I'm currently working with students in
6 education, in the School of Education. I'm working with
7 economic students; Students in the School of Arts and Sciences.
8 I've told you I've already advised PhD students in the School
9 of Medicine.

10 I've had conversations, never formally advised people from
11 the Annenberg School. And so I've actually worked on a project
12 not as an advisor, but people in the Nursing School; maybe as
13 you can guess, there's nobody I won't work with, if the
14 problem's interesting and it's there.

15 It turns out actually, one of the -- I don't think there's
16 a -- I don't know, but I don't think there's a formal program
17 for this, although there's a funding relationship here --
18 there's a division of the math department, the Graduate School
19 of Arts and Sciences Math Department called AMCS, applied math
20 and computer science. And many of those students work with
21 students in the school -- in Wharton with the statistics
22 faculty in the Wharton School.

23 It's actually one of the most popular doctoral level
24 programs where the applied math students also work with
25 professors of statistics. And it's been something wildly

1 popular. And again, it's for students that want to kind of
2 bridge the theoretical math with the kind of statistics, which
3 is more of an applied discipline.

4 Q So these would be PhD students within that applied math
5 program doing research projects and research with Wharton
6 faculty members in statistics?

7 A That is correct. And again, that's just one example. As
8 I've mentioned marketing, psychology already, economics and
9 applied economics, but absolutely. As a matter of fact, I
10 would say that since I've taught a PhD class every year but one
11 in my 21 years, I'm trying to think of any single year where I
12 didn't have a PhD student from another school in my class. It
13 would be hard for me to think of a year where I didn't have a
14 PhD student from one of the other Penn schools taking my
15 doctoral class. And I think that's extremely common.

16 Q Education, I just want to get a sense of, you said you
17 worked with students in education. Can you give us a sense of
18 the type of research projects that an education student might
19 do with you?

20 A Sure. In my case, since I'm a statistician, a lot of
21 things in education have to do with experiments. So for
22 example, imagine taking the Philadelphia School System and
23 imagine you want to know the efficacy of a particular education
24 program.

25 I mean you can't just give all the schools that education

1 program, because then you wouldn't know what would happen if
2 you didn't give it to some of the schools. And these are
3 called randomized experiments. They're sometimes called AB
4 tests. There's another name for them.

5 And so my actual training, part of my training is in
6 running experiments in an area called causal inference. And
7 since I have exposure and knowledge of the field of education,
8 as well as knowledge of statistics, there can be students in
9 the School of Education that are going to be running literally
10 field experiments with, it could be the Philadelphia Public
11 School System; it could be with a bunch of nonprofits; it could
12 be on new ways to teach certain content in pre-K through 12
13 education. And I work with them, because I know how to analyze
14 the data and set up these experiments.

15 And so, by the way, it's why I work with people in the
16 School of Medicine. The people in School of Medicine, Ron, you
17 know, should I give the person drug A or drug B? And so that's
18 the why that -- you know, that's why I love being a
19 statistician because, you know, everybody needs statisticians.

20 Q So, you sound like --

21 A It helps me sleep at night to think that.

22 Q I'll think about that tonight when I go to sleep.

23 (Laughing)

24 BY MR. JOHNS:

25 Q Have you worked with PhD students from the BGS program,

1 though, the biomedical graduate studies?

2 A Yeah. So I've never worked with -- I've never personally
3 worked with PhD students from the BGS program; no, I have not.

4 Q Have any other Wharton professors?

5 A Yes. I can't give you their names, but I do know that
6 Wharton does work with students in BGS.

7 Q Let me come back to something you said earlier. And I had
8 it on a list to ask you, but you mentioned it, so let's follow
9 up on it, which is the PIK program. What is the PIK program?

10 A Yeah. So, of the many wonderful things she's done, we
11 have a -- I don't have to say this because it's on the record,
12 she knows I feel this way -- we have a very visionary
13 president. Amy Gutmann's an inspiring leader. And one of the
14 things she realizes is that the way that the -- the strength --
15 one of the many strengths of Penn is its interdisciplinary
16 nature.

17 And so I believe now the number's 21, I think it just -- I
18 would have said 20 if we had held this a week ago, but there
19 was an announcement of a 21st I believe of the -- I think it's
20 something like 2,000 faculty at the University of Pennsylvania.
21 That includes the medical system and all the different schools.

22 There are only 21 professors that have been designated by
23 the president as what are called Penn Integrates Knowledge.
24 That's what PIK stands for Penn Integrates Knowledge
25 Professors. And this is to reflect the fact that Penn doesn't

1 see boundaries between schools, maybe in the way that other
2 schools do.

3 I mean I always say with people, you know, I understand
4 what I teach, but I mean I'm a Penn faculty member first. And
5 so there are 21 faculty members in the entire university that
6 are Penn Integrates Knowledge Professors. And I'm extremely
7 proud to say three of them are in the Wharton Marketing
8 Department.

9 I'll just say it again for the record, three of 21 of them
10 are in the Wharton Marketing Department. One is someone we
11 just hired last year. His name is Aviv Nevo. A very world-
12 famous economist. We stole him away from the Graduate School
13 of Arts and Sciences at Northwestern University. He's got an
14 appointment in both the Wharton School Marketing Department and
15 in Penn Economics.

16 And he's one of the reasons we hired him, besides all the
17 other reasons, was to foster this joint marketing economics
18 program among other things.

19 And one of the other persons we just hired two years ago,
20 his name is Michael Platt. He's a three-way PIK professor. So
21 imagine this, he's got an appointment in three different
22 schools. So, in Wharton Marketing, in Penn Psychology, so it's
23 in the School of Arts and Sciences, and also in the School of
24 Medicine, because he's a monkey scientist.

25 And so but everybody wants to understand how someone's,

1 you know, how you can measure what's going on in the brain, and
2 how it affects people's choices. Businesses care about that.
3 And then our third Penn Integrates Knowledge Professor is a
4 woman by the name of Barbara Mellers.

5 She joined us maybe six or seven years ago. She was one
6 of the first Penn Integrates Knowledge Professors. And she's
7 joint between us and psychology. And she was one of the
8 academic thought-leaders that led to the construction of the
9 joint marketing psychology PhD program we've talked about.

10 So I'm very proud -- and by the way, the 21st Penn
11 Integrates Knowledge Professor we just mentioned is between
12 Wharton and the law school. And so I'd have to think if there
13 are other PIK Professors in Wharton. But I think those --
14 those probably represent all of them, but maybe not. But
15 either way, I know of three of 21 are in the Wharton Marketing
16 Department.

17 Q You'll be pleased to know I'm not going to ask you what a
18 monkey scientist is, so.

19 A Well, it's a person that does experiments on monkeys.

20 Q Okay.

21 A She actually has a lab with monkeys in it.

22 Q Okay.

23 A And, you know, most of the time you can't put a device on
24 humans' brains. Most humans aren't so happy when you do that.
25 I'm not sure monkeys are happy when you do that either. But

1 with, you know, obviously with ethical standards, you can
2 measure things in monkeys.

3 Q Got it. Let's talk a little bit about teaching. When
4 Wharton PhD students serve in teaching roles, can you generally
5 describe what they would do with respect to a course?

6 A Yeah. So teaching can mean a bunch of different things at
7 Wharton. So you could be an instructor of a course. And so
8 they could be the actual professor. That's one possibility.
9 So just like I'm a professor, and I run the class, PhD students
10 could be the actual professor for a class. That's more rare,
11 but that can happen. It typically would happen in a summer
12 course; typically wouldn't happen in a -- well, I'll call it a
13 daytime course, but it can happen.

14 If the faculty of the department believe it's important
15 for their educational mission -- in other words, and that the
16 student can handle it -- if the person thinks why not gain
17 experience teaching now. So that's one role.

18 Another role of course is we already talked about briefly
19 is as a teaching assistant. And so there, whether it's a PhD
20 student or a master's student, would work hand in hand with a
21 professor. They may or may not sit in on the class, and
22 typically -- not always, this is a class they've already taken.

23 They would sit in on a class. They would help grade the
24 class. They would hold office hours for the class. They
25 would help students understand the material. In many cases,

1 not all, in many cases, they also teach what's called a section
2 of a class.

3 So it's not the lecture with the professor in front, but
4 I'll make an example -- I'm not making this up, I'll give this
5 as example -- let's say I teach a course on Tuesdays and
6 Thursdays from 9:00 to 10:30, the students show up to that
7 class. Then on Fridays at noon, there'll be what's called a
8 recitation section where the PhD student or the master's
9 student might lead a section -- a much smaller group of
10 students to go over the material, to teach them the content, to
11 go over some other aspects of the material.

12 And then the third option is some of our students act as
13 graders. So they won't be teaching for the course, they won't
14 be TAing for the course. But they'll support the faculty
15 member to actually grade the material, and provide feedback to
16 the students.

17 Q Is there mentoring that occurs between the faculty member
18 who's often times the primary instructor of the course and the
19 TAs who serve in that role?

20 A Oh, absolutely. I mean I've always felt that -- I feel
21 that students who teach are getting the ultimate form of
22 mentoring. And just from my speaking, I mean I guess this is
23 anecdotal, but when I talk to students, I ask them, why do you
24 do this?

25 If you even mention to students to teach that don't have

1 to teach, and they go, they think it's a great learning
2 opportunity, always whenever we have a graduate student that
3 teaches, they're always given a mentor or a supervisor among a
4 faculty member. We don't just throw them out there, and say,
5 good luck, good luck with the teaching. And so they do it
6 because they view it as an opportunity to be a big part of
7 their educational experience. And of course there is
8 compensation associated with it. I mean in some cases. Not if
9 it's part -- as I mentioned, if you're admitted to the program,
10 and it says you have to teach let's say two course, then you're
11 not compensated for those two courses.

12 Q And I'll talk about funding packages in a second --

13 A Sure.

14 Q -- but during that time period when you're doing your
15 requirement of the program --

16 A Yes.

17 Q -- they get the same stipend they would get when they're
18 not required to be teaching; is that fair to say?

19 A Well, that's absolutely correct. So well let's be -- just
20 to be clear, assuming the teaching that they're doing is within
21 their offer letter, then they get the stipend in the semester
22 whether they're teaching or not teaching. There's no
23 compensation for it; it's part of their educational training.

24 Q Do TAs -- Wharton PhDs who are serving as TAs, do they
25 sometimes TA in classes where there might be graduate students

1 also serving as TAs in the same class from outside the Wharton
2 School?

3 A Oh, absolutely that would be true.

4 Q Can you give us some examples of that?

5 A Sure. So, for example, in our statistics program, we have
6 PhD students from statistics that TA for classes. We also have
7 PhD students from the applied math program that we talked about
8 that TA. We also have PhD students from computer science that
9 TA our courses. Of course, we need permission from their home
10 schools, because -- I hate to put it this way, they're all Penn
11 students, it's all one degree -- but, you know, the other
12 school is kind of funding them. So we ask for permission from
13 those other schools, but it's very common that PhD students
14 from different schools would even -- not just department, but
15 even different schools -- might be TAing within the Wharton
16 School.

17 Q Does Wharton reach out to applied math and to computer
18 science in those instances because the PhD students there are
19 essentially being educated in areas that are relevant to what
20 the Wharton class will know?

21 A Absolutely. But it's also, you know, to -- you know, it's
22 also an issue of supply and demand, which is graduate programs
23 are only so big. And there's a need for people to teach. And
24 so, you know, we're trying to give lots, a broad array of
25 students the same -- an educational experience.

1 But, yeah, I mean when we ask someone to TA a course, it's
2 not only within an area of subject knowledge for them, but our
3 hope at least is that it's something that furthers their
4 academic career.

5 Q So, I take it based on what you're saying, that the
6 Wharton School does not admit PhD students based on the needs
7 of undergraduate classes, the TA needs of undergraduate
8 classes?

9 A I will tell you in my 21 years and seven years as Vice
10 Dean I've never ever heard that discussed even once. That's
11 not why we admit PhD students for the purposes of number one --
12 at least for me, I think it's true -- a survey would suggest
13 it's true for my colleagues in general -- we view it as the
14 most important parts of our jobs, training tomorrow's scholars.

15 And the reason we bring in PhD students is because they
16 bring in the new ideas. And they're the ones that keep people
17 like me that have been around for 20 years, or 21 years, keep
18 my ideas fresh, help invigorate me.

19 And also, they're part of our brand. When the University
20 of Pennsylvania graduates a PhD student, then they go off and
21 do wonderful things, that's great for the University of
22 Pennsylvania.

23 Q You said, "training tomorrow's scholars," is that a tag
24 line used by the Wharton School?

25 A I hope you like it. I created it. If you go onto the

1 Wharton Doctoral programs webpage, you'll see it's "Creating
2 Tomorrow's Academic Thought Leaders." That is our tag line.

3 And so we actually tell people whether this is right or
4 not, lots of -- there are PhD students that choose not to
5 become professors, certainly within a business school where
6 there's opportunities, and we tell students that if that's your
7 goal, Wharton's probably not a good fit for you.

8 Not saying that they don't, some of them don't choose to
9 do that. Like a lot of -- some students today may go to Google
10 and work in their research lab. Some may go to Microsoft, or
11 Facebook in research positions. And that's fine. But our goal
12 is to create -- is to reproduce ourselves and create
13 professors.

14 And so, yes, our tag line at the Wharton School Doctor
15 programs is "Creating Tomorrow's Academic Thought Leaders."

16 Q I think you might have said this, but I apologize if I'm
17 asking it for a second time. Do Wharton PhD students who serve
18 as TAs sometimes do that outside the Wharton School at other
19 schools?

20 A Yes.

21 Q Can you give us some examples of that.

22 A They do. So, I mean, I think as you could imagine, there
23 are some departments outside of Wharton that are just closer
24 academically than others. As we mentioned, economics, applied
25 economics, or applied economics students would serve as TAs in

1 the economics department, and vice versa.

2 There are students from statistics that will TA over in
3 computer science, and back and forth, and vice versa. I
4 actually don't know whether that's happened in marketing and
5 psychology, but I could certainly imagine it doing so. But
6 it's definitely by direction. Our students take their classes,
7 and TA their classes at times, and their students take their
8 classes, our classes, and TA our classes as well.

9 Q So Wharton students may serve as TAs in classes within the
10 economics department?

11 A Yes.

12 Q Okay. And that's within the School of Arts and Sciences?

13 A Yes.

14 Q How often does that happen?

15 A I don't know. I don't know. I don't know the frequency
16 with which that happens.

17 Q Does it happen every year?

18 A Maybe. I mean I actually -- I don't know because that's
19 -- I don't know -- the only department -- if it happened in the
20 marketing department, I would certainly know about it. Maybe
21 every year.

22 Q Okay. You just don't know --

23 A But I just don't know.

24 Q -- okay.

25 A I really don't know the frequency with which it happens.

1 Q Fair enough. Do PhD students who are admitted into the
2 Wharton School receive funding packages?

3 A Yes, they do.

4 Q Okay. Can you describe how that works, basically what it
5 includes?

6 A So there's three parts to everybody's funding package.
7 One part is of course an academic stipend. The second part is
8 a tuition benefit. And the third part is health insurance and
9 benefit. And so all students admitted to the Wharton School --
10 it's not the same amount -- but all students admitted to the
11 Wharton School get an academic stipend, a tuition benefit, and
12 healthcare benefits.

13 Q Does that funding package continue for the amount of time
14 they're at the school?

15 A Not necessarily.

16 Q Okay. Can you talk about that for a second?

17 A Sure. Part of it is market -- well, let me say the
18 following. So the University of Pennsylvania's requirement for
19 a PhD degree is that you must complete your degree in 10 years.
20 That's the University of Pennsylvania's requirement.

21 Wharton has a more stringent requirement actually it's
22 eight years. And so we only allow students to be PhD students
23 for eight years. If they want to go beyond eight years, and
24 this happened a number of times while I was Vice Dean, they
25 have to petition to go beyond eight years.

1 Most Wharton PhD students take five years, is the model
2 number. We actually do not provide a stipend beyond the fifth
3 year of the PhD program. And some departments, it's four
4 years. So I would say, 80 to 85 percent of our students get
5 guaranteed five-year funding for the five years that they're --
6 for five of the years.

7 If they go beyond that, then they don't make a stipend,
8 but they could TA for a course or something else to make
9 compensation. The tuition number changes, it goes down
10 significantly. But we guarantee -- and some departments only
11 guarantee funding for four years. It just -- it varies by
12 department.

13 Q Okay. Did you say -- I think you said it -- but did you
14 say that the vast majority of your students finish up within
15 five years?

16 A Yes. I mean, well, the number -- my last year as Vice
17 Dean of the Doctoral programs this number was provided to us by
18 the university research services. I believe the number for
19 Wharton - which I think was actually one of the higher numbers
20 -- I believe Wharton was somewhere maybe around 85 percent.

21 So I think roughly 85 percent of our students finish
22 within a five-year period, and the rest maybe 10 percent, maybe
23 even higher, finish within six years, and then a very small
24 fraction go beyond that.

25 Q And when Wharton students are admitted, do they receive a

1 letter that sets forth their funding package?

2 A Yes, they do.

3 Q Okay. I'm showing you a document that we have marked as
4 Exhibit E-18. If you could just take a moment to look at this
5 document, and tell me if you recognize it.

6 A Yes. I recognize this document.

7 Q Okay. What is it?

8 A Well, this is an offer of admissions to a potential
9 doctoral student to Wharton's Doctoral programs, and as it
10 turns out from my home department, marketing.

11 (Employer Exhibit E-18 identified.)

12 BY MR. JOHNS:

13 Q And I just want to talk about a couple pieces of it. It
14 says, I think in the third -- well, yeah, third paragraph, that
15 it's a five-year award; do you see that?

16 A Yes, I do.

17 Q Is this award contingent upon the student -- and is it
18 contingent upon anything with respect to the student's advance?

19 A Well, the answer is, yes. And so you can see here, it
20 says it's contingent upon meeting a B+ average, and remaining
21 in good standing. And let me say what that means to remain in
22 good standing. So, as we mentioned, there's the coursework and
23 the average.

24 We mentioned the qualifying exam. So the student needs to
25 pass their qualifying exam to remain in good standing. And

1 they're given multiple opportunities, as per University of
2 Pennsylvania rules that allows them if they don't pass the
3 first time.

4 As in marketing, at least, but in every Wharton
5 department, they have to write a research paper, which gets
6 graded and passed or not. And so all of -- and then that's all
7 prior to the PhD, to writing the dissertation. But at any
8 point in time, if someone didn't meet those requirements, they
9 would not be in good standing.

10 Q And that's academic good standing?

11 A That's academic good standing.

12 Q Okay.

13 A And of course, well I should say, yes, academic good
14 standing. But of course we're students -- these are students
15 at the university, so of course they have to abide by all the
16 other standards of the University of Pennsylvania.

17 Q Understood. The paragraph after that talks about the
18 financial offer doesn't require any research assistant or
19 teaching assistant responsibilities. It says that we
20 anticipate you'll pursue research projects with the faculty and
21 embark on independent research after you arrive. Can you talk
22 a little bit about why the marketing letter says that to
23 students?

24 A Well, it's interesting. So we -- I mean let's talk about
25 -- there's two different sentences. The first sentence says,

1 does not require any research assistant or teaching assistant
2 responsibilities.

3 So this was a decision that the marketing department made
4 roughly maybe 10 years ago, where in my first 10 years -- I
5 think we required when students came -- we required them to
6 teach I believe one course, initially. I'm going to say for
7 the first half of my career.

8 We as a department determined that this should be
9 something individual to the student. In some sense, every
10 student -- there's a lot commonalities among students, but
11 there are also some differences among students. And so
12 requiring every student to teach, just didn't seem right to
13 meet the individual -- for us to meet the individual
14 educational needs of the marketing student.

15 So what we decided, and this is where the second and the
16 third, the rest of the paragraph comes in -- what we did agree
17 upon is that everyone needs to start pursuing research
18 immediately. And as you can see, there are teaching
19 opportunities for additional compensation will be made
20 available to you toward the end of your time in the PhD
21 program.

22 Q Why did the market -- why does the marketing department
23 believe it's important to let incoming students know that they
24 may have those opportunities to teach?

25 A Well, actually, I -- you know, again, as coming from --

1 someone coming from a School of Arts and Sciences, I would not
2 have thought that students -- put it this way, there wasn't as
3 much passion for teaching back 25 years ago from math people.

4 I don't want to characterize all math professors, I had
5 some wonderful math professors, and I had some not so wonderful
6 math professors.

7 Q As did a lot of us.

8 A As did many of us. Wharton Doctoral students want to
9 teach well. They want to be trained to teach. And I am not
10 one of those people -- and I say this -- I mean I don't mean
11 this in a bragger kind of way, I got 30 teaching awards in my
12 office. And I'm going to tell you, you're not just born a
13 great teacher.

14 You can be born someone that can speak well and think
15 well, but it's something that you need -- you need to be taught
16 how to do. You need to be educated on how to teach well. And
17 our view -- and the part that I'm really joyous about is that
18 Wharton Doctoral students know that teaching is going to be an
19 important part of their careers for 40-plus years.

20 And who wants to go into the classroom and do horrible?
21 Who wants to do that? Even though a lot of schools will say
22 you can get tenure of a lifetime job, and you'll be a horrible
23 teacher, who wants that? Who wants negative reinforcement?

24 And so the students that we admit, many of them, if not
25 all of them know that teaching's an important part of their

1 education. And they want to be trained at it.

2 Q With respect to the part of this letter that talks about
3 embarking on independent research after you arrive, the
4 research projects that students do with faculty and the
5 independent research they do after they arrive, is that part of
6 their academic training?

7 A Absolutely. I mean that is. I mean --

8 Q Can you talk about that?

9 A -- yeah. Sure. I mean as we mentioned, academic training
10 really has -- the way I view it -- has a number of basic parts.
11 We talked about the coursework. Think of that as being the
12 toolkit. You've got to be geared up with tools. The
13 independent research part is, you know, I always say that my --
14 I have an 11 -- I have three sons, but I have an 11th-grade
15 son, and I said, you know, his name is Zach.

16 And I say, Zach, you're a wonderful English student. But
17 that doesn't mean if you want to be a professor, you know how
18 to do research and write academic research papers. And so,
19 it's something that you need, it's an apprenticeship. You need
20 to learn how to do research. You need to learn how to write
21 research papers. You need to learn how to express your
22 thoughts in a very clear manner.

23 And so not necessarily in an expository way that you
24 might --

25 COURT REPORTER: Sorry about that. I'm sorry --

1 THE WITNESS: Do you want me to continue or stop?

2 COURT REPORTER: Yes, please continue. Sorry.

3 THE WITNESS: No, that's okay.

4 So getting involved in research early on, we think is
5 really important. And I think it's one of the reasons why our
6 students are able to graduate with a degree, which is not easy
7 to accomplish in a five-year period, because they start
8 research immediately. And as I mentioned, even some of them
9 before they've arrived at the University of Pennsylvania.

10 BY MR. JOHNS:

11 Q Does the marketing department have a student manual?

12 A We do.

13 MR. JOHNS: Before we get to Exhibit E-19, I'd move for
14 the admission of Exhibit E-18.

15 HEARING OFFICER LEACH: Any objection from the Union?

16 MS. HOYE: No objection.

17 HEARING OFFICER LEACH: Employer 18 is received.

18 (Employer E-18 is received.)

19 BY MR. JOHNS:

20 Q Okay. Can you identify Exhibit E-19, Doctor?

21 A Sure. So when students enter our program -- but actually,
22 even beforehand, and this is available online -- this is a
23 manual that lays out, if you'd like, the policies and
24 procedures of students in our marketing department.

25 Q And is this something that's provided to students to

1 assist them in navigating the marketing program at the
2 University of Pennsylvania?

3 A Yes. Not even just -- not even just given to them, but
4 it's discussed with them.

5 Q When is it discussed with them?

6 A We have an admit day -- well, we have an admit day even
7 before they decide where they're going, which we talk about a
8 number of this. And then we also, once all the PhD students
9 have arrived in August before the classes start, we'll go over
10 with them all the, if you'd like, the requirements of the
11 program, all the different aspects of this, the courses that
12 they need to take.

13 All of this will be gone over by the doctoral coordinator
14 who, by the way, if you go back to E-18, Professor Deborah
15 Small is currently the PhD coordinator for the Wharton
16 Marketing Department. And if you'll notice by the way, and
17 just by chance, she's also a professor of psychology as it
18 mentions in her letterhead.

19 And she was one of the creators along with Barbara Mellers
20 of the joint marketing psychology PhD program. But we'll go
21 over these. Deb, who's -- Deb, I said Deb -- Professor Small,
22 she would be the one to go over this with all of our doctoral
23 students when they arrive.

24 (Employer E-19 identified.)

25 BY MR. JOHNS:

1 Q And the new first-year PhD students arrive in August?

2 A Sometimes earlier. That's because this is something I
3 started while Vice Dean of Wharton's Doctoral programs. Well,
4 there's one thing that's been around for a long time, and
5 there's one thing that hasn't been around for a long time.

6 We offer a math camp at Wharton for students who need to
7 brush up, if you'd like, on their math skills before they start
8 taking PhD courses. Because, for example, every one of
9 Wharton's Doctoral students need to take a year of economics.
10 That's in the School of Arts and Sciences. So every Wharton
11 PhD student is required to take economics, every one. And so
12 if you don't have the mathematical training to take these
13 economics courses, it will probably be good for you to come to
14 Wharton's -- to come to the math camp.

15 By the way, probably half our students take what's called
16 Wharton's Math Camp. The Economics Department in the School of
17 Arts and Sciences also offers a math camp, which a number of
18 our PhD students take. You can decide which one you want to
19 take depending on your interests.

20 Those students would arrive in July. The other thing I
21 started about maybe five years ago now was this idea of the
22 data camp. So imagine you want to learn how to write, you
23 know, what's called a script, to scrape stuff from the web,
24 like how do you take -- how do you basically collect data from
25 the world wide web?

1 So I started a data camp where students could also come
2 prior to starting their PhD program -- well they're
3 technically, they're already students of ours, but they --
4 before their classes start, they can learn how to collect data,
5 and everything like that.

6 So most of our students arrive in August, but a number of
7 our -- but a fair number of our students will arrive mid to
8 late July to do one of these data camps or math camps.

9 Q Is the collection of data an essential part of academic
10 research?

11 A I would say for most doctoral students, I would imagine.
12 Certainly, an increasing number -- I mean could there be people
13 in theoretical math or theoretical physics that never, ever
14 touch data, or even theoretical chemistry, or I would imagine
15 the answer's yes, there are people that are pure theoreticians.

16 But certainly in Wharton Doctoral programs, probably
17 99 percent if not 100 percent of our students collecting data,
18 analyzing data is part of their research even if there are more
19 theoretically oriented students.

20 Q Okay. I just have a few more questions for you, Doctor.
21 Thank you for your patience today. What do your students, once
22 they enter the PhD program, what do they typically do in the
23 summers, between the spring semester and the fall semester?

24 A So, it varies. But one of the things we're pretty clear
25 about is research, research. So they're supposed to do

1 research. Now, that could be some of the time. It's really a
2 bunch of different buckets.

3 Some of the students decide that the best place for them
4 to further their research over the summer is to stay in
5 Philadelphia, and to work at the university -- and to get their
6 education, and to work with a professor at the university at
7 Pennsylvania, or in marketing, let's say. And they'll stay,
8 and they'll be around the department all summer long. That's
9 one bucket of students.

10 There'll be another bucket of students that say, I would
11 like to get some practical experience as part of my educational
12 training. So they might go to a research lab. It would not be
13 uncommon for a Wharton PhD student to go to a Microsoft
14 research lab, a Google research lab, a Facebook research lab,
15 et cetera.

16 There could also be other PhD students that say, you know,
17 the best place for me to do research because of where my
18 co-authors might be -- I'll make this up -- might be at the
19 London Business School. It might be at Singapore Management
20 University. And so those students would spend the summer in
21 those locations.

22 And so there's a variety of locations. The common theme
23 is, research. We're training, creating -- I like my tag line
24 so much -- I'm going to say it again, Creating Tomorrow's
25 Academic Thought Leaders. And so they're meant to be doing

1 research over the summer.

2 There are sometimes they TA over the summer for summer
3 courses. It's actually a reasonable time to do it as part of
4 their training, because they're not taking courses typically
5 over the summer. There are very few PhD courses, if any PhD
6 courses, over the summer.

7 And so, it's an opportunity to gain that educational
8 experience but in the time that you're not taking courses. But
9 our students could be all over the world during the summer.

10 Q Does Wharton have a significant number of international
11 students?

12 A Oh, absolutely. I think -- I should know this number,
13 because I stared at this spreadsheet every year for seven years
14 -- it's certainly over 50 percent of our PhD students are
15 international.

16 Q And in your experience, do international students
17 sometimes travel during the summer to go back to their home
18 countries to visit families and stuff like that?

19 A Yeah. I mean, you know, almost all of our PhD students,
20 international and not international, visit their family at some
21 point during the summer. You had brought up the idea of first-
22 year PhD students.

23 My guess is the marketing PhD students that just spent a
24 week on their qualifying exam and just found out the results,
25 they're gone. They're probably using this as a good time to

1 visit their families and celebrate in their case.

2 Q Just one last question. If you could take a look at
3 page 17 of Exhibit E-19. And under the Teacher Development
4 Program.

5 A Yes.

6 Q I just want to ask you a question about the second
7 paragraph there. There's something that's referenced as the
8 Teacher Development Program. Are marketing students within the
9 Wharton PhD program required to go through that Teacher
10 Development Program?

11 A Yes. And so the Teacher Development Program is actually a
12 partnership between the Wharton School and what's called CTL at
13 Penn, the Penn Center for Teaching and Learning. And it's
14 taught by -- this program is taught by two individuals that run
15 the Penn Center for Teaching and Learning.

16 And so the only students that can waive this TDP
17 requirement are students that either have extensive teaching
18 experience prior to coming to the University of Pennsylvania,
19 and they would have to apply to waive that experience, or
20 they've got significant teaching experience while at the
21 University of Pennsylvania.

22 And therefore, but probably 90, 95 percent of our students
23 go through this Teacher Development Program. Because again,
24 similar to what we talked about, you need to be educated on how
25 to be an effective instructor. And that's the purpose of this.

1 And that's why we partner with Penn. I mean, not partner with
2 -- we're Penn, but we partner with the Penn Center for Teaching
3 and Learning because that's what they're experts at.

4 Q And they're required to go through that regardless of
5 whether they are required to teach as an academic requirement
6 of their degree?

7 A That is correct.

8 MR. JOHNS: I would move for the admission of E-19.

9 HEARING OFFICER LEACH: Any objection from the Union?

10 MS. HOYE: No objection.

11 HEARING OFFICER LEACH: Okay. Employer 19 is received.

12 (Employer's Exhibit E-19 received.)

13 MR. JOHNS: No further questions. Thank you.

14 HEARING OFFICER LEACH: Okay.

15 Are you -- do you need a break, or are you're okay if the
16 Union --

17 THE WITNESS: I'm fine.

18 HEARING OFFICER LEACH: -- has questions? Okay.

19 THE WITNESS: I'm fine.

20 CROSS-EXAMINATION

21 BY MS. ROSENBERGER:

22 Q Good afternoon.

23 A Hi.

24 Q Hi. I'm Amy Rosenberger. I'm one of the lawyers for
25 GET-UP. I saw you in the hallway.

1 A Oh, okay.

2 Q Well, no, yeah. I didn't know if you thought I was
3 looking at you funny, because I thought, that guy looks
4 familiar. And then when you walked in, I knew why.

5 So you are -- I'm going to talk to you a little bit about
6 your role in the marketing department as Chair. Do you oversee
7 the marketing department?

8 A Yes, I do.

9 Q So are you the supervisor for faculty in that department,
10 the lead -- I don't know what the role, how you would describe
11 that?

12 A Yeah. Supervisor's a strange word. But yes, part of my
13 job is an evaluative process of the faculty in the marketing
14 department; yes.

15 Q Okay. And you're involved in making faculty course
16 assignments and what have you as well?

17 A That is correct.

18 Q Okay. And the faculty in the marketing department or
19 elsewhere in the school board, have similar I would think of it
20 as the three-part role of faculty, but you added a fourth --
21 the teaching, research, and administrative, sometimes we refer
22 to service roles, and then you had added the PhD role.

23 A Well, yes and no. So all of us have to teach. Actually,
24 the one nice thing about Wharton is it's egalitarian when it
25 comes to teaching. Means, whether you're -- you may have heard

1 of him, this guy that's on CNN for Stocks Jeremy Siegel, Stocks
2 for the long run. Big famous guy on CNBC every day.

3 He has the same teaching load as the first year assistant
4 professor. And so everybody at Wharton has the same teaching
5 load. Now, if you have an administrative role, you can get a
6 reduction in teaching. But we all teach. So that's one part
7 of it.

8 Research is obviously a very central part of our job. But
9 obviously people have various levels of that. Administrative
10 work, some people choose not to do that in their careers. I've
11 chosen to do it because it's important to me. I want to not
12 only be a great scholar myself, but I want the University of
13 Pennsylvania to be a great institution, and I think I could
14 help make that happen. So to me, administrative is important.

15 We actually consider doctoral education again, it's a
16 separate bin. It's actually evaluated separately by our Dean
17 in our Dean's Office. And so doctoral education is seen as
18 something very central to the mission of the school.

19 Q Okay. And am I understanding you correctly that each of
20 the departments that you listed within the Wharton School has
21 both an undergraduate program and a graduate program?

22 A Well, yes and no. You might wonder how could be yes and
23 no. First of all, there are students take courses. You want
24 to start with undergrad?

25 Q Sure.

1 A Okay. So students take courses from different
2 departments. Every course that you take at the Wharton School
3 and actually at the University of Pennsylvania has a
4 designation as to the home department, if you'd like, of the
5 course. So does it have the letters MKPG, which would be
6 marketing? Does it have the letters ACCT, which would be
7 accounting? Students take those. Undergraduate students have
8 I always forget if it's majors or concentrations, I always get
9 confused on which of the two it is, but the degree that's
10 granted is a University of Pennsylvania degree. And it's
11 100 percent true for our PhD students. And so the PhD degree
12 is as I mentioned before is a degree granted by the University
13 of Pennsylvania.

14 Q Okay. Okay. I understand.

15 A The Wharton School doesn't grant PhD degrees.

16 Q Right.

17 A The University of Pennsylvania confers PhD degrees.

18 Q But in terms of the specific, you know, sort of the
19 detailed requirements for PhD in marketing for example, the
20 marketing department would determine that?

21 A No. So yes and no. So, well it is -- and I'm not trying
22 to obfuscate anything here. The reason I say yes and no, as I
23 mentioned earlier in my answer was the University of
24 Pennsylvania determines a set of requirements for all PhD
25 students. The University of Pennsylvania says you must take at

1 least 14 courses --

2 Q Right.

3 A -- to graduate. And the marketing department says, we'd
4 like that to be three. Well that's nice --

5 Q Exactly.

6 A -- but that can't happen. And so we could have more
7 stringent requirements if you'd like than the University of
8 Pennsylvania, but certainly not less stringent requirements.
9 And so -- and I should also say, each department isn't really
10 dictatorial in that way. So similar as I mentioned to the
11 seven years I spent as Vice Dean and I reported up, like I
12 reported up to the Vice Provost for Education. The
13 department's -- there's a Wharton Doctoral Executive Committee
14 that has to approve all changes that are made.

15 So it's not like Deb Small -- Professor Small who's our
16 chair, who's our doctoral coordinator can just say, we want to
17 do this in Wharton marketing. It doesn't work that way.
18 There's an executive committee, which is chaired by the Vice
19 Dean of Doctoral programs. And I was the person that Chaired
20 that committee as I mentioned for seven years.

21 Q That's for the entire school?

22 A That's for all of Wharton School. Think of it as a
23 hierarchical structure: doctoral coordinators report to the
24 executive committee, that reports to me -- or not me, used to
25 be -- and the Vice Dean of Wharton's Doctoral program reports

1 to the Vice Provost for Education.

2 Q Okay. What's the name of the -- so, I want to make sure
3 I'm getting the hierarchy correct --

4 A Okay.

5 Q So, within your department, you have someone who's
6 overseeing graduate education in your department?

7 A PhD education --

8 Q PhD, okay.

9 A -- yeah. Because there are other graduate students,
10 but --

11 Q Got you.

12 A -- PhD students, and we call that person -- this is what
13 it's called at Wharton, the doctoral coordinator.

14 Q Okay. And the doctoral coordinator reports to?

15 A The doctoral coordinators report, there are for every
16 department, the doctoral coordinators report to the Vice Dean
17 of Wharton's Doctoral programs.

18 Q Okay.

19 A And that Vice Dean reports to the University of
20 Pennsylvania's Vice Provost for Education.

21 Q Okay.

22 A The woman sitting there. Beth Winkelstein --

23 Q No, that's --

24 A Absolutely.

25 Q -- yes, we've met her.

1 A Okay. Yeah. She's the one that -- the Vice Dean of
2 Wharton's Doctoral program reports to her.

3 Q Yeah. Okay. And the Vice Dean of Wharton's Doctoral
4 programs is the position you previously held?

5 A That's correct.

6 Q And when you held that position, you talked about
7 reporting to her, I will represent to you that she talked about
8 sort of two ways that there are reports to her about graduate
9 education. She referred to something called the Graduate
10 Council -- or I might be getting the words out of order, but I
11 think it's the Council of Graduate Faculties?

12 A Yes.

13 Q Is that what you served on as Vice Dean, or was it --
14 there's also something Graduate Dean's Committee?

15 A That's the one.

16 Q Okay.

17 A So there are -- good point, so there are two different --
18 that are two different graduate bodies. And this, the one
19 mentioned, as I answered before is kind of the people, they
20 call them slightly different things in different schools around
21 the University of Pennsylvania, but it's basically the person
22 at the school level that's responsible for doctoral education
23 at their graduate -- sometimes, some schools it's graduate
24 education.

25 Those people all sit on the, I don't know whatever words

1 you used.

2 Q The Council of Graduate Faculties?

3 A No.

4 Q The Graduate Dean's Council, or something along those
5 lines? I've heard a couple --

6 A There was a meeting -- I'll be honest with you, I don't
7 know the exact name. Maybe we can just ask Beth what it is --

8 Q But --

9 A -- but I mean, yes, it's all the different people that are
10 in the similar role as the Vice Dean of Wharton's Doctoral --

11 Q Okay.

12 A -- except some of those people for their school might be
13 running all of graduate programs, which would include master's
14 students as well.

15 Q But in your case, you did it as the person in charge of
16 the doctoral program?

17 A That is correct.

18 Q And did you have a counterpart who was in charge of
19 master's programs within the school of Wharton?

20 A Yes.

21 Q Another Vice Dean?

22 A That is correct.

23 Q And did that individual also serve on the group that was
24 the people in similar roles that reported to doctoral --

25 A The answer is -- well, I would imagine -- since we are

1 part of the University of Pennsylvania, I would imagine that
2 our Vice Dean of our MBA program would serve as well on a
3 larger University of Pennsylvania body. But I don't have any
4 specific knowledge about what that is.

5 Q And you don't remember that person attending the meetings
6 that you attended with the people who were your peers when you
7 were Vice Dean?

8 A That's correct.

9 Q Okay. So in terms of the doctoral program, I want to make
10 sure whether the Dean actually fits in here somewhere. Does
11 the --

12 A My Dean, Dean? My Dean?

13 Q Well, yes.

14 A Okay.

15 Q So you have your PhD -- your doctoral coordinator in your
16 department.

17 A Yes.

18 Q You said reports to the Vice Dean, the position that you
19 had.

20 A Yes.

21 Q They don't report then to the Dean before up? It's sort
22 of?

23 A Well, I mean so there's two reporting responsibilities
24 from the Vice Dean of Doctoral programs. So my direct
25 reporting responsibility, if you'd like, is to the Deputy Dean

1 of the Wharton School. So if you'd like, if you want to think
2 of it this way, he's our chief operating officer. His name
3 happens to be Michael Gibbons. He's a Professor of Finance.

4 And the Vice Dean of Wharton's Doctoral programs -- as a
5 matter of fact, the Vice Dean of the MBA program, the Vice Dean
6 of the undergraduate program, all academic programs report to
7 the Deputy Dean of the School. And of course the Deputy Dean
8 reports to our Dean, Jeff Garrett, in this case.

9 But also, the Vice Dean of the Doctoral programs reports
10 to the Vice Provost for Research. So, yes, I should -- there'
11 a dual-reporting responsibility meaning --

12 Q Okay.

13 A -- my direct, well they're both my direct costs is when I
14 was sitting in that role.

15 Q Okay. And sitting in the role that you're in now,
16 specifically -- I know you have a lot of roles -- your role as
17 department chair.

18 A Um-hum.

19 Q You report, what is your hierarchical reporting structure?

20 A I report to the Deputy Dean of the Wharton School. I'm
21 appointed by the president of the university. So the
22 department chair's there's recommendation made by the Deputy
23 Dean to the Dean, but Amy Gutmann appoints department chairs.
24 So I was appointed by her and the Provost. But I report to our
25 Deputy Dean.

1 Q Okay. So your reporting structure has in your capacity as
2 department chair, is to the Deputy Dean, the Dean, the Provost,
3 the President?

4 A That is the order; yep.

5 Q I knew that a business faculty member could give me an
6 organizational chart.

7 A Yeah that is -- but, yes, that is -- that's the order.

8 Q Okay. So and just to add to the full organizational
9 chart, and then under you, in terms of your evaluative role,
10 are the faculty within your department?

11 A Yeah. But more than that. So there's the faculty within
12 the department. Technically the staff of the department are my
13 responsibility. The doctoral students, although they -- we
14 have a doctoral coordinator, the doctoral coordinator just like
15 they report to the Vice Dean, they also report to the
16 department chair.

17 And so I view my responsibility as chair person to be for
18 the faculty, the staff, the doctoral students, that all of that
19 is the responsibility as well of the chair person.

20 Q And the undergraduate students?

21 A Yeah, and the undergrad and the MBA students. But again,
22 we actually -- it varies by departments, but yes, the students
23 as well.

24 Q Okay. And in terms of the sort of faculty-reporting mind
25 is what you described in marketing similar in statistics, where

1 you also have an appointment?

2 A Yes. There's a doctoral coordinator there. There's a
3 chair person. Matter of fact, Wharton's, if you'd like,
4 organization structure or org chart for faculty is the same way
5 in every department. There's a department chair of a
6 department who reports up to the Deputy Dean, to the Dean, to
7 the Provost, to the President. And the doctoral coordinator
8 sits under there in the same exact structure.

9 Q Okay.

10 A Yes.

11 Q For your, I don't know if it's secondary or tertiary,
12 whatever, your other apartment in the department -- in the
13 Graduate School of Education.

14 A Yes.

15 Q What is your hierarchy as a faculty member there, what's
16 your reporting structure?

17 A Yeah. So, let me say two things, because it relates to a
18 question that was asked earlier about -- so, I'm in four
19 departments in three schools. And you might say, so why am I
20 not a PIK professor, because that's a Penn Integrates Knowledge
21 Professor is someone by definition in multiple schools.

22 You used the correct word, the first one you used,
23 secondary. So I have three secondary appointments. My
24 secondary appointments are in statistics, economics, and in
25 education. What that means is, I don't have voting rights in

1 those departments, which means when they have a vote for
2 faculty or for tenure, I don't have an official vote; I only
3 have one vote in marketing.

4 But I mentioned to you Aviv Nevo in economics, he has
5 actual a vote in marketing and in economics. Michael Platt has
6 actually three votes in three different departments. Barbara
7 Mellers has one. The only department I voted -- I have what's
8 called a secondary appointment with non-voting rights. But the
9 big advantage -- and I just represent one of many people -- is
10 Penn has what are called graduate groups. And so these are
11 groups of departments that are all part of the same graduate
12 group. And so I'm part of the Graduate Group of Education.
13 I'm part of the Graduate Group of the School of Arts and
14 Sciences.

15 And the big advantage of that is, when I work with a
16 student there, I'm not an outsider. I'm an insider as far as
17 the graduate group point of view. And I represent many people
18 like that, because again of the cross-disciplinary nature of
19 Penn's PhD programs.

20 So, in other words, the university has rules on how many
21 people outside your graduate group you can have on various
22 committees. But if I'm in their graduate group, then I'm not
23 an outsider. So that's -- and also, it fosters, it signals to
24 their PhD students, go work with Professor Bradlow, because
25 he's one of us.

1 Q And you said a moment ago that you're on the Graduate
2 Group for the School of Arts and Sciences. Do you mean you're
3 in the Economics Graduate Group?

4 A Yeah. The Economics. To be honest with you, I don't know
5 their hierarchical structure. What I do know is, Wharton is
6 all one graduate group.

7 Q Right.

8 A Regardless of which department you're in, marketing,
9 statistics, Wharton is all one graduate group. It could very
10 well be, you might be right, that the School of Arts and
11 Sciences has multiple graduate groups. My secondary
12 appointment is through the Department of Economics.

13 Q Okay.

14 A Whichever graduate group they are in.

15 Q And so in your secondary appointments, although you don't
16 have a reporting structure, you teach in those schools?

17 A I have taught in those schools before. Typically, one
18 thing at -- it's not just at Penn, at every university is --
19 typically your teaching goes along with where your primary
20 appointment is. And so my teaching, my primary teaching
21 responsibilities are with the marketing department.

22 But many of my classes are what are called cross-listed,
23 which means when students from other department -- if I have a
24 class that's cross-listed with statistics, or one with
25 education, or one with economics, then if those students can

1 sign up for the econ version of the course, even though it's
2 the same course, they could sign up for the education version
3 of the course.

4 But, no, my primary teaching responsibilities are in
5 marketing. But I have taught courses in the School of
6 Education, I've taught cross-listed courses with the School of
7 Economics. And again, many -- I can think of -- I mean I'm
8 just picturing in my head, 20, 30, 40, 50, I mean if I went
9 across all of Wharton the number of cross-listed courses at the
10 doctoral level would be, a very large number. I can't give you
11 an exact number, but it's not like 10. It's not 200, but it's
12 not like 10. It's probably in the multiple 10s of courses.

13 Q Okay. And when you've had students -- have you had
14 students from other schools do research with -- I'm sorry --
15 doctoral students --

16 A Yeah.

17 Q -- from other schools do research with you?

18 A Yes. And including currently.

19 Q Okay. And when you do that, are they -- who do you have
20 currently?

21 A I have two students in the economics department currently
22 doing research with me. And they're fascinating projects. I'd
23 be happy to talk about them if you'd like, but two of them
24 currently working with me in economics. I have one student in
25 education that recently just approached me about working on a

1 project. I just don't know that I have time for it right now.
2 And I'm actually starting up a project with a MD-PhD student in
3 the School of Medicine.

4 Q Okay. We heard testimony -- and I want to talk to you
5 about the economics. The situation with an economics student
6 doing research with you. Your testimony yesterday from the
7 Associate Dean of the School of Arts and Sciences about how --
8 I mean that's a big school --

9 A Sure.

10 Q -- about how all the graduate programs work there,
11 including economics. And so we heard about -- well, and so my
12 question to you is when a economics -- you have an economics
13 student right now working with you; right?

14 A I have two economics students --

15 Q Two.

16 A -- right now working with me, as well as with economics
17 faculty.

18 Q Are they doing it -- are they doing that research with you
19 as a research assistantship?

20 A No. Not as a formal research assistantship. I mean it's
21 on their -- it's on papers they have to write, as part of -- we
22 talked about this kind of universal training that students have
23 to do -- and I'm one of them I know I'll be his dissertation
24 co-advisor. The other one, he hasn't decided yet. They
25 decide, not me. I hope to be. But, no, it's not as a formal

1 research assistantship. It's just as a scholar.

2 Q Okay. And similarly, when you've had someone from the
3 Graduate School of Education work with you, has that been as a
4 formal research assistantship?

5 A Well, it just depends on what you mean by the word
6 "formal." I mean if it depends what you mean. I mean, I
7 consider what they're doing with me a research assistantship.
8 If what you mean by that is, is there a financial transfer or
9 some way because they're doing work with me, the answer is no.
10 I mean but I consider what they're doing a research
11 assistantship. I mean that is what they're doing. They're
12 becoming -- it's research training and assistantship.

13 Q Okay. But they're not fulfilling a service requirement
14 for their program?

15 A By working with me?

16 Q Yeah.

17 A No. Well, I mean except to the degree that if what you
18 mean by -- well, maybe you could clarify. Before I answer no,
19 what do you mean by a service requirement? If you mean are
20 their reasons part of their working with me to meet an academic
21 requirement of their program, meaning they have to write a
22 paper like at the end of the second year, or third year, or
23 they have to write a dissertation, or they don't get a PhD,
24 then, yes, they're working with me for that.

25 But if you mean, are they working with me -- I can't speak

1 for others -- are they working with me to meet a service need,
2 no. But there are many of my colleagues for which, as I
3 mentioned the applied math program, psychology, where they're
4 actually working with the faculty members to actually meet a
5 service need that is part of their PhD program. But if you're
6 referring to me, no.

7 Q Okay. There was reference on direct examination, there's
8 one point you were talking about the, I think it's AMCS,
9 applied math and computer science?

10 A That is, maybe computational science, or something --

11 Q Oh, computational.

12 A It may not be computer science. I apologize for not
13 knowing exactly what the C stands for. But I do know the
14 acronym, AMCS.

15 Q Clearly, I don't know what the C stands for either. And
16 there was a point at which Mr. Johns referred to the applied
17 math program. And you answered about that. Were you
18 understanding the reference to applied math to be AMCS?

19 A Yeah, I was referring to AMCS --

20 Q Okay.

21 A -- there.

22 Q Okay. Bear with me a minute, I'm going to go through my
23 notes here. Let me ask you a little bit about the Center for
24 Analytics that you described. Is that a -- that's not a
25 graduate group; right?

1 A Right. It's a research center at the University of
2 Pennsylvania.

3 Q Okay. So it's a place where someone may -- is it a place
4 where PhD students do research?

5 A Yes.

6 Q And I think you talked about --

7 A Well, it depends what you mean by "place." I mean it's
8 not like it's a physical location --

9 Q Yeah. Okay.

10 A -- but it's -- well, we do have a --

11 Q A program.

12 A -- it's a program. But we provide data to PhD students.
13 We provide research opportunities for PhD students, as well as
14 master's and undergraduate students. But, yeah, it's a
15 research center. So we help students that are interested in
16 problems and analytics, get data and interesting problems to
17 work on, and people from industry that can help mentor them
18 about the specific problem or industry.

19 Q And does it have -- you know, we talked about reporting
20 structures within your department and other departments in
21 Wharton --

22 A Yeah.

23 Q -- does it have a reporting structure?

24 A Everybody reports to somebody. Even Amy Gutmann reports
25 to the Board of Trustees. And I don't know who they -- I don't

1 think they report to anybody. But unless we go to there, I
2 don't think they report to I don't know who. Yeah, so all of
3 the centers also report to a Wharton's Deputy Dean.

4 So, our Deputy Dean again, as I mentioned, is Professor
5 Mike Gibbons. When I was Vice Dean, I reported to him. As
6 chair person I reported to him, and as the director for the
7 Wharton Analytics Faculty Director of the Wharton Customer
8 Analytics Association I report to him as well.

9 Q Okay. And that's true for any of these centers within
10 Wharton?

11 A That is correct. The centers report up to our Deputy
12 Dean.

13 Q Okay.

14 A However, there may be some centers for example that
15 actually are centers that sit in multiple schools, and so may
16 have multiple reporting responsibilities. For example, the
17 Huntsman program, which is a joint program between Wharton and
18 the School of Arts and Sciences. There is a Huntsman Center.
19 I don't know -- that may well -- I don't know.

20 It may well have dual reporting responsibilities. And so
21 there are -- there may be centers that actually kind of sit
22 like our healthcare policy department center has links with the
23 Leonard Davis Institute, it has links with the medical school.
24 But generally, the answer to your question is, yes. But there
25 may be some centers that have a dotted line reporting

1 responsibility to people like Deputy Deans, or you mentioned
2 yesterday, interviewing the --

3 Q Associate Dean.

4 A -- Associate Dean, may have reporting responsibilities
5 like those too.

6 Q Okay. But I gather since you're saying, "they may have,"
7 you don't know --

8 A I don't know.

9 Q -- one way or the other?

10 A I don't.

11 Q And you talked about some students doing basically two
12 parallel PhDs. I think the example you gave was marketing and
13 psychology?

14 A Yes. It's technically just -- there is a tech -- it's a
15 joint PhD, just to reflect the fact that both schools co-run
16 it. You don't get two PhDs, which some people do, this is a
17 joint PhD degree.

18 Q The student, would I be correct in understanding that the
19 student -- I'm going to give you a hypothetical student who's
20 getting a joint PhD in psychology and marketing.

21 A Okay.

22 Q That student has to be admitted to the marketing PhD
23 program; yes?

24 A No.

25 Q No?

1 A That student could be admitted to either side.

2 Q Oh, okay.

3 A So that student could be -- matter of fact, the example I
4 gave of the woman who's going to Washington University in St.
5 Louis, she happened to come in from the psychology side. So
6 she was admitted to the School of Arts and Sciences, Psychology
7 Graduate Department. And she decided that she also wanted to
8 study marketing. We have students going both directions. So,
9 no, you have to be admitted to one of the two departments, but
10 either one.

11 Q Okay. And who decides whether she can pursue in that case
12 she was admitted through the process, the formal process that
13 we've already heard about.

14 A Yeah.

15 Q To the psychology program, she decided she wanted to work
16 in marketing, but presumably, there's some level of oversight
17 in the marketing --

18 A Of course.

19 Q -- program.

20 A There's an application. So she would have to apply, just
21 like if one our students in marketing wanted to do psychology,
22 you have to fill out an application. You have to then say how
23 you're going to meet the requirements.

24 There's actually a very -- there's a formal application
25 process for the joint program. But these are again, these are

1 already admitted students. So, you can't apply to the
2 University of Pennsylvania for the joint program. You must
3 first be admitted either into the psychology department or
4 marketing, and then after -- or during your first year or
5 second year, is the time at which you would then apply for this
6 joint degree.

7 Q And the marketing department in that case could have
8 decided not to -- I don't know whether it's accept her
9 application, admit her to do the joint degree; they could have
10 said no?

11 A Yes. We could have said no.

12 Q Okay. And how does -- so she's in -- she's already in the
13 psychology program, so she presumably had an offer letter of
14 whatever their offer letter is; right?

15 A Right, right.

16 Q Does she then get an offer letter from Wharton; how does
17 that work?

18 A Yeah. So the terms of her -- let's separate two things.
19 Let's talk about the financial aspects of it, and then let's
20 talk about the requirements. And so as I mentioned, someone in
21 this joint program must meet the requirements of both
22 departments.

23 So literally what I mean is, let's say they have a paper
24 that they have to write out for their second year in marketing
25 and one in psychology. Well, there's no double-dipping. You

1 got to write both.

2 Q Um-hum.

3 A And so if you have to -- you have to take marketing's
4 qualifying exam and psychology's qualifying exam and you can
5 double-count some credits, but you might have to take 22
6 courses instead of 16 or 18, because there's a bunch of labs
7 that you have to take in psychology which don't have a direct
8 match to the courses that marketing accepts.

9 And so from a what requirements you have to meet, I'm not
10 -- the way to think about it, is there's some double-counting,
11 but imagine taking the Union literally, there's these
12 requirements from here, and these requirements from here,
13 smashing them together, whichever ones overlap, you don't have
14 to do twice obviously.

15 From a financial point of view, you are compensated, your
16 stipend, like it mentions in E-18, by the department to which
17 you are initially admitted.

18 Q So in that case, psychology?

19 A In this student's case, it was psychology.

20 Q Okay.

21 A In other students' cases, it's been about 50/50 so far.
22 In other students' cases, if they were admitted to marketing,
23 their offer letter would look like this one.

24 Q Right.

25 A If they were doing psychology, it would be a psychology

1 one. And then afterwards; but, yeah. Yes.

2 Q Okay. So at one point in your testimony, you talked about
3 there being nine departments in the Wharton School. Although
4 then when you listed them and added ethics and legal studies, I
5 counted 10.

6 A Yeah, so --

7 Q Is it 10?

8 A Yeah, so, actually I think I may even left another one.
9 Here's the way it works. It's kind of -- this is going to --
10 we have a lot of jargon here, departments, graduate groups, all
11 of this stuff. I believe -- I probably even left another one
12 out -- I think Wharton has 11 departments --

13 Q Okay.

14 A -- but from a PhD perspective, three of those departments
15 are one department. They're not the -- the faculty aren't the
16 same. So there's 11 departments, but there's three -- I think
17 it's real estate, insurance, and I apologize what the third one
18 is -- there are three departments that have pooled their
19 doctoral groups together. But purely at the doctoral level,
20 not at the undergrad level, not at the MBA level, and not even
21 at the faculty appointment level.

22 But each of the groups were so small, they thought it
23 would be -- and their interests were so similar, that they
24 pooled together. So I apologize. There's 11 departments, but
25 nine, if you'd like, departments from a PhD point of view.

1 Q Okay. Is there for purposes of -- all right. You didn't
2 test -- I think I should step back and get a sense of your
3 knowledge. You didn't testify on direct about the master's
4 programs, the MBA, or other master's programs that are offered
5 by Wharton. Is that because you're not -- you're just not
6 familiar with them, you're familiar with the doctorate program?

7 A No. I'm familiar with the master's program.

8 Q So do the master's students get funding?

9 A They wish they -- they might wish they did. Mostly, no.
10 Of course, you know, we do offer need-based financial aid to
11 some. But certainly, by no means all, not enough of our
12 master's MBA students. Some of them do, most of them do not --
13 they do not get financial aid.

14 Q How does one become a PIK professor?

15 A She'll have to get Amy Gutmann up here to answer that
16 question.

17 Q It's not everyone -- it's obviously not everyone who does
18 interdisciplinary -- who has interdisciplinary appointments;
19 right?

20 A That's true. I mean to become a PIK Professor, obviously
21 you need to have established a expertise in multiple areas,
22 and/or the University of Pennsylvania believes that, you know,
23 I think the -- not think, but the whole is greater than the sum
24 of its parts. And so by having someone that bridges across the
25 university and schools, it makes everyone better in both

1 schools, or three schools, or however many schools.

2 And by the way, you can look at the University of
3 Pennsylvania's literature. I think cross-disciplinary
4 education, not just for Amy Gutmann, but our previous president
5 Judith Rodin is one of the foundational building blocks of
6 University of Pennsylvania. We're one university. And we just
7 happen to some of us sit in different schools. But that is a
8 foundational pillar of our president's beliefs. And it's a
9 foundation pillar of my beliefs. I say I've sat in Wharton,
10 I'm proud to be a Professor of the Wharton School. But I'm --
11 when people ask me, where do you work? I say, I work at Penn.
12 I'm a professor at Penn. I just happen to be in Wharton.
13 That's fine.

14 Q Okay. For the -- we've heard a lot before you joined us
15 about funding sources for various graduate programs. So where
16 does Wharton's funding come from?

17 A So other schools should be as fortunate as we are. So
18 predominantly -- and I'll modify why it's only mostly in just a
19 second -- so Wharton's funding sources for doctoral programs
20 come entirely from the school. And so -- well, almost
21 entirely. I'll say my almost in a second.

22 The school, the budget of the Wharton School covers the
23 stipend, tuition, and health benefits, depending as I
24 mentioned, sometimes it's four years, sometimes it's five. But
25 that money comes from the -- if you'd like -- it comes from the

1 Dean's Office. It comes from the budget of the Wharton School.

2 And I say "predominantly" only because we have many of our
3 faculty -- a growing number of our faculty, like I mentioned
4 Michael Platt, who's a PIK Professor. Well, he's a
5 neuroscientist. He applies for NIH and NSF grants. He's going
6 to use those monies to help supervisor Wharton doctoral
7 students.

8 We currently have many students in our statistics
9 department that -- and AMCS students from the college, from the
10 School of Arts and Sciences that are funded off grants that
11 faculty members bring in.

12 One of the large sources of funding from our healthcare
13 policy department is people working with people in the medical
14 school. And so there's funding that comes in through there.
15 But I would say if you ask me a ratio, 85 percent, 90 percent
16 probably comes from the school, if you'd like, from the Wharton
17 budget.

18 But an increasing percentage is coming from grants because
19 in my mind, a good thing is happening. Business schools are
20 becoming closer and closer and closer to building those bridges
21 to other schools. And that means we're going to be in the
22 grant-writing business soon, which is a good thing.

23 Q Okay. Are you familiar with something called the Graduate
24 Executive Board of the Wharton School?

25 A I'm not sure what executive board. Probably. I mean I

1 don't know what the name of it is, but I'm probably -- it's
2 probably a group of outside individuals -- because these are
3 what our executive boards are -- these may be donors to the
4 school in some way. But why don't you explain -- let's --

5 Q I'm going to -- I'm going to show you a document --

6 A Yeah, you can show me a document --

7 Q I mean this is not a test.

8 A I'm good at tests by the way.

9 (Laughing)

10 THE WITNESS: You can give me a test.

11 BY MS. ROSENBERGER:

12 Q Help yourself. It would be not a good thing if you
13 weren't. So I've handed you a document that I've marked Union
14 Exhibit 31. Do you recognize that?

15 A I mean yes and no. So I'm not -- I've never seen this
16 exact document before.

17 Q Okay.

18 A But I know -- well, I obviously -- I definitely know how
19 Howie Kaufold is, who's mentioned at the top. I think you can
20 see his title. As I mentioned --

21 Q Yes.

22 A -- he's our Vide Dean of our MBA program.

23 Q All right.

24 A Wharton, as you could imagine -- I should also have said,
25 we're a part of Wharton's funding from -- since that's part of

1 your other question -- is from donors. And we do a -- you
2 know, one of our Dean's responsibilities is to fundraise.

3 If I had to guess -- well, it's not entirely a guess --
4 probably every single individual on this page, and you can see
5 their Wharton degrees and when they got them -- they probably
6 donated to the school on behalf of the graduate programs at the
7 University of Pennsylvania and Wharton; and therefore, they're
8 an advisory board to the graduate group. And that's who these
9 individuals are.

10 Q So although you may not be familiar with -- I will
11 represent to you that this came off the Wharton School
12 website --

13 A Yeah. I --

14 Q -- this morning, you can see the date at the top. But
15 the --

16 A Yep.

17 Q -- are you familiar generally with the existence of an
18 advisory board for graduate education at Wharton?

19 A Well, yes and no. So, the answer is -- that's why when
20 you asked me, do I know what this was, I sort of said yes, like
21 Wharton has advisory boards for almost -- and I'll say my
22 almost in a second -- almost everything.

23 Like, we have an undergraduate advisory board. We have a
24 graduate advisory board. We have a, you know, Asia-Pacific
25 advisory board, we have a, you know, Wharton has advisory

1 boards -- the center I run on analytics, we have an advisory
2 board. And these are people that have financially contributed
3 to the well-being of the school.

4 But I can say that this graduate board here has played,
5 I've never, when I was Vice Dean of Wharton's Doctoral
6 programs, there was no role that this board played with Wharton
7 Doctoral programs.

8 Q Okay. So where this red -- this represents that the
9 Graduate Executive Board helps to inform the ongoing priorities
10 and future direction of Wharton's MBA, MBA for Executives, and
11 Doctoral programs, you're saying that wasn't your experience as
12 Vice Dean?

13 A I'm just trying to look at the names of people on this
14 list, because I do recognize some of those names. And a number
15 of these people I know. We have people that have given
16 directly to Wharton's Doctoral programs. But, no, these --
17 this Graduate Executive Board does not play a significant role
18 in an advisory capacity to Wharton Doctoral programs.

19 Q Okay. What about are you familiar with a Board of
20 Overseers at the Wharton School?

21 A Yes.

22 Q What is that?

23 A So, you know, Wharton, being a business school, wants to
24 have an interface between people and the business community.
25 And so the Board of Overseers are, as I mentioned before,

1 people typically that are donors.

2 These are people that have given both in their time and
3 financially to the Wharton School. These are people that act
4 in an advisory capacity to our Dean and Deputy Dean, to our
5 Dean's Office. And that's called the Board of Overseers.

6 Just like we mentioned Amy Gutmann, our president, reports
7 to the University of Pennsylvania Board of Overseers. Our
8 Deputy Dean -- I mean he reports to the Provost, but he has as
9 an advisory capacity, he has the Board of Overseers of the
10 Wharton School.

11 (Union U-31 identified.)

12 BY MS. ROSENBERGER:

13 Q And the Board of Overseers is made up of, if I understand
14 you correctly, these donors, these are people who are perhaps
15 alumni, who are in the business community; right?

16 A They don't have to be. Yes, predominantly, they're in the
17 business community, but they don't have to be. I mean it could
18 be someone that's -- I know of professor colleagues of mine who
19 are on Board of Overseers at schools.

20 And unless they make a lot more more money than I do, or
21 that I think of, I don't know that they've given a lot of
22 money, which is why I would say, predominantly on people on
23 boards are there because they've donated and because they have
24 an area of expertise that would be valuable for the school.

25 Q And when you say, people who are on boards, you're talking

1 about these advisory boards for a business school?

2 A No. I mean not necessarily. I mean it would not be
3 surprising to me -- for example, we have a number of professors
4 at Wharton that are members of the national academy of
5 sciences. It would not surprise me -- I don't know this -- but
6 it wouldn't surprise me, they could be on the Board of
7 Overseers of non-business schools. It wouldn't --

8 Q Okay.

9 A -- it wouldn't restrict itself.

10 Q Okay.

11 A And I'm saying the way you get on this is predominantly
12 through donating, but not entirely. We may have people because
13 -- I'll give you an example. John Fry, who's our former --
14 somewhere in the Provostial area there -- I mean he's now the
15 president of Drexel University.

16 He serves -- I know him personally -- he serves on the
17 Board of Overseers of many schools, and I know it's not because
18 he donated. So sometimes we have people on these boards
19 because of their expertise.

20 Q Okay. And if I -- just because this is not a term that I
21 was familiar with -- this Board of Overseers, I mean I know
22 you've said Amy Gutmann reports to a Board of Overseers, she
23 reports to the Board of Trustees; right?

24 A I'm sorry. Board of Trustees.

25 Q Right. And that's not an advisory board, speaking of Amy

1 Gutmann; right?

2 A Yes and no. I mean you'd have to speak to Amy about that.

3 But I mean they appoint her --

4 Q Right.

5 A -- they appoint her.

6 Q Right.

7 A But I believe they also serve in an advisory capacity to
8 her. But technically --

9 Q Yes.

10 A -- yes, she reports to the Board of Trustees -- I
11 apologize, you're right, Overseers is a different name --

12 Q Yeah.

13 A -- in Wharton, we call it a Board of Overseers. But our
14 Dean actually doesn't report to them. They're an advisory role
15 to our Dean. Our Dean reports to the Provost.

16 Q Okay. And they are -- do you know what they advise the
17 Dean on?

18 A The Board of Overseers?

19 Q Yeah.

20 A Well, I'll give you an example. One of the things that
21 Penn did with Wharton very recently -- which has actually had a
22 huge impact on graduate programs at the master's level, but
23 also somewhat at the at PhD level -- we started recently the
24 Penn Wharton China Center.

25 So this is a center located in Beijing. It's actually a

1 physical Penn campus in Beijing. As you can tell, it's Penn
2 Wharton. It's the Penn Wharton China Center. Graduate
3 students go there to do research from Penn and Wharton as a
4 whole.

5 Before Wharton decided to embark on this, our Dean went to
6 the Board of Overseers and said, what do you think about this
7 idea? And so they provided an advisory capacity to our Dean.
8 Obviously, not obviously, the Dean also have faculty members
9 like myself. I serve on a Dean's Advisory Council. So he
10 wants faculty opinion on things, but he also wants people out
11 in the business world.

12 So they provided like on big strategic things for the
13 school, do you think this is a good thing for the Wharton
14 School to do? Do you think it's good for the University of
15 Pennsylvania for us to be in this business? And that's what he
16 uses them for.

17 Q Okay.

18 HEARING OFFICER LEACH: Does the Employer object to
19 Union 31?

20 MR. JOHNS: No objection.

21 HEARING OFFICER LEACH: Okay. Union 31 is received.

22 (Union's U-31 received.)

23 MS. ROSENBERGER: Let me think. That's all the questions
24 I have for you right now. Thank you.

25 HEARING OFFICER LEACH: Does the Employer have any

1 additional?

2 MR. JOHNS: No questions.

3 HEARING OFFICER LEACH: Okay. I just had a few to follow
4 up. Are you feeling okay?

5 THE WITNESS: Yeah. I'm straight, I'm fine.

6 HEARING OFFICER LEACH: Okay. All right. Okay. All
7 right. I appreciate that. I just wanted to make sure --

8 THE WITNESS: Sure.

9 HEARING OFFICER LEACH: -- you're okay. Okay. Let's see,
10 just give me a moment to scroll --

11 THE WITNESS: Yes.

12 HEARING OFFICER LEACH: -- through. Okay. So you talked
13 about the teaching assistants at Wharton. When they teach, are
14 they evaluated?

15 THE WITNESS: Yes.

16 HEARING OFFICER LEACH: How?

17 THE WITNESS: So University of Pennsylvania has a teaching
18 form that we all get evaluated on. And so that's Professors,
19 TAs, et cetera. They're evaluated. You know, for example, how
20 interesting did they make the material? Do you think they
21 clearly explained the material? So the University of
22 Pennsylvania has an online system to which anybody that teaches
23 or TAs is evaluated.

24 HEARING OFFICER LEACH: Are you referring to being
25 evaluated by students?

1 THE WITNESS: Oh, good point --

2 HEARING OFFICER LEACH: Or by the faculty in the program,
3 in Wharton?

4 THE WITNESS: Good clarification. I was referring to the
5 students, the students filling out evaluations. But we also,
6 you know, for students that TA for us, that is part of their
7 when we decide -- you remember, we used the term "in good
8 standing," when we decide who's in good standing, we use all of
9 the information which is, how is the student doing in their
10 coursework? How is their research going? If they've acted as
11 a TA for a course, how is that going as well? We use all of
12 that in our evaluative process on their academic progress.

13 HEARING OFFICER LEACH: I just wanted to know -- well,
14 does Wharton -- maybe I should be a little bit more specific --

15 THE WITNESS: Sure.

16 HEARING OFFICER LEACH: -- does Wharton evaluate the TAs
17 just on what they do as a TA?

18 THE WITNESS: No.

19 HEARING OFFICER LEACH: Okay.

20 THE WITNESS: No. Because I mean our TAs aren't -- we
21 don't hire people from the outside just to be TAs. So our TAs
22 may be MBA students, master's students. They may be PhD
23 students. And so it's part -- they're evaluated for their
24 teaching, but they're always evaluated on the other things that
25 they're doing.

1 HEARING OFFICER LEACH: has there ever been a situation
2 where a TA is evaluated negatively based on their position as a
3 TA?

4 THE WITNESS: Yes.

5 HEARING OFFICER LEACH: And what happens?

6 THE WITNESS: I mean, it depends. I mean, the first thing
7 we want to do is of course this is the department chair's
8 responsibility. And I can tell you as my roll, I look
9 everybody's teaching ratings. Faculty, PhD students, master's
10 students, anybody that teaches for us, I see their teaching
11 ratings. For people that have disappointing teaching ratings,
12 I would say.

13 The first thing I'd do is I'd bring them in my office and
14 talk to them about their experience. I'd take them through --
15 obviously they can see it as well, they can see their ratings
16 -- we discuss ways to improve their teaching. We provide them
17 mentorship. We say, you know, I'll either personally mentor
18 them or will assign them somebody.

19 It's very common that I will sit in on the class of people
20 that are struggling a little bit in the classroom, so I can get
21 a firsthand assessment of the areas in which they can improve.
22 And I think as asked under direct, Penn Center for Teaching and
23 Learning is really good about that.

24 And also, one other thing I forgot to mention that Wharton
25 does is that if when asked -- our PhD students can be filmed,

1 either giving talks or teaching. And a professional will be
2 happy to go over that with them. And so we have a lot of ways
3 to bring students along the educational process of teaching.
4 We really want them to be very comfortable in the classroom.

5 HEARING OFFICER LEACH: Okay. Would a negative teaching
6 experience have any impact on the funding that the Wharton
7 student receives -- well, the PhD student?

8 THE WITNESS: Right. The answer is, I'm just -- it's a
9 good hypothetical -- I'm not sure I can think of any instance
10 where their poor teaching ratings influenced their funding.
11 Because, you know, back to the E-18, what's being in good --
12 well, for example on a marketing student, it doesn't require
13 it, so it certainly couldn't be part of that.

14 But, no, I can't think of a scenario where poor teaching
15 ratings would affect your funding, except to the degree where
16 if we made a holistic judgment about research, teaching,
17 scholarship, trajectory of the student, where the student was
18 no longer in good standing, that could affect their
19 continuation in the program. But, no, not because of poor
20 teaching ratings in a course. That would not be enough as a
21 grounds in itself.

22 HEARING OFFICER LEACH: Okay. And I'm -- you have to
23 forgive me, because I'm -- I've heard a lot of testimony about
24 this issue. I just want to be sure for Wharton, I understand
25 that the funding includes the stipend, tuition benefit, health

1 insurance. For PhD students, is teaching a requirement?

2 THE WITNESS: It's not a Wharton level -- it's not a
3 Wharton level requirement. Most departments of the -- we've
4 just described nine from the graduate point of view --

5 HEARING OFFICER LEACH: Right.

6 THE WITNESS: -- I think marketing, there might be one
7 other; I'm not sure. Marketing might be the only one that
8 doesn't require them. Or there might be one other department
9 that doesn't require it. So if you're asking me as Wharton as
10 a whole, no. Wharton does not have a teaching requirement.
11 Departments within -- because the University of Pennsylvania
12 doesn't have a teaching requirement.

13 If the University of Pennsylvania had a teaching
14 requirement, we would have a teaching requirement. So we allow
15 each individual department to determine what's best for the
16 educational training of their students, in terms of
17 requirements.

18 HEARING OFFICER LEACH: Okay. Just so I'm clear. Within
19 Wharton, there are some departments that would require --

20 THE WITNESS: Oh, absolutely --

21 HEARING OFFICER LEACH: -- the PhD students --

22 THE WITNESS: Absolutely --

23 HEARING OFFICER LEACH: -- to teach? Okay.

24 THE WITNESS: -- most departments.

25 HEARING OFFICER LEACH: Got you.

1 THE WITNESS: It might be seven of nine --

2 HEARING OFFICER LEACH: Okay.

3 THE WITNESS: -- or eight of nine.

4 HEARING OFFICER LEACH: Okay.

5 THE WITNESS: Most departments, but not all. It's not a
6 Wharton level policy. It's a department decision about the
7 amount. But, yes, eight of the nine departments, let's say,
8 require teaching as part of graduate training.

9 HEARING OFFICER LEACH: Okay. For master's students, is
10 teaching a requirement?

11 THE WITNESS: No.

12 HEARING OFFICER LEACH: Okay.

13 THE WITNESS: But many, many of them do. As a matter of
14 fact, as an example, I teach a course -- I teach both MBA
15 students and PhD students. And my MBA level course is a very
16 large course. It's one of what are called the core-required
17 courses.

18 HEARING OFFICER LEACH: Okay.

19 THE WITNESS: And my TAs are always master's students.
20 But many of the probably -- it's probably a 50/50 split in our
21 department where master's students and PhD students are TA for
22 courses, and many times, side by side with each other.

23 HEARING OFFICER LEACH: Okay. With regard to kind of the
24 same line of questioning, concerning a service requirement, I
25 understand that -- so you said most of the departments in

1 Wharton have a requirement that the PhD students teach --

2 THE WITNESS: Yes.

3 HEARING OFFICER LEACH: -- I'm clear on what, you know the
4 master's, if students don't have one, what about we've heard
5 this -- I've heard the term, research assistant, or research
6 fellow, do any of the Wharton departments require like in the
7 same way someone would have a requirement to teach, a
8 requirement to I guess be a research assistant, or fellow, or
9 is the research something that the students are doing as part
10 of their PhD program?

11 THE WITNESS: Good question. The answer is both.

12 HEARING OFFICER LEACH: Okay.

13 THE WITNESS: So let me do the latter first, and then I'll
14 get to the first one. That is what our PhD students as --
15 again, research and teaching, that's what we're training them
16 to do hand in hand. Some departments require actually will
17 say, you will be assigned as an RA to a professor for the first
18 two terms that you're there. So some departments have that as
19 well.

20 And but everyone is expected to do research because, you
21 know, the PhD has to be an original piece of research. And so,
22 we like to get our students engaged in research immediately.
23 But, yes, some of our students are assigned official RA
24 positions when they arrive.

25 HEARING OFFICER LEACH: PhD students?

1 THE WITNESS: PhD students.

2 HEARING OFFICER LEACH: And are they for -- so now for
3 those students that are assigned as RA assignment, are they
4 evaluated for that?

5 THE WITNESS: I mean only to the degree that we evaluate
6 -- I don't mean this in the crass kind of way -- we evaluate
7 our PhD students on everything. I mean when we --

8 HEARING OFFICER LEACH: Okay.

9 THE WITNESS: -- decide whether to have a student continue
10 in the program, we consider everything. We consider their
11 grades. We consider their job as an RA. We consider of course
12 their independent scholarship potential. We consider their,
13 you know, everything.

14 I mean all the things that are important, teaching,
15 education, coursework, preparedness. All the things that are
16 important by becoming a great scholar. So, yeah, I mean we
17 evaluate them on being an RA. And we evaluate them on
18 everything they do.

19 HEARING OFFICER LEACH: Okay. So what would happen if
20 someone was assigned to an RA position and they weren't doing
21 well, how do you handle that?

22 THE WITNESS: Well, so it's a challenge because if in
23 someone's offer letter they were required to be an RA, but they
24 were -- let's imagine a scenario where they were such a poor
25 RA, where they would be essentially nobody would want them to

1 RA for that individual, that could be a situation where the
2 student was determined not to be in good standing.

3 Just like in a similar vein, if you can't find someone to
4 advise your dissertation, then how can you write a PhD without
5 an advisor? And so it would be in the similar way, is that as
6 long as the student can meet the requirement and stay in good
7 standing, there would be no impact on their financials.

8 But if the student was required to be an RA and for
9 whatever reason they couldn't be assigned as an RA, that
10 potentially could put the student in poor standing.

11 HEARING OFFICER LEACH: And then what happens?

12 THE WITNESS: That's on a case-by-case basis. It could be
13 that the school could say, well, instead of RAing for this
14 course, maybe we ask you to be a TA for another course. Or
15 maybe we say, well, you're such -- you know, we feel that this
16 part of your educational training is where it needs to be,
17 we're going to now waive that.

18 So there's not a -- you know, the wonderful thing this is
19 a statement my advisor, I had the most wonderful humane advisor
20 in the entire world, when it comes to doctoral education, it's
21 always personal. And so there are rules, there are things that
22 apply to every university of Pennsylvania student. But at the
23 end of the day, you want to do what's best for the individual
24 student.

25 And so, that's part of our ethos, is that we all live

1 within the University of Pennsylvania requirements. But what I
2 would treat -- you know, what's the famous expression? Fair
3 but not equal. We treat everybody fair, but it doesn't mean we
4 have to treat everybody -- so what I might do for one student
5 that couldn't be an RA, I might not do for a different student.

6 HEARING OFFICER LEACH: Could someone be dismissed from
7 the program for not performing their RA duties?

8 THE WITNESS: I mean technically the answer would be yes.
9 If you were assigned to be an RA, and you did not perform your
10 RA duties, then that could be grounds -- there's no -- I don't
11 want to make it seem deterministic --

12 HEARING OFFICER LEACH: Um-hum.

13 THE WITNESS: -- but could you be dismissed as not
14 fulfilling your duties in your offer letter of admissions? The
15 answer is yes, that could happen.

16 HEARING OFFICER LEACH: Has that ever happened?

17 THE WITNESS: Not in my -- not in my seven years. But
18 let's be clear also. The only time the Vice Dean for Wharton
19 Doctoral programs sees all of the cases is in dismissal cases.
20 Because technically, departments have to kind of apply to get
21 someone dismissed.

22 So, I saw the dismissal cases. I don't remember any
23 dismissal -- I'd have to think carefully -- I don't remember
24 any dismissal cases on the basis of someone not fulfilling
25 their RA duties. But that could very well be one component of

1 the total reason.

2 But mainly, someone gets dismissed because the faculty
3 just says, look, we don't believe this person can be a great
4 academic thought leader. Just kind of, now that we've seen
5 your grades, we've seen your teaching, we've seen your
6 research, were just, you know, we're not convinced that there's
7 a good academic path for you forward.

8 HEARING OFFICER LEACH: So you're saying that in most
9 cases when someone's been dismissed, it's not just because of
10 not fulfilling RA duties, it's a combination of --

11 THE WITNESS: That is correct.

12 HEARING OFFICER LEACH: Yes. Okay.

13 THE WITNESS: That is correct. We make a holistic
14 judgment of all of our students, especially before dismissing
15 -- or potentially dismissing a student.

16 HEARING OFFICER LEACH: And I think you touched on this,
17 but just so I'm clear, and it's clear for the record, the
18 student, the PhD student would have in some cases the service
19 requirement of teaching, and in some cases they would have the
20 service requirement of being an RA. That means that -- does
21 that mean as part of their funding package, they're supposed to
22 fulfill the RA duty?

23 THE WITNESS: That is correct.

24 HEARING OFFICER LEACH: Okay.

25 THE WITNESS: It would be part of their -- it would be

1 stated in their offer letter, like in E-18 that we saw, it
2 would be stated in there. And that would be part of their
3 fulfilling their requirements; yes.

4 HEARING OFFICER LEACH: Okay. There was talk about the
5 joint -- I believe the Union just asked you in their cross
6 about the joint degree of a woman I think who's in psychology
7 and Wharton in the marketing department. And you said the
8 person only has to get admitted to one side. She got admitted
9 to psychology.

10 THE WITNESS: Well, you're initially admitted to one side.

11 HEARING OFFICER LEACH: Okay.

12 THE WITNESS: You're initially admitted either as a
13 psychology PhD student or a marketing -- Wharton Marketing PhD
14 student. You're admitted to that department, and then you need
15 to apply to the joint program. But she, this particular
16 individual of which we have a number right now, but she was the
17 first graduate, she came out of the psychology department.

18 HEARING OFFICER LEACH: Who oversees her work while she's
19 in psychology and Wharton? I guess at the same time?

20 THE WITNESS: Both, both. So there's a doctoral
21 coordinator in psychology. There's a doctoral -- see, the
22 basic infrastructure of PhD students, kind of a supervisor,
23 let's call it doctoral coordinator -- they may call it -- I
24 don't think they call it that in psychology -- but it's the
25 same person who reports up to a Vice Deanly person in their

1 graduate group who then -- I mean that infrastructure is the
2 same across the university basically.

3 And so that person would have meetings and oversight by
4 two people, both departments would have to keep track of their
5 work and approve of their work.

6 HEARING OFFICER LEACH: Okay. Earlier you discussed a
7 number of people in the master's program and the PhD program;
8 how many people are in the master's program or were in it the
9 past school year?

10 THE WITNESS: Yeah. So Wharton actually has three -- we
11 also have another master's degree I should talk about in a
12 second -- but Wharton has three master's -- the MBA degree is
13 given in -- it's one degree, but it's given in three locations.
14 We have people that are still working for a living, that don't
15 go full time, that go on the weekends. We have a hundred
16 people roughly in Philadelphia at our campus that do that right
17 here at Penn.

18 Then we have 800 students, roughly 800 to 850 that are
19 daytime students. These are full-time students. This is when
20 you think of going back to school for two years for an MBA,
21 these are full-time students. We also have a campus in San
22 Francisco. And so we have roughly a hundred students there.

23 So think of there being roughly a thousand MBAs every
24 year, 100, 800, 100. And there's -- it's a two-year program.
25 So think of there being 2,000 MBA students at any given time.

1 The Wharton School -- now, we also give master's degrees.

2 And so for example, matter of fact, this wasn't asked of
3 me, but since you asked about master's degrees, we have many,
4 many, many students from Penn as a whole that want a master's
5 degree in statistics as an example, because that's a very
6 marketable degree right now, a very valuable degree.

7 And so many PhD students within Wharton and outside of
8 Wharton but within Penn will graduate with a -- I'll make this
9 up -- I've got a PhD in anthropology, and a master's in
10 statistics. And so it's a very, very popular degree. And
11 actually, the reason I know this -- I'm not -- it's no
12 hypothetical -- the Vice Dean of Wharton's Doctoral programs
13 has to sign all of those people, both inside of Wharton and
14 outside of Wharton that are applying for this master's degree.

15 Also, for people that get dismissed out of the program,
16 they can get what's called a terminal master's degree. And so,
17 you know, you didn't quite make it to the PhD level, but we
18 give you a -- you've been here for two years, you wrote a
19 master's thesis, we give you a master's of marketing or a
20 master's of finance, et cetera.

21 But the master's of statistics degree is becoming so
22 popular across the University of Pennsylvania that everybody --
23 I mean I don't want to say everybody wants it, that would be
24 not true, but tons and tons of people would love to have a PhD
25 in Field X and a master's degree in statistics.

1 HEARING OFFICER LEACH: What's the number of students that
2 you have in your master's degree program?

3 THE WITNESS: Well, as I said, it's roughly 2,000. So the
4 Wharton Master's Program is primarily the MBA degree. That's
5 the master's degree from the Business School.

6 HEARING OFFICER LEACH: Right.

7 THE WITNESS: And so it's 2,000. It's a two-year program,
8 so we have a thousand in each of two years.

9 HEARING OFFICER LEACH: But what about the students that
10 are getting a master's that's not an MBA?

11 THE WITNESS: Very, very, few.

12 HEARING OFFICER LEACH: Okay.

13 THE WITNESS: And so we don't -- generally, we do not
14 admit direct master's students. Let me just say, there's been
15 a debate among the Wharton faculty about whether we should do
16 that going forward. Like should we develop a degree in like
17 how about a master's in analytics? How about a master's in
18 finance? At the moment, they're on the books. We can give
19 those degrees. But people do not directly apply for those
20 degrees.

21 HEARING OFFICER LEACH: Then how does someone get a
22 master's degree from Wharton? Are you saying that it's --

23 THE WITNESS: Are you talking about the MBA, or the not
24 the MBA? The other master's --

25 HEARING OFFICER LEACH: Not the MBA.

1 THE WITNESS: Okay. So the way it would happen is, again,
2 let me use an example. I'm a PhD student in the School of Arts
3 and Sciences. And I would like a master's degree in statistics
4 to demonstrate to everybody that I know how to analyze data, et
5 cetera.

6 So you fulfill the requirements of the master's degree in
7 statistics. The Vice Dean of Wharton's Doctoral programs looks
8 at the thing. The person in charge of it, in the statistics
9 department has to sign off. The Vice Dean of Wharton's
10 Doctoral program signs off. That's one way.

11 And that's not just statistics. You could -- while you're
12 getting your PhD in engineering, nursing school, medicine,
13 Annenberg, it doesn't matter, you might want a PhD -- a
14 master's in finance, a master's in statistics. You can get any
15 of those degrees.

16 But in other words, those people didn't apply for a
17 masters in statistics to come to Penn. They applied to a PhD
18 program and got a master's degree along the way. The other way
19 to get a master's degree is you apply for a PhD program, and
20 I'll just use the vernacular, you didn't cut it. You got
21 dismissed. And so we give you what's called a terminal
22 master's degree if you meet those requirements.

23 HEARING OFFICER LEACH: Okay. Okay. I got it. I
24 understand. All righty. I'm almost done. And I appreciate
25 your time.

1 THE WITNESS: Oh, I'm doing fine.

2 HEARING OFFICER LEACH: Okay. I think I just want to
3 clarify some of the -- just for information purposes. You
4 talked about kind of these joint degrees that Wharton has I
5 guess interdisciplinary programs, and people can get degrees
6 from other schools.

7 THE WITNESS: Yes.

8 HEARING OFFICER LEACH: And these may be common sense
9 questions or answers, but I just want to be sure I'm clear
10 that --

11 THE WITNESS: Sure.

12 HEARING OFFICER LEACH: -- you know, so someone who may be
13 -- I think you mentioned may be neuroscience?

14 THE WITNESS: Yes.

15 HEARING OFFICER LEACH: And they can get a joint degree,
16 so --

17 THE WITNESS: Well, we're hoping to start a formal -- I
18 should also be -- this is a good -- I'm glad you asked the
19 question, because what I mean 20 years ago, if somebody wanted
20 a joint degree between let's say psychology and School of Arts
21 and Sciences and marketing, they could do it. They would have
22 to apply through a bunch of hoops and processes to make it
23 happen, because it was nothing on the books, if you'd like,
24 that did it.

25 You could do the same for neuroscience and marketing

1 today. You could get a joint degree. But since the formal
2 degree hasn't been approved by the Vice Provost of Education,
3 and the Provost Office, it's kind of like you have to apply
4 through a series of steps.

5 We want to create -- we want to make that much easier for
6 people to get cross-disciplinary degrees. And since psychology
7 is one of the foundations of marketing, we wanted to go through
8 the formal process of creating that degree and putting it on
9 the official University of Pennsylvania books. My intention,
10 as long as I'm department chair of marketing, I want to do that
11 with neuroscience and the medical school; I want to do it with
12 computer science and engineering; I want to do it with
13 economics and the School of Arts and Sciences. I want to do
14 that for all of the schools.

15 And by the way, since you brought up the master's level, I
16 think I can announce this. My Dean might be angry at me. But
17 we're just about to start a program with the School of
18 Engineering. It's actually been on the books for 30 years, but
19 we're just reinventing it.

20 Where someone can come to the University of Pennsylvania
21 and get an MBA degree from the Wharton School and a master's
22 degree from the engineering school in one two-year period. And
23 similarly, you apply to one of the two schools -- you could
24 apply to engineering or to Wharton -- and then you will apply
25 for this joint -- for this dual-degree program.

1 So actually, we think it's very exciting that our master's
2 students, our MBA students will also be able to get cross-
3 disciplinary degrees from the engineering school. And that
4 will be announced very soon.

5 HEARING OFFICER LEACH: Okay. I probably should have --
6 Okay. Maybe neuroscience wasn't the best example. I think I
7 wanted -- I looked at my notes, and that word popped out of me,
8 with the title. I think I wanted to focus on one of the joint
9 programs you already have.

10 THE WITNESS: Oh.

11 HEARING OFFICER LEACH: So you currently have like MD-PhD,
12 and Wharton --

13 THE WITNESS: That's correct.

14 HEARING OFFICER LEACH: -- or Econ and Wharton; right? So
15 those --

16 THE WITNESS: We don't have econ and Wharton yet.

17 HEARING OFFICER LEACH: Oh, no. Okay.

18 THE WITNESS: Not yet.

19 HEARING OFFICER LEACH: So MD-PhD --

20 THE WITNESS: The ones we have yet is, we have an MD-PhD
21 program; we have a JD, which is the law school --

22 HEARING OFFICER LEACH: Um-hum.

23 THE WITNESS: -- JD-PhD program, we have a -- as I
24 mentioned, we have the joint program with psychology. Those
25 ones we have on the books right now.

1 HEARING OFFICER LEACH: Okay. So, just with regard to
2 those --

3 THE WITNESS: Yes.

4 HEARING OFFICER LEACH: -- I guess I just wanted to just
5 be sure I had a good understanding of where and how are people
6 receiving their training in these joint programs? So --

7 THE WITNESS: Both --

8 HEARING OFFICER LEACH: -- they receive their training
9 from both?

10 THE WITNESS: They have to, because they have coursework
11 requirement from both schools. And they have exam requirements
12 from both schools. I mean I don't know about you, but I hope
13 someone getting an MD degree actually takes courses over there
14 in the medical school and not just --

15 HEARING OFFICER LEACH: That makes sense.

16 (Laughing)

17 THE WITNESS: -- I mean not just over at Wharton.

18 HEARING OFFICER LEACH: That's true --

19 THE WITNESS: I mean we're happy to give them a Wharton
20 degree, but if I don't see them, and a lot of these people are
21 also practicing physicians, I'd be hoping they'd go take some
22 courses over in the medical school.

23 HEARING OFFICER LEACH: That makes a lot of sense. That
24 does.

25 THE WITNESS: That would be nice.

1 HEARING OFFICER LEACH: I want my doctor to be a real
2 doctor. I think that's important.

3 THE WITNESS: I won't be offended by the fact that you
4 called me not a real doctor.

5 (Laughing)

6 HEARING OFFICER LEACH: No, not you. You know an MD.

7 THE WITNESS: No, I'm just having some humor here. It's
8 late on a Friday.

9 HEARING OFFICER LEACH: An MD. I know, I know.

10 THE WITNESS: My brother who's a real doctor tells me all
11 the time I'm not a real doctor.

12 HEARING OFFICER LEACH: No, you're a real doctor too.
13 Okay. So the bottom line is, as far as summary purposes, when
14 students are from both schools, they have to fulfill
15 requirements at both schools; right?

16 THE WITNESS: Absolutely.

17 HEARING OFFICER LEACH: Okay.

18 THE WITNESS: That's why it's called a joint degree.

19 HEARING OFFICER LEACH: Got you. Okay.

20 THE WITNESS: Absolutely. Both schools.

21 HEARING OFFICER LEACH: Okay. Can you just give me an
22 example of how, how would you say, let's say the JD and Wharton
23 combined degree, how would you say that -- at what point do
24 they come together? Or how does it mesh?

25 THE WITNESS: That's a good question. So, for that

1 particular degree, those students actually do apply for that
2 degree prior to coming. It's actually a box --

3 HEARING OFFICER LEACH: Oh, okay.

4 THE WITNESS: -- so that degree's a little bit different.
5 And I think the way it works -- I may have this wrong, but I
6 don't think so, I can be corrected later -- I think those
7 students might do the first, I don't remember if it's one or
8 two years over in the law school first. And then they do --
9 I'm going to say it's two years, but I'm guessing -- it could
10 be one -- then they do they spend their time, some number of
11 years over in Wharton.

12 And then they finish up their JD degree. And some of the
13 Wharton classes, since as corrected, thank you, that we do have
14 a legal studies and business ethics departments, many
15 professors whom by the way have joint appointments with the law
16 school.

17 And many people have joint appointments in that department
18 with sociology, and the School of Arts and Sciences. And a lot
19 of people -- so, those, I think the way it goes, Beth is going
20 to probably correct me as I leave here, but I believe those
21 students go one or two years first in the JD, meaning get their
22 law degree. Then they take their Wharton classes. Then they
23 go back over to the law school to finish up.

24 HEARING OFFICER LEACH: And then how would -- how does the
25 medical school interact with Wharton; how does that work?

1 THE WITNESS: Very similar way for the MD-PhD degree.
2 Those students, at least the ones I've actually mentored, they
3 start over in the medical school. They go through their
4 medical school training, PhD, and then go back and finish up.
5 Typically, it goes other school, Wharton, other school again.

6 HEARING OFFICER LEACH: Okay.

7 THE WITNESS: And so these people again are taking courses
8 in both -- we hope synergistically. I mean I could again speak
9 to the student that I've worked with. One of my pride and joy,
10 a woman by name of Rachel Werner, a brilliant scholar over in
11 the medical school.

12 She actually applies the work that we do -- I'll give you
13 an example, we work on a project of ranking hospitals. So
14 that's a status -- statistical look on how good hospitals are.
15 So if you get ill, which hospital should you go to.

16 So we hope that the people that are trained through these
17 joint degree programs apply the skills from both of those
18 schools. That's our dream, that's the hope.

19 HEARING OFFICER LEACH: And when they're doing the Wharton
20 degree and the other degree, whether it's medicine, JD, or
21 psych, they're working with their professors in both
22 departments?

23 THE WITNESS: That is correct.

24 HEARING OFFICER LEACH: Is there a time when the
25 professors come together, like would Wharton professors and JD

1 professors be working with the student at the same time?

2 THE WITNESS: Absolutely, definitely.

3 HEARING OFFICER LEACH: Can you explain that.

4 THE WITNESS: Sure. So for example, let's imagine, I'll
5 use just examples for me. Let's imagine I'm working on a
6 project with someone in the -- let's say the law school. But
7 there's like they know the substantive part of the problem,
8 let's say the law. But I know statistics. But this person's
9 applying statistics in law. The most wonderful thing about
10 being at the University of Pennsylvania is when I get to sit in
11 a room with faculty from other schools who a lot of times I've
12 never met before. But we're brought together by a student with
13 common interests.

14 And, yeah, I mean it's very often the case that there
15 would be faculty from -- again, remember, we're all Penn
16 Professors, forget the -- I mean, I'm not saying the labels
17 aren't important. But we're all Penn Professors. And so, it's
18 great to be in a room with faculty from other schools within
19 Penn and jointly advising the student. It really is. It's
20 kind of part of a highlight of my experience. But that's how
21 it would work.

22 HEARING OFFICER LEACH: And that would be the same for
23 psychology and economics.

24 THE WITNESS: Absolutely. And even, those are the formal,
25 programs. Let's be clear, when I advise students in the

1 economics department, I'm sitting there with the professors in
2 the econ department. And we're sitting there, and we're
3 sitting there together with the PhD student.

4 HEARING OFFICER LEACH: Okay. That's all I have. I just
5 wanted to understand that how those joint programs can work
6 together.

7 Does the Employer have any other follow up?

8 MR. JOHNS: No more questions.

9 HEARING OFFICER LEACH: From the Union?

10 MS. HOYE: No.

11 HEARING OFFICER LEACH: Okay. You're free to go today.

12 THE WITNESS: Thank you.

13 HEARING OFFICER LEACH: Thank you. I appreciate your
14 time.

15 THE WITNESS: Oh, sure. Nice meeting you.

16 HEARING OFFICER LEACH: Same here.

17 I think that -- I think that the Employer had something
18 they wanted to submit today? Were you going to give me some
19 numbers --

20 MS. SWARTZ DANTE: Oh, yeah, Madam Hearing Officer, you
21 asked on Wednesday, you asked for an additional figure that we
22 didn't have readily available.

23 HEARING OFFICER LEACH: Right. I think I wanted to know --
24 -- I was just trying to figure out the number of individuals in
25 the petition for a unit, versus maybe the unit that the

1 Employer might think is appropriate. And I believe I asked for
2 there's a question about whether or not educational fellowship
3 recipients or student workers should be included. And I
4 believe I asked for the number of those individuals and those
5 titles in Wharton, in SAS; am I right, yes?

6 MS. SWARTZ DANTE: Yes, that's correct.

7 HEARING OFFICER LEACH: Okay.

8 MS. ROSENBERGER: Yes.

9 HEARING OFFICER LEACH: Okay.

10 MS. SWARTZ DANTE: So that number is 432.

11 HEARING OFFICER LEACH: Combined?

12 MS. SWARTZ DANTE: Combined.

13 HEARING OFFICER LEACH: Okay.

14 MS. ROSENBERGER: That's educational fellowship
15 recipients, and student workers.

16 MS. SWARTZ DANTE: Correct. In both Wharton and
17 engineering.

18 MS. ROSENBERGER: And say the number again.

19 MS. SWARTZ DANTE: 432.

20 MS. ROSENBERGER: Okay.

21 HEARING OFFICER LEACH: Is it awful to ask are -- do you
22 know them separate for each, or no? If you don't, it's okay.

23 MS. SWARTZ DANTE: So, no. I mean I can take a look at
24 it, but I will say that these classifications are somewhat
25 complicated, and that people might have --

1 HEARING OFFICER LEACH: Okay.

2 MS. SWARTZ DANTE: -- a number of appointments at any
3 given time, so there could be a variety of combinations --

4 HEARING OFFICER LEACH: Okay --

5 MS. SWARTZ DANTE: -- among these classifications --

6 MR. JOHNS: Can I -- were you asking -- were you asking by
7 classification, or were you asking by the school? Because it
8 could have been one of two questions. We might be able to do
9 it by school. The classification is a little bit tougher.

10 HEARING OFFICER LEACH: That's fine. If you can separate
11 it by school, that's fine.

12 MR. JOHNS: I don't know if we have it right now, but
13 we --

14 HEARING OFFICER LEACH: No, no that's fine.

15 MR. JOHNS: -- can get it for you.

16 HEARING OFFICER LEACH: But in my notes I have EFR and
17 student workers in Wharton and SEAS. And you're telling me
18 that that number is 432 combined?

19 MS. SWARTZ DANTE: That's correct.

20 HEARING OFFICER LEACH: Okay. Okay. Okay. I think
21 that's fine.

22 MR. JOHNS: But if you would like, we could look over the
23 weekend, and then Monday if you wanted us to divide it between
24 schools, we might be able to do that. If you want it --

25 HEARING OFFICER LEACH: Can I let you know Monday? I need

1 to think about that. I'm sorry. I was, sometimes I get a
2 little single-tracked. I was thinking about the testimony
3 today. So I will think about that. At this point, no, it's
4 fine. I'm okay with the combined number.

5 And the organizational chart, you were still working on
6 that?

7 MR. JOHNS: We are; yes.

8 HEARING OFFICER LEACH: Okay. I'm not rushing you. I just
9 keep these things highlighted so I don't forget.

10 MR. JOHNS: The goal is next week --

11 HEARING OFFICER LEACH: Okay. No problem.

12 MR. JOHNS: -- for that.

13 HEARING OFFICER LEACH: And then the funding letters from
14 NIH or NSF, and related --

15 MR. JOHNS: We're working on that too.

16 HEARING OFFICER LEACH: Okay. All righty. Okay. Sounds
17 good. Anything else before we go off the record for today?

18 MR. JOHNS: Not from the Employer.

19 HEARING OFFICER LEACH: Okay. For the Union?

20 MS. HOYE: (No audible response.)

21 HEARING OFFICER LEACH: Okay. Then we're off the record
22 for today.

23 MR. JOHNS: Thank you.

24 (Whereupon, at 4:35 p.m., the above-entitled matter
25 was closed.)

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C E R T I F I C A T E

This is to certify that the attached proceedings done before
the NATIONAL LABOR RELATIONS BOARD (REGION 4)

In the Matter of:

THE TRUSTEES OF THE UNIVERSITY OF PENNSYLVANIA,

Respondent,

and

GRADUATE EMPLOYEES TOGETHER-UNIVERSITY OF PENNSYLVANIA
(GET-UP) A/W AMERICAN FEDERATION OF TEACHERS, PETITIONER,

Petitioner.

Case No.: 4-RC-199609

Date: June 16, 2017

Place: Philadelphia, Pennsylvania

Were held as therein appears, and that this is the original
transcript thereof for the files of the Board.

Official Reporter

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