

6-7-1991

## NEWS AND NOTES 1991, JUNE 7

The Rockefeller University

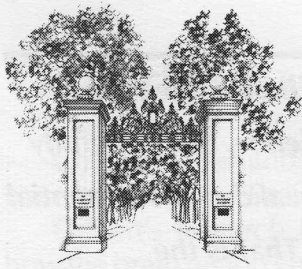
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### Recommended Citation

The Rockefeller University, "NEWS AND NOTES 1991, JUNE 7" (1991). *News and Notes 1991*. Book 16.  
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# News & Notes

## 1991-92 budget reduces deficit, cuts spending

### ***AIDS lab, student housing, new faculty get funding***

University trustees Wednesday adopted a budget for the next fiscal year that anticipates a significant reduction in the university's operating deficit for current operations and services, principally as a result of sharply curtailed spending on support services and administration.

The deficit for the current fiscal year, ending June 30, will reach \$12.3 million; the plan approved by the trustees reduces the operating deficit for current activities next year to \$7.4 million, a reduction of nearly 40%.

The trustees also approved the following additional initiatives and costs, all of which constitute longer-term investments in the university's financial health:

- Authorized the sale of tax-exempt bonds to replace the estimated \$46 million that had earlier been taken from endowment to finance the university's share of the new laboratory building. (Major financial assistance for the construction of the new building is also being provided by the Howard Hughes

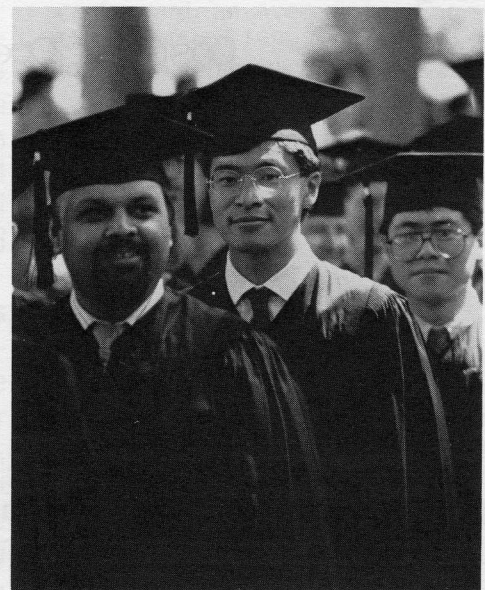
### **1991-92 Budget Summary**

- **Spending of \$111.5 million for Operations**
  - \$105.9 million for current activities, down \$3.8 million
  - \$1.4 million for New Research Initiatives
  - \$4.2 million to amortize proposed debt issue for New Laboratory Facility
- **Operating income projected at \$101.3 million**
  - All income projections careful and cautious
  - External support at \$60.3 million, up 1.8 million, including \$1.0 million for New Research Initiatives
  - Private support up \$1.0 million to \$16.1 million for Current and New Activities
- **Authorization for Operating Deficit of \$10.2 million overall**
  - \$7.4 million to cover Current Activities (down \$4.9 million from \$12.3 million in 1990-91)
  - \$2.8 million to cover New Research Initiatives and net cost of new debt
  - Projected endowment utilization 6.4%, down from 7.5% in 1990-91
- **Spending of \$3.0 million for Capital Improvements**

## RU graduates largest class in a decade

Twenty-six people graduated from the university on Wednesday. Twenty-two graduates received Ph.D. degrees and four received M.D./Ph.D. degrees. Details on the ceremony and the graduates will appear in the July 19 issue of *News & Notes*.

*At right, from left to right, Graduates Sanjay Joag, Fumiaki Katagiri and Jeffrey Ming walk in the procession following the ceremony.*



See **Finances** on page 2

## Finances (continued from page 1)

Medical Institute.) The expenses of the bond issue will be amortized by the investment performance of the endowment fund and in a few years will result in a net gain to the university.

- Approved "seed money" funding of \$1.4 million for new faculty appointments and laboratory start-up costs. Substantial contributions are anticipated to offset these costs. The purpose of this initiative is to expand and

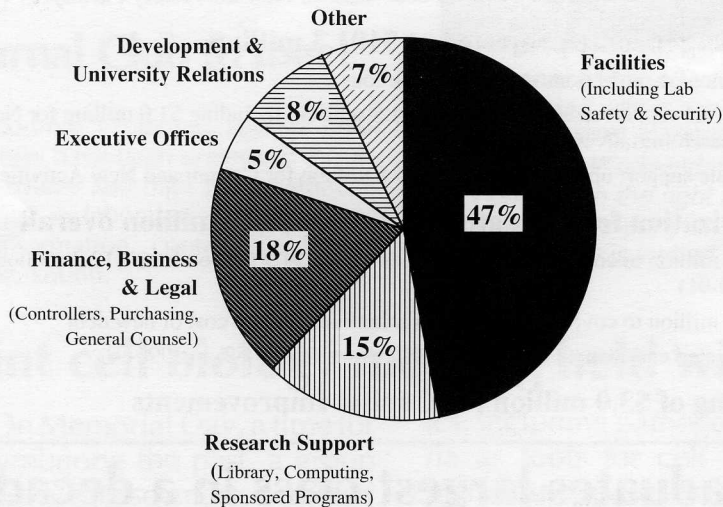
strengthen the university's research capabilities, which will in turn attract support from outside sources.

- Approved the expenditure of \$3 million in capital spending, substantially lower than the \$4.8 million in the current budget. This will finance a containment facility for AIDS research\* (\$1 million), renovations for graduate student housing (\$600,000) and an investment in the university's power plant (\$400,000) that will reduce ex-

***"There will be some real inconvenience, but hopefully no real breakdown of essential services. That is the inescapable cost of more than \$5 million of belt-tightening all across the university."***

**—Fred Bohen**

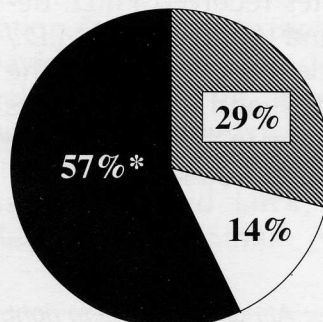
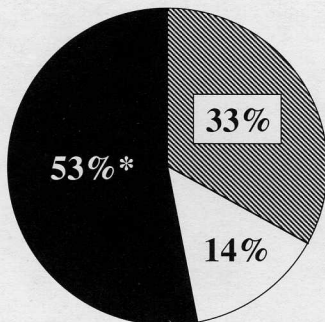
## 1991-1992 Overhead Costs



## Costs of Operations

1990-1991 (109 Mil.)

\*1991-1992 (107.3 Mil.)



■ Research & Education\*    ▨ Overhead Functions    □ Auxiliary Operations

\*Includes spending for New Initiatives for Research in 1991-92, but does not include the direct costs of laboratories, faculty and non-faculty staff financed directly by the Howard Hughes Medical Institute

penditures for electrical energy. Other, smaller projects total \$1 million.

Overall, the budget for current operations and services calls for reduced expenses—\$105.9 million next year as compared with \$109.7 expected this year. Operating income is expected to increase, from \$97.4 million projected for this year to \$98.5 million budgeted for next.

"This is a conservative budget," Dr. David Baltimore, President, said. "We want to be as realistic as we can be, but all budgets are based on a significant number of critical assumptions and estimates. If there are surprises in store for us at the end of the next fiscal year, I want them to be pleasant ones."

Executive Vice President Fred Bohen, who was the chief architect of the budget, working with Vice President for Business and Finance David Lyons, observed that cost reductions have been focused in overhead accounts, where cuts reached 15.8%, and in direct university support of research labs, where the amount provided from university funds will drop from 25% to 23% on average.

(continued next page)



"The budget placed before and approved by the Board reflects literally dozens of decisions not to fill open positions, to reduce discretionary capacity and services, and to live within much more limited means," Bohen said. "There will be some real inconvenience, but hopefully no real breakdown of essential services. That is the inescapable cost of more than \$5 million of belt-tightening all across the university."

"Our major exposure on the revenue side," Bohen said, "is in the area of government reimbursement for the university's support of research—the so-

called indirect cost area. As we all know, this area is under intense scrutiny across the country now, particularly in the major private research universities. We hope that any changes imposed will be negligible in their effect on our operations."

Baltimore added, "We continue to face hard times, along with other American research universities. But I have great confidence that if everyone commits themselves to manage within this tight budget framework, we will have substantially stabilized the university's financial situation and set the stage for a return to financial health."

## RU housing rents up only slightly

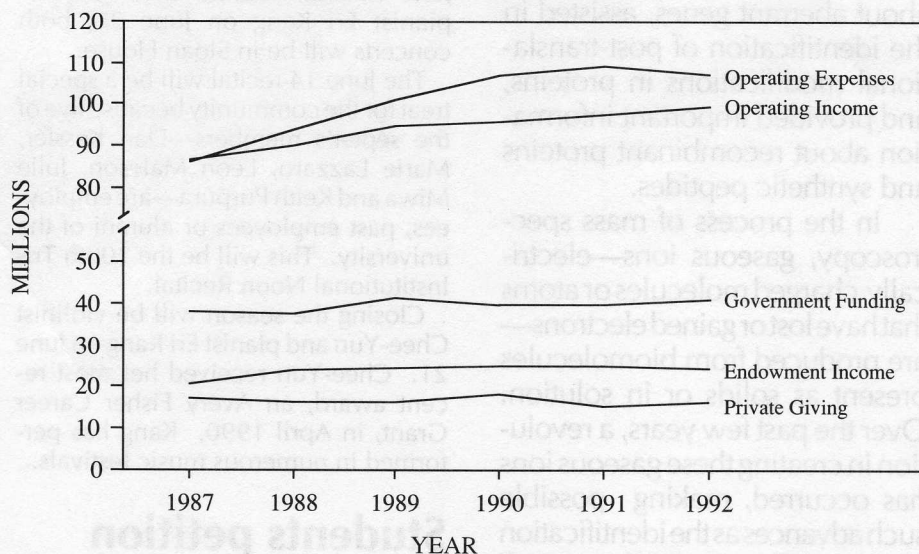
President David Baltimore had good news to announce at the faculty meeting yesterday for those who occupy university-owned and managed apartments:

- Rent increases for Tier III tenants will be only 2 1/2% in the next fiscal year; last year the increase was 5%.
- Tier I and Tier II tenants will see an increase of 8 1/2%, compared with increases of 11 to 12% last year.

While rents in the 648 units of university housing are low in comparison to the New York City rental market, increases in recent years have been a burden, particularly to those at the beginning of their careers, such as the post-doctoral fellows and assistant professors who are the principal occupants of university housing.

Baltimore noted that although for the short term the effort is focused on limiting cost increases, "the critical, complex issue is whether we must plan permanently to subsidize university-owned housing for the longer term, and if so, how to do this with attention to issues of both equity and efficiency."

## Operating Cost and Income Trends



Note: Data reflects actual costs/income through FY 1991, current budget estimate for FY 1992

## After-school program begins in Fall

An after-school program will begin in mid-September for the children of families affiliated with the university. The program, housed in the Children's School, will be recreational and will include arts and crafts, cooking, outdoor play and a variety of other activities. Cost will be based on a sliding scale according to total family income; enrollment will be by semester. For information, contact Barbara Adams, x8580 or Box 50.

## Web of Life explored June 27

The Lunchtime Film Series presents the film *Web of Life* at noon and 1:00 Thursday, June 27. This film considers the human quest to understand and control the genetic basis of life. It explores the ethical questions raised as human dominion over nature confronts an uncertain future.

## Gilbert, Chait appointed professors

Charles Gilbert and Brian Chait have been named Professor.

Gilbert's research focuses on how the brain region known as the cerebral cortex processes visual information. His studies have revealed an unexpected pattern of interconnections linking widely separated but functionally similar brain cells in the visual cortex. A recent outgrowth of this work is the finding that the function of individual cells, and their organization in the cortex, changes as the brain takes in different visual scenes.

Because all regions of the cortex have certain common mechanisms, Gilbert's work not only elucidates the process of vision, but also has direct implications for understanding the function of other cortical regions, as well. Ultimately, insights from his research may explain a wide range of disorders caused by problems in the cortex, from amblyopia (a common vision problem) to Alzheimer's disease and various mental illnesses.

Gilbert received a B.A. in Biophysics from Amherst College and an M.D. and Ph.D. from Harvard. He came to Rockefeller as an As-

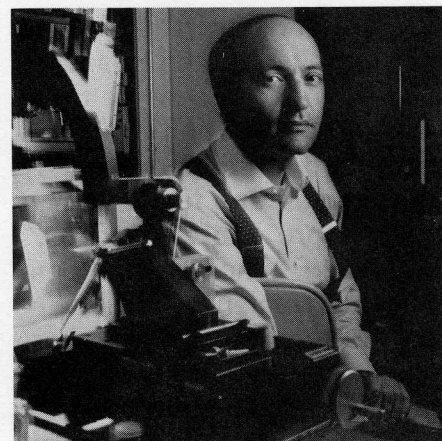
sistant Professor in 1983, and became Associate Professor in 1985.

Chait is director of the Laboratory of Mass Spectrometry and Gaseous Ion Chemistry, which also serves as a National Institutes of Health Biotechnology Research Resource. The mass spectrometric instruments constructed and developed in his laboratory facilitate rapid and accurate identification and characterization of biomolecules such as proteins and DNA, and play a crucial role in many research projects conducted at Rockefeller and elsewhere.

For instance, mass spectrometry has helped identify abnormal proteins that provide information about aberrant genes, assisted in the identification of post-translational modifications in proteins, and provided important information about recombinant proteins and synthetic peptides.

In the process of mass spectroscopy, gaseous ions—electrically charged molecules or atoms that have lost or gained electrons—are produced from biomolecules present as solids or in solution. Over the past few years, a revolution in creating these gaseous ions has occurred, making possible such advances as the identification of many different proteins in small portions of complex biological samples—a technique Chait and his colleagues helped develop.

Chait received B.Sc. degrees in the natural sciences and physics from the University of Cape Town and a D. Phil. in nuclear physics from Oxford University. He came to Rockefeller as a Research Associate in 1979, became Assistant Professor in 1981, and Associate Professor in 1985.



Charles Gilbert

## Two Tri-Institutional Noon Recitals left

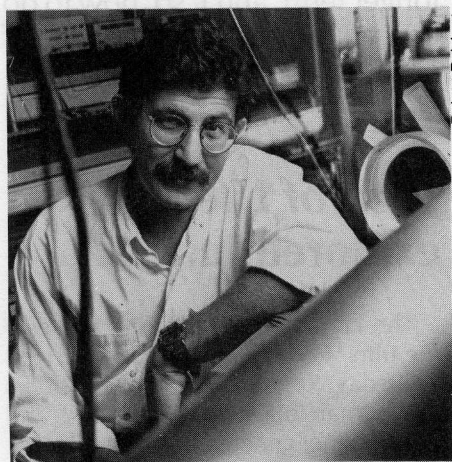
The remaining Noon Recitals will feature the Noonday Jazz Septet on June 14 and violinist Chee-Yun and pianist Eri Kang on June 21; both concerts will be in Sloan House.

The June 14 recital will be a special treat for the community because five of the septet's members—Dan Kessler, Marie Lazzaro, Leon Maleson, Julie Miwa and Keith Purpura—are employees, past employees or alumni of the university. This will be the 100th Tri-Institutional Noon Recital.

Closing the season will be violinist Chee-Yun and pianist Eri Kang on June 21. Chee-Yun received her most recent award, an Avery Fisher Career Grant, in April 1990. Kang has performed in numerous music festivals.

## Students petition NYC over recycling

Rockefeller students are petitioning the City of New York asking for the maintenance and expansion of the city's recycling program. The program is presently in danger of being cut or reduced because of the municipal budget crunch. Petitions have been placed next to the elevators in Tower, Bronx, Smith and Flexner for those interested in registering their dissatisfaction with proposed cuts to the city's recycling program.



Brian Chait



## Baltimore discusses status of *Cell* paper controversy

President David Baltimore met with more than 100 members of the university community on May 30 to discuss the status of the controversy over a scientific paper published in 1986 in the journal *Cell*. One of his co-authors, Dr. Thereza Imanishi-Kari of Tufts University, has been accused of falsifying data in the paper. She denies the charge.

Baltimore read the audience parts of a point-by-point response he has made to recent accusations by the paper's challenger, Dr. Margot O'Toole, among them, that he knew certain information published in a correction to the paper had not been done. O'Toole is a former postdoctoral fellow in Imanishi-Kari's lab.

Originally, Baltimore told the audience, Dr. O'Toole did not accuse him of anything, but challenged the paper's conclusions, saying that her interpretation of the data differed from the authors'. Throughout two campus reviews and an NIH review of her challenge, she maintained that she did not allege misconduct, but thought the authors erred, Baltimore said.

Then, in November, 1988, O'Toole accused Imanishi-Kari of making up data. Two weeks ago, in an article in the journal *Nature*, O'Toole claimed Baltimore knew from the beginning that certain experiments in the paper hadn't been performed, but that he misled investigators.

"I wish to state categorically that I have not throughout the history of this matter made a statement that was known to me to be untrue, or which I even suspected was untrue," Balti-

### Statement from the Board of Trustees

At its regular meeting on June 5, the Board of Trustees reviewed the controversy surrounding the paper of which Dr. David Baltimore was a co-author, published in the April 25, 1986 issue of *Cell* magazine. In the course of this review, the Board was greatly aided by the participation of those trustees who are members of the scientific community.

To ensure that there is no adverse impact on the programs of the university, the Board established a special fund to which trustees and friends of the university will contribute to pay for legal and other expenses related to the *Cell* paper controversy.

The Board also reviewed the first year of Dr. Baltimore's presidency at the university. The Board unanimously expressed its total confidence in Dr. Baltimore, in the programs established under his guidance and in the direction he is giving to the affairs of the university. "The members were very strong in their feeling that David has done an excellent job during the past year," said Chairman Dick Furlaud. He added, "The Board looks forward to the further growth of the university during his presidency and anticipates that its programs will continue to strengthen the long tradition of scientific excellence at the university."

more said. "In addition, I have never heard from Dr. Imanishi-Kari that she did not perform any of the experiments described in the *Cell* paper, or in the various published corrections. The fact that in 1987, I called for a full review of the matter by NIH indicates that in my mind, we had nothing to hide."

Baltimore explained that he called the meeting as a result of O'Toole's latest charges, which "are especially divisive because they relate to the integrity with which I have acted in the past," and because "continuing press coverage of the affair has brought unwelcome attention to the university and heightened the worries about the university's image."

He said that Rep. John Dingell (D-Mich.) told a reporter recently that he does not intend to call Baltimore as a witness at hearings planned this summer to examine how institutions respond to accusations of misconduct.

In the May 15 issue of *Science and Government Report*, Dingell was asked:

*SGR: Do you plan another meeting with Dr. Baltimore?*

*Dingell: No, not unless he solicits it.*

*SGR: Will he be asked to testify at the hearing (into the adequacy of institutional review)?*

*Dingell: I don't think so. I don't see any great benefit in that. I may change that view after we look to see what more remains to be done. But at this moment, there seems to be no significant benefit from that.*

Dingell's statements could signal a diminishing of the intense scrutiny and press attention that have been focused on Baltimore since O'Toole challenged Imanishi-Kari's research.

Baltimore said that his complete statement in response to O'Toole was being published in the journal *Nature* (the edition that reaches subscribers this week) along with statements from two other principals in the dispute, Imanishi-Kari and Dr. Herman Eisen of MIT. Those who do not have access to the journal can obtain a copy of Dr. Baltimore's statement from the President's Office.

## June 14 symposium honors Merrifield

A symposium entitled, "A Half Century of Peptide Chemistry," will honor Professor Bruce Merrifield on his 70th birthday. The event will look back at the past 50 years of peptide chemistry and the influence of Rockefeller University on this field, as well as look ahead at the design and use of peptides and proteins in the future.

Among the distinguished scientists presenting papers at the symposium will be Joseph Fruton of Yale University and Richard Lerner of Scripps Clinic. The symposium, open to everyone, will be held in Caspary Auditorium from 9:00 a.m. to 5:30 p.m. Call x7779 or x8433 for information.

## Journal Club to meet

A Journal Club and several other activities have been organized for undergraduate and high school students working in laboratories this summer. For information, contact the Dean's Office, x8086.



Leif Carlsson

*In honor of her 40 years of service to the university, Lila Magie was presented with a pewter plate engraved with the university seal and signatures of members of the Board of Trustees at a meeting of the Board on Wednesday. At left is Chairman of the Board Richard M. Furlaud; on the right is David Rockefeller. Lila will be honored with a retirement party on June 18 in Tower 17, 3:00-5:00. The university community is invited.*

## Joint cell biology meeting held with Pasteur Institute

On Memorial Day, a time for remembering the past, a group of Rockefeller scientists heralded the start of a new season by forging ties with international colleagues from the Pasteur Institute in France.

The meeting, "Horizons in Cell Biology," took place near Lisieux in Normandy, at the Pasteur Institute's newly remodeled chateau-cum-conference center. Professor Gunter Blobel organized the event in cooperation with Daniel Louvard, one of the Pasteur Institute's eminent researchers. The two-day conference was made possible by a grant from Disque Deane, a former member of Rockefeller's Board of Trustees.

Scientists from the two institutions covered a range of top-

ics, including pathogenic bacteria as tools for cell biologists, membrane proteins and intracellular transport, membrane cytoskeleton interactions, the cell cycle, cell-cell interactions during development and differentiation, and immunodifferentiation. In addition to Blobel and David Baltimore, other Rockefeller scientists in attendance included Alan Aderem, Frederick Cross, Kathryn Crossin, Vincent Fischetti, David Luck, Anant Menon, Sanford Simon, Alexan-

der Tomasz and Michael Young.

The connections made were both institutional and personal, said Baltimore. "Rockefeller University and the Pasteur Institute learned to appreciate each other as scientific institutions, and warm relationships developed between individual scientists, as well," he said.

Plans are not yet finalized, but there is a strong possibility these ties will be strengthened next year, with Rockefeller as host for a second joint meeting.

—by Susan Blum



**News&Notes** is published on Fridays throughout the academic year by the Public Affairs Office of Rockefeller University. Suggestions for articles are welcome and may be sent to Box 68, or call 570-8967. Articles may also be submitted via electronic mail to **newsnotes**. The deadline for each Friday's issue is the preceding Monday at 5:00 p.m. The Rockefeller University is an equal opportunity employer and has an affirmative action program to increase the employment of women and members of protected groups at all job levels. Editor: Robert Brown.