

**THE GEORGE WASHINGTON UNIVERSITY**  
**Washington, DC**

**MINUTES OF THE REGULAR FACULTY SENATE MEETING**  
**HELD ON MAY 6, 2016**  
**AT THE MILKEN INSTITUTE SCHOOL OF PUBLIC HEALTH, ROOM 700A**

Present: President Knapp, Interim Provost Maltzman, Registrar Amundson, and Parliamentarian Charnovitz; Deans Dolling and Goldman; Executive Committee Chair Garriss; Professors Barnhill, Briscoe, Cline, Cordes, Corry, Cottrol, Griffin, Griesshammer, Hawley, Hopkins, Lewis, Markus, McDonnell, McHugh, Newcomer, Parsons, Perry, Rehman, Rice, Roddis, Rohrbeck, Sidawy, Wilmarth, Wirtz, and Zeman.

Absent: Deans Brigety, Eskandarian, Feuer, Jeffries, Livingstone, Morant, and Vinson; Professors Agnew, Brazinsky, Costello, Dickinson, Downes, Galston, Harrington, Jacobson, Katz, Khoury, Marotta-Walters, McAleavey, Packer, Price, Pulcini, Rimal, Sarkar, Shesser, Squires, Swaine, Swiercz, Thompson, Watkins, and Williams.

CALL TO ORDER

The meeting was called to order at 2:16 p.m. President Knapp introduced the new members of the Senate: Hugh Agnew/ESIA, Bill Briscoe/CCAS, Eric Cline/CCAS, Joe Cordes/CCAS, Don Parsons/CCAS, Michael Corry/GSEHD, Ryan Watkins/GSEHD, Bob Cottrol/LAW, Jennifer Griffin/GWSB, Jannet Lewis/SMHS, Anne Markus/GWSPH, and Melissa Perry/GWSPH.

APPROVAL OF THE MINUTES

The minutes of the April 8, 2016, Faculty Senate meeting were approved unanimously without comment.

RESOLUTION: APPRECIATION FOR C. DIANNE MARTIN

Executive Committee Chair Garriss requested and received unanimous consent to introduce a resolution of appreciation for Vice Provost of Faculty Affairs Dianne Martin. He then read the attached resolution. President Knapp requested a vote on the resolution, and the resolution passed unanimously. Vice Provost Martin was presented with a copy of the resolution and a plaque commemorating her service to the Faculty Senate.

REPORT: MIDDLE STATES SELF-STUDY PROCESS (Professor Paul Duff)

Professor Duff spoke about the Middle States self-study process, which began in the fall 2015 and will continue through the spring or summer of 2018. The Middle States Commission on Higher Education (MSCHE) is the voluntary, non-governmental, regional membership association currently serving higher education institutions in Delaware, the District of Columbia, Maryland, New Jersey, New York, Pennsylvania, Puerto Rico, the Virgin Islands, and other geographic areas in which the Commission conducts accrediting activities.

Professor Duff pointed out that, although accreditation is not required of universities, it is obviously in GW's best interest to be accredited. Every ten years, an institution of higher education seeking

accreditation submits a Self-Study to its accrediting agency (in our case MSCHE) for accreditation. Following the creation of the Self-Study, the university in question is visited by a team of faculty and/or administrators from other academic institutions who evaluate the Self-Study and submit a report to the accrediting agency. Based upon the recommendations of the visiting team, the institution is then informed of its accreditation status. It is important to recognize that MSCHE accreditation applies to the university as a whole, regardless of whether individual schools or programs have their own accreditation process.

In the fall of 2015, Professor Duff and Associate Vice Provost Cheryl Beil, co-chairs of the self-study process, attended a MSCHE Self-Study Institute to learn what would be expected in the Self-Study. Following their return, a steering committee and working groups were formed. In the spring of 2016, a Self-Study Design was created (the Self-Study Design functions as an outline for the final report). On May 4, 2016, GW's Middle States liaison visited campus, reviewed the Self-Study Design, and met with various groups across the university. The meetings were very positive, and the steering committee is now making a few minor changes to the Self-Study Design based on the liaison's recommendations.

The next academic year is when most of the work will occur. In the fall of 2016, the working groups will complete the initial drafts of their reports. Professor Duff and Associate Vice Provost Beil will then create a preliminary draft of the Self-Study, and circulate it to the entire university for comment. In the fall of 2017, the Self-Study will be revised and sent to the chair of the visiting team. The chair of the visiting team will make a preliminary visit to campus and submit recommendations to improve the Self-Study. Following that, the Self-Study will be revised and sent to the visiting team prior to their fall 2017 visit to campus. Accreditation will be determined by MSCHE in the following spring (2018).

MSCHE has seven standards against which institutions are measured. The standards were revised recently, and GW is in the second group of institutions to undergo review under the new standards. The standards are listed in the attachment. Professor Duff provided some commentary on the standards:

- An accredited institution must demonstrate that it has an appropriate mission and lives that mission with integrity. MSCHE does not dictate mission or goals for the institution. Under this standard, MSCHE is interested in both the university's mission and its strategic planning.
- An accredited institution must also demonstrate that it delivers an effective student learning experiences and assesses its own educational effectiveness. This is an area where GW was determined to be underperforming a bit during the last accrediting process.
- An accredited institution must show that it uses planning and resources to ensure institutional improvement as characterized by effective governance, leadership, and administration.
- The self-study must verify that the institution is in compliance with accreditation-relevant federal standards. Of particular significance in this area for GW are two areas related to distance learning:
  - GW has to be able to verify that the student who has registered for a course is actually the person taking that course; and
  - GW has to determine what constitutes a credit hour in distance education courses.

The Self-Study steering committee will oversee eight working groups: one for each of the standards and one for the verification of compliance with federal regulations. Each working group is co-chaired by members of the steering committee (available on the attachment). All ten GW schools are represented on the steering committee and/or the working groups. Professor Duff indicated that every effort will

be made to ensure that the transparency of the process and that the entire university community has the opportunity to be involved.

REPORT: CURRENT STATUS AND DIRECTIONS IN THE SCHOOL OF ENGINEERING AND APPLIED SCIENCE (Dean David Dolling)

Dean Dolling noted that GW's engineering school was founded in 1884 and offered degrees in civil engineering and mining. The first graduating class consisted of six students, two of whom were women. The School of Engineering and Applied Science (SEAS) now has six departments. Biomedical Engineering is the newest department; it was created in 2014. SEAS enrolls approximately 900 undergraduate students, 900 on-campus graduate students, and another 800 students are enrolled as off-campus graduate students (largely working professionals). There are 90 tenured or tenure-track faculty, around 10 contract and research faculty, and a number of adjunct faculty as well.

The school's vision began as education, then expanded to include education and discovery. SEAS is now looking toward education, discovery, and entrepreneurial innovation and value creation. Dean Dolling thanked the Senate and university leadership for supporting the construction of the Science and Engineering Hall (SEH), which is an enormous enabler of this vision. Even before its construction, the promise of the SEH allowed SEAS to recruit outstanding faculty and students. The design intent of the building has played out, with people wanting to work together within the building. Research productivity, reputation, expenditures, IDCs have all increased, as has alumni investment in the school. Dean Dolling highlighted examples of faculty whose research capabilities and ability to attract sponsored research have been enhanced by the new building (see presentation).

The building also allowed the school to recruit a distinguished scholar to head up the new Biomedical Engineering department using a newly established endowed professorship. Other strong faculty members are being recruited and drawn to GW by the new building, either as hires or as distinguished visitors presenting seminars on their work who then become ambassadors for GW upon returning to their home institutions.

Dean Dolling presented a quantitative picture of faculty recruitment over the past several years. Over a six- to seven-year period, approximately half of the SEAS faculty retired or resigned and have been replaced with a very dynamic group of nearly 50 new faculty members. Dean Dolling noted that SEAS needs to recruit more women faculty. Women currently make up 22% of the SEAS faculty. This is 50% above the national average for engineering schools but is still too low.

Recent faculty recruitments have rejuvenated SEAS departments, leading to increased and enhanced undergraduate research, research expenditures, and innovative teaching. Dean Dolling's presentation (attached to these minutes) includes data on research growth, enrollment and diversity at the undergraduate and graduate levels, retention, and school resources.

Dean Dolling reported three new programs have been developed in the past year: a Doctor of Engineering in Engineering Management, an MS degree in regulatory Biomedical Engineering, and a Master's in Engineering and Cyber Security and Compliance. He provided some details about each program:

- Engineering management is designed for experienced individuals who have been working from 5-10 years in a professional setting. They want to learn more about advanced engineering tools

and use those tools to address a pressing problem in their discipline or organization. Almost 100 working professionals are currently enrolled in this new program.

- The degree in regulatory biomedical engineering addresses an unmet demand for biomedical engineers who understand not just the technical side of biomedical engineering but also the regulatory side (e.g., FDA processes). The teaching faculty for this program are drawn from other GW schools as well as from the FDA and other governmental regulatory offices.
- The cyber security and compliance degree combines computer science aspects of cyber security with an understanding of risk, governance, law, and policy. This program will attract students with IT experience moving up into management and requiring a broader understanding of the field.

Dean Dolling's presentation included an eight-year fundraising history for SEAS. Fundraising has increased five-fold over the past several years. SEAS' goal as part of the GW campaign is about \$50million; approximately \$19million remains to be raised toward this goal over the next few years.

Finally, Dean Dolling spoke to challenges facing SEAS:

- Completing a new strategic plan for the next five years, including a focus on how to create an innovative entrepreneurial environment for faculty and students;
- Maintaining, improving, and growing the strength, the quality, and the productivity that has been achieved thus far;
- Recruiting, educating, and placing the best possible students;
- Building the support infrastructure, particularly on the research and laboratory sides; and
- Increasing revenue streams to support a research-intensive school.

Professor Wirtz asked how the SEAS faculty, at its current levels, can sustain large numbers of new doctoral students, who traditionally require an enormous amount of faculty investment. Dean Dolling responded that these new doctoral students are working professionals with more experience, often holding senior positions in industry and government. They therefore require less supervision and mentoring than doctoral students coming directly from bachelor's or master's programs. The off-campus PhD program students are required to publish in archival outlets prior to graduation, providing a marker of quality. Dean Dolling agreed with Professor Wirtz that mentoring is a sizable burden on the faculty but that it is working well.

Professor Parsons asked if the Dean had reflected on why the fundraising for the Science & Engineering Hall was a failure, noting that \$70million of a needed \$250million was raised through fundraising. Dean Dolling disagreed strongly with characterization of fundraising as a failure, noting that the goal was to raise funds for the building and to support faculty and student activities within the building. President Knapp noted that three sources of funding were identified for the building: the revenue stream from the Avenue projects, the indirect cost recoveries from research occurring within the building, and fundraising. President Knapp noted that it was always understood that there was a tradeoff among the three sources; if one were more successful, less would be required of the others. He further noted that donors' preferences were to support scholarships and faculty over construction. Fundraising efforts for both capital and programs continue beyond the completion of the building. Dean Dolling also noted that funds raised for professorships allows the recruitment of very strong researchers, which leads to higher indirect cost recoveries within the school.

Professor Roddis noted that the slide reporting SEAS research expenditures did not appear to be complete. Dean Dolling noted that the slides compare Q3 expenditures for each of those years, as that was the statistic that could be reported for the current year. Professor Roddis recalled that SEAS research expenditures in FY2009 were around \$12million. Dean Dolling noted that this number included not only the National Crash Analysis Center (NCAC) but also an apprentice program run by the U.S. Army, which funneled about \$3million per year through GW. These funds from the Army were included in the research expenditure numbers despite not being research dollars; none of those funds remained within SEAS to support research. Professor Roddis noted her understanding that the third-quarter reporting made sense and clarified that the subtraction of the NCAC and Army program funds and the third-quarter prorate on the slide would indicate a different year-end expenditures number. Dean Dolling noted that he expected SEAS would reach \$14million in research expenditures by the end of the current fiscal year.

Professor Barnhill asked whether indirect cost recovery (of over \$2million) all goes back to support the capital cost. Dean Dolling replied that indirect cost recoveries are returned to the dean's office, the individual faculty member generating the funds, and to the faculty member's department. Provost Maltzman clarified that 75% of the indirect cost recovery goes to those three sources. The remaining 25% goes to the central administration for facility expenses, construction capital costs, and debt service.

REPORT: UNIVERSITY DEBT MANAGEMENT STRATEGY (Executive Vice President & Treasurer Lou Katz)

Mr. Katz (using the attached presentation) explained that the university's debt strategy is to invest capital in projects that will enhance the overall value of the GW education and experience for students and/or generate positive cash flows in order to fund current and future projects. The Science and Engineering Hall is an excellent example of this, as is the new GWSPH building. The purpose of debt incurred by GW is investment in the quality of the institution and includes academic buildings and residence halls. The strategy is also to ensure the majority of the debt has a specific revenue source so that pressure is not placed on the tuition side of the institution.

The external debt portfolio is managed with several key objectives. There is an overall weighted average cost of capital, and all of the debt is fixed at approximately 4.25%. The average maturity of GW's current portfolio of outstanding debt (about \$1.5 billion) is 16 years. 100% of GW's debt is in the form of taxable bonds, as the taxable market is much more efficient than the tax-exempt market and gives GW flexibility in how it invests in various projects at the university. Additionally, GW has 100% fixed-rate debt, which protects the university from market fluctuations and ensures the overall liquidity at the institution. This is important in times of financial downturn, such as the 2008-2010 period. Student financial aid need increased, and GW was able to step up and grant more aid without being caught in an illiquid situation, as happened to many other institutions.

GW's overall debt more than doubled from FY 2003-2015, from \$700 million to \$1.5 billion. The source of funds paying for the debt includes alternative revenue sources, with 25% coming from tuition revenue and the balance from other revenue streams, including investment properties. The approximately 25% of debt funded by tuition revenue in FY15 is essentially the same percentage as in FY03. The SEH was funded in majority part by the revenue from lease payments from the Avenue; the Board approved the revenue from that property for the SEH. The university was also able to take advantage of a drop in interest rates to borrow more money with no change to the financials. The result was that 90% of the cost of the SEH project (the capital cost, not the operating cost) was paid for by this one, extremely secure, investment property.

Over the 2003-2015 period, the university also invested in several residence halls, including District Hall (still underway), Shenkman Hall, South Hall, West Hall, and Lafayette Hall. Duques was also built during this timeframe. Investments were also made in academic facilities, including Ross Hall.

Generally, GW's strategy is to have specific revenue sources directed toward debt with as little burden as possible on the tuition budget. Concerns about using tuition revenue include uncertainty about how much growth can reasonably be expected in tuition revenue. However, the use of tuition revenue for these purposes has remained very steady during this period.

Another important point is that while the debt has increased substantially during this period, the value of the land and buildings has increased almost \$1 billion more than the amount of the debt. This is a very effective way to invest in GW with little risk to the institution.

Additionally, GW's debt is viewed very positively by the bond market as witnessed by credit ratings but also what the spreads are compared to treasuries. When GW's debt is priced on the same day with other universities, it is priced equivalent to AA institutions. GW is a single-A institution and has sizable institutional investors in its debt, who then effectively trade the debt in the secondary market. Mr. Katz showed a slide illustrating how the market prices GW's debt alongside that of other, similar institutions.

There have been questions about how much risk GW incurs because of the maturities in its debt. Virtually all of GW's debt is interest-only, with no required amortization of the principal of the bonds. GW does internally amortize all of the debt that is related to capital projects. If investments in the campus were slowed down, the amount of outstanding debt would drop as the university accumulates larger cash balances. Staying consistent with regard to campus investment would yield a debt level at or slightly higher than current levels.

Currently, GW is projecting a slow down in capital projects over the next five years. Mr. Katz shared a five-year plan showing the amount of debt coming due in the next five years. The first maturity of debt comes due in September 2017 (FY 2018), for \$168 million at 1.827% interest rate. GW does have cash in hand to pay off this debt, but has not paid it yet due to the extremely low interest rate. The next maturity comes due in FY 2019, a \$200 million bond at a 6% interest rate. Mr. Katz indicated that there is a good chance that GW will advance refund, or extend the maturity of, that debt. Interest rates are significantly lower today than the 6% rate for that debt when it was issued in 2009. Advance refunding this debt would lower the cost of capital and extend maturities. The university does, however, try to ladder its maturities so that all the debt doesn't come due at the same time.

Mr. Katz concluded by stating that he believes this is a very secure debt strategy. It is made up entirely of fixed-rate debt. In 2003, 80% of debt was variable-rate. Well before the 2008 crisis, however, the university starting moving toward 100% fixed-rate debt for stability in uncertain financial times. Currently, 100% of the debt is fixed rate and at very low rates. The majority of the debt, he reiterated, is paid by revenue sources other than tuition.

Professor Wilmarth noted that a previous report from Professor Cordes indicated that the university operated on a negative cash flow basis during each of the past two fiscal years. He assumed that part of this negative cash flow was due to the significant increase in debt service costs, and he asked whether GW would continue to operate with negative net cash flows. Mr. Katz responded that the reason the cash flow from operations was negative was not due to the debt strategy, but rather was due to lower enrollments that were not matched by reduced expenses. While debt service was included in this

assessment, the majority of debt service is from other revenue sources that do not have to do with the operating budget. The real culprit was graduate enrollments, which are fortunately looking better this coming year. Mr. Katz noted that he believes the university will operate with a positive cash flow of \$25 million. Projections from five years ago would have put that number at \$50 million, so things are tighter, but not in the negative. Solid enrollment will require increased financial aid, so net tuition margins will continue to shrink, and this assumption is part of the fiscal planning process.

President Knapp noted for the benefit of the new senators that the issue last year was the tuition shortfall, primarily in graduate programs; that has now been fixed. However, the university is now continuing to make reductions in the central administration for two reasons. One is the concern over the growing need for financial support for undergraduates, which reduces the net tuition revenue available to pay for the central administration. The second is GW's deliberate steps to, in effect, decentralize its revenue control by giving the deans more control over revenues for graduate, off-campus, and online programs. These two issues are being addressed through continued reductions for the central administration.

Professor Parsons asked about the investment required by the university to secure the annual revenue from Square 54 and whether it was as simple as taking down the old hospital and realizing a sizable annual return for development. Mr. Katz responded that for each project on each piece of land the university would determine whether it is best used to increase the amount of cash flow into the institution (to support the academic mission) or to use it for facilities space, such as building the SEH.

He continued that the Avenue has a lot of value. The endowment of that piece of land is over \$300million, just off of a land lease. The value of the improvements is significantly higher. The cash flow from that (more than \$9 million annually as it increases each year) financed \$225 million worth of debt. GW was realizing the cash flow from the Avenue project before spending it to build SEH. A great deal of value came from that development, which is why GW is not selling the space outright. In sixty years, the deal will expire, and GW can decide whether they want to use the space differently. Currently, the priority is to reap the value from the properties that have the highest value and invest those funds in the university.

Professor Griesshammer asked whether a discussion could occur regarding how the cuts in central administration and the outsourcing of responsibility to the schools is proceeding. President Knapp noted that the Executive Committee would be the body to decide whether this discussion is added to an upcoming meeting agenda.

Professor Griesshammer noted that the university is projecting less than the current interest rate for the 30-year debt market in the future. He expressed concern that the university is underestimating its debt costs given the likelihood that interest rates will rise, and he asked what the university's plan is when this occurs. Mr. Katz responded first by noting that the interest rate will not change on any of the debt outstanding today. Should interest rates increase, and should the revenues of the institution not increase, the university will have to slow down its capital projects in favor of paying off debt. While interest rates are low – and fixed – the university may take on longer maturities.

Professor Griesshammer also asked about the 7% increase in indirect cost recoveries (IDC) and whether Mr. Katz's model assumes a corresponding 7% IDC increase. Mr. Katz responded that GW does not expect the direct cost of research will increase by 7%. However, the kind of research GW is increasingly doing (R01 research) has a much higher IDC, and the IDC rate is growing at a faster rate than the direct costs. This increase in R01 research in proportion to other types of research on campus

is due in large part to better facilities and correspondingly stronger hires. Research will not be the nirvana that ultimately supports the whole institution, but it is an important part of building the academic quality of the institution.

President Knapp noted that when he arrived at GW almost nine years ago, GW was a bit of an outlier in the breakdown of its research. It was funded more by foundations and other private sources and not as much by federal support, which means very little indirect costs were recovered. This mix has changed dramatically due to the work of the deans and faculty in building federally-sponsored research.

Dean Goldman opened her comments with a welcome to the public health building. The building has been wonderful for the school in that it has brought departments together, catalyzing research at both the lab and epidemiological levels. She then noted that the overall strategy, not only in terms of recruiting faculty but also students and bringing in the parents of the students who see a facility at least as nice as the high school their children attended. GWSPH looks forward to occupying the seventh floor of SEH and bringing a lot of research funding in through those collaborations.

Professor Roddis read from the Moody's report posted on GW's finance page, noting that the report shows wariness about the amount of money GW is spending to service its debt. Mr. Katz noted that the full Moody's and S&P reports on GW are available online and show that GW's ratings are constant and stable. The reports discuss the percentage of GW's debt covered by other revenue sources; GW is indeed blessed with an abnormal amount of investment property revenue, and the rating agencies understand this mix and how GW is leveraging it. In addition, the investors are comfortable with GW's credit quality and like the structure of GW's debt (e.g., 30-year bullets).

President Knapp noted that GW often compares itself to its so-called aspirational peers, e.g., Duke, Northwestern, University of Pennsylvania, Emory. These are universities with endowments many times the size of GW's, making the comparison uneven. If GW had to fund everything it is doing out of tuition revenues or research funding, it couldn't attain its current levels. The university has to take advantage of the opportunities it has as a somewhat peculiar institution in an unusual location. The investment properties are what make the difference and put GW in a universe in which it could not otherwise compete.

Professor Cordes noted that had philanthropy come in as anticipated, revenues from Square 54 might have been available to deal with other issues at the institution over the past couple of years. He further noted that while the ratings agencies' reports are good, they contain consistent warnings. GW is dealing with some operational issues by reducing central administrative expenses, but it seems clear that the university has stretched itself a bit. The question now is whether GW can grow out of this overstretching.

President Knapp responded that the Board would not have allowed GW to use revenue from the Avenue project (or from any investment properties) to fund operating losses in the schools. At best, those funds could have been kept locked up in the endowment. With a tuition shortfall, the requirement was that the university live within its operational means, and the university has been doing exactly that through expense reductions. There is, however, no fungibility with regard to revenues from investment properties and operating budgets.

Mr. Katz reiterated that endowment resources couldn't be used for operating deficits and that the lowering of interest rates permitted an increased amount of financing for the SEH project. If the university did not need the kind of facilities it has been building, then this strategy would clearly be



incorrect. However, he noted that there is more risk to the institution if GW does not show value to its students and cannot recruit faculty who can bring in research. He recalled what Dean Dolling noted about the construction of SEH leading to the recruitment of better faculty. If the financial world keeps getting tighter, GW will indeed have to reduce the cost structure of the institution and put less funding into capital projects.

Professor Wirtz inquired about the process that leads to decisions regarding the allocation of funds to health care, financial aid, capital projects, etc., noting that he is not clear about the dialogue that leads to these allocations and the extent to which the faculty is actively involved in that dialogue. Mr. Katz noted that, in the case of benefits, two processes ran parallel last year: the Benefits Advisory Committee, which has extensive faculty representation, and town hall meetings taking place around the benefits process. Financial aid is driven largely by the enrollment process itself, as it is a function of the number of students admitted to GW with financial need. President Knapp noted that the Board of Trustees makes the compensation increase decision each year, and the administration then determines what the mix is between benefits and salary. The Board's decision is advised by recommendations from the administration based on the overall university budget, which includes assumptions about tuition, but the final decision on a compensation increase rests with the Board.

Professor Barnhill asked whether it would be possible to see a marginal return analysis relative to the large investment made in building and operating the SEH. He also inquired about the sources of the continuing flow of investment required to keep a building like SEH operating as intended. President Knapp noted that a presentation on the university's 20-year capital plan would be helpful, as this plan shows everything that GW could conceivably undertake on a capital basis should revenues be available to support those plans.

Mr. Katz noted that ROIs can be calculated on everything at the university but that this is not how mission-based organizations are typically run. Doing ROIs on the SEH would put forward the question of whether ROIs should be run on every school and program and whether decisions about those programs' futures should be made on the basis of ROIs. President Knapp noted that new GWSB and ESIA buildings draw students not only to those schools but to the university in general, which makes a straight-up ROI difficult to model. Professor Barnhill noted that he did not wish to say that ROI should be the only consideration, but it should be a piece of information that's available to look at, especially when looking at very large investments that could go in a number of different directions.

## INTRODUCTION OF RESOLUTIONS

Professor Griesshammer introduced a resolution in response to states with anti-LGBT legislation. President Knapp noted that the resolution would be referred to the Executive Committee for assignment. He further noted that GW has a strong policy against discrimination on the basis of gender.

## GENERAL BUSINESS

- I. Introduction of new nominations for election of faculty members to Senate Standing Committees:

Committee Rosters (attached) were presented and approved for Appointment, Salary, and Promotion Policies, Educational Policy, Honors and Academic Convocations, Professional

Ethics and Academic Freedom, Research, and University and Urban Affairs. The remaining committee rosters will be approved at the September Senate meeting.

II. Approval of the 2016-2016 Faculty Senate calendar

The 2016-2017 Faculty Senate meeting calendar (including meetings of the Faculty Senate Executive Committee) was unanimously approved.

III. Reports of Senate Standing Committees

Annual reports were distributed for Appointment, Salary, & Promotion Policies (Professor Robert Harrington, Chair), Educational Policy (Professor Philip Wirtz, Chair), and University & Urban Affairs (Professor Kathy Newcomer, Chair).

IV. Report of the Executive Committee: Professor C.A. Garris, Chair

Please see the attached report of the Executive Committee presented by Professor Garris.

V. Provost's Remarks

Provost Maltzman acknowledged three senior departures in the Provost division: Dianne Martin, Shelly Heller, and Karen Felton. Dianne was acknowledged earlier in the meeting. Shelly is not leaving the GW faculty but will step down as Associate Provost of the beautiful Mount Vernon Campus, which is beautiful, in large part, thanks to Shelly's efforts. Karen Felton is stepping down as Dean of Admissions at the end of this cycle. She has been a crucial partner, and Provost Maltzman noted that he owes her a great deal of debt and gratitude for the efforts she has made in this role. Karen will be the director of college admissions at Georgetown Day School.

Four key searches are underway in the Provost division. One is for the Dean of Admissions, led by Professor Jason Zara. The search for the Vice Provost of Diversity, Equity, and Community Engagement is being led by Professor Vanessa Perry. The search for the director of the Counseling Center is led by Professor Carol Sigelman. Finally, the search for the Director of Retention is being led by Professor Randi Christensen.

Finally, Provost Maltzman commented on the admissions season. On the undergraduate side, things are still a little bit in play, as some students continue to work through financial aid packages. Overall, though, things look very promising. Consistent with the strategic plan as well as GW's test optional strategy, the university is anticipating a fairly large increase in the diversity of its student body. There is also an expected increase in international students, consistent with the goals of the strategic plan.

Graduate enrollment also appears to be on a good track. This is centered in the schools, which take the lead on recruitment and enrollment. Numerous faculty in all of the schools are involved in helping recruit students and review files. It takes a great deal of effort but is crucial for GW. Provost Maltzman thanked everyone for their efforts in this area.

VI. Chair's Remarks

President Knapp noted that the recovery being seen in graduate enrollment is extremely important and comes down to the efforts within the schools.

He noted that commencement will be held on Sunday, 15 May. Commencement will again be held on the National Mall, and approximately 25,000 people will be in attendance. The commencement speaker is Senator Cory Booker of New Jersey.

President Knapp also encouraged everyone to drop by the Corcoran prior to 15 May to view the projects for graduating seniors as well as for graduate students. The hoped-for integration of the Corcoran with engineering, science, and medicine seems to be happening, and this is reflected in the projects. Some of them are making use of engagements between Corcoran students and faculty and staff on the Foggy Bottom campus.

Finally, President Knapp joined the Senate in thanking Dianne Martin for her extraordinary service to GW.

#### BRIEF STATEMENTS

Professor Griesshammer asked whether the administration was aware of any Board decision that, either directly or indirectly, would effectively limit the number of tenured lines per school. Provost Maltzman responded that this year, for the second year now, the Board does approve the request for tenure line searches. They are approving an overall number, however, not specific departmental searches. President Knapp clarified that the Board asks to see a plan for tenured and tenure track positions across the university as a whole and within the schools. They feel this is a fiduciary responsibility because a tenured position is a long-term financial commitment. The logic behind this is that if they are going to make decisions about whether GW can invest in buildings, programs, or deans, for example, the Board should also make decisions in an aggregate way about tenured and tenure-track searches. It is a plan, however, and not approval position by position.

#### ADJOURNMENT

The meeting was adjourned at 4:41.p.m.

# **A Resolution of Appreciation for C. Dianne Martin**

- WHEREAS,** C. Dianne Martin has served with great distinction on the Faculty of The George Washington University since 1983 and will retire from service on August 31, 2016; and
- WHEREAS,** as a computer science professor, Chair of the Computer Science Department, director of the Cyber Security Policy and Research Institute, Associate Vice President for Graduate Studies and Academic Affairs, and Vice Provost for Faculty Affairs, Dianne Martin has displayed extraordinary wisdom, perseverance, kindness, good humor, and leadership in all of these important offices; and
- WHEREAS,** Dianne Martin, through her special knowledge of computer science systems, was instrumental in moving the University's information systems into the 21<sup>st</sup> century; and
- WHEREAS,** As Vice Provost for Faculty Affairs, Dianne Martin has collaborated closely with the committees of the Faculty Senate in revising the Faculty Handbook and formulating and improving a wide array of University policies, all of which have had a very positive impact on the University; and,
- WHEREAS,** Dianne Martin's many contributions in promoting the benefits of effective shared governance between the Faculty and the Administration which, while also engendering a spirit of good will and cooperation, will serve as an enduring model of exemplary University administration at GW; and,
- WHEREAS,** Dianne Martin has earned the highest level of respect, gratitude, and admiration among the Faculty and the entire University community;

## **NOW, THEREFORE, BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY**

1. That the Faculty Senate hereby acknowledges and expresses its deep appreciation and gratitude to C. Dianne Martin for her devoted and highly effective service to the Faculty and the University; and
2. That this Resolution of Appreciation be appropriately inscribed and conveyed to C. Dianne Martin, with a copy to be included in the official minutes of the May 6, 2016 meeting of the Faculty Senate.

GW's Accreditation Process for the  
Middle States Commission on  
Higher Education  
2015-2018

# The Middle States Commission on Higher Education (MSCHE)

“The Middle States Commission on Higher Education is a *voluntary, non-governmental*, regional membership association currently serving higher education institutions in Delaware, the District of Columbia, Maryland, New Jersey, New York, Pennsylvania, Puerto Rico, the Virgin Islands, and other geographic areas in which the Commission conducts accrediting activities” ([www.msche.org](http://www.msche.org); my emphases)

# Middle States Accreditation

- On a 10 year cycle, every accredited institution of higher education in MSCHE's jurisdiction:
  - creates a self-study;
  - is visited by a team of academics and administrators from other institutions who have read the self-study; and
  - is informed of its accreditation status by MSCHE (based upon the recommendation of the visiting team).
- Five years following MSCHE's decision, the institution provides a progress report.

## NOTA BENE:

MSCHE accreditation applies across the university, regardless of whether individual schools or programs have their own accreditation process.



# Brief Timeline (up to now)

- Fall 2015 - MSCHE Self-Study Institute (attended by co-chairs, Cheryl Beil and Paul Duff);
- Spring 2016 – Formation of steering committee and working groups; Self-Study Design document created; visit of MSCHE liaison;

# Brief Timeline (future)

- Fall 2016 – Working groups begin their analyses;
- Spring 2017 – Working groups complete initial drafts of their reports; co-chairs create a preliminary self-study draft;
- Summer 2017- Self-study draft is circulated for comments;
- Fall 2017 – Self-study draft is revised and sent to the chair of the visiting team; chair of visiting team makes a preliminary visit; final revision of self-study; final version sent to visiting team;
- Spring 2018 – Visiting team comes to campus;
- June 2018 – MSCHE determines accreditation action.

# MSCHE Standards

- 7 standards
- Standards are new (vs. 14 standards)
- GW is in the second group to be evaluated according to the new standards

# Standards

- Standard 1: Mission and Goals;
- Standard 2: Ethics and Integrity;
- Standard 3: Design and Delivery of Student Learning Experience;
- Standard 4: Support of Student Learning Experience;
- Standard 5: Educational Effectiveness Assessment;
- Standard 6: Planning, Resources, and Institutional Improvement;
- Standard 7: Governance, Leadership, and Administration

# Translation:

An accredited institution of higher education must demonstrate that it:

- has an appropriate mission (standard 1);
- lives its mission with integrity (standard 2);
- delivers an effective student learning experience (standard 3);
- supports the overall student experience (standard 4).

- assesses its own educational effectiveness (standard 5),
- uses planning and resources to ensure institutional improvement (standard 6), and
- is characterized by effective governance, leadership, and administration (standard 7)

institution is in compliance with accreditation-  
relevant federal regulations with accreditation-  
relevant federal regulations.

# Organization of GW's Self-Study

A steering committee oversees eight working groups:  
A steering committee oversees eight working groups:

- One working group for each standard plus one for verification of compliance with federal regulations
- Each working group is co-chaired by members of the steering committee



Standard 1: Jeffrey Brand (CCAS) & Liesl (GWSB)

Standard 2: Steve Riddel (GWSB)

Standard 2: Steve Charnovitz

Standard 3: Lalie DeKloof (MESP) & Gene Van Haren (Library)

Bhagi Chacko

(ESIA)

Narahari (SEAS)

Standard 5: Elizabeth Chacko (CCAS) & Mike Mochizuki

Standard 6: Joe (ESIA)

(CCAS) & Rene O'Neal (Office of Provost)

# Why Am I Here?

1. Transparency: we want to the university community to be aware of the process;  
community to be aware of the process;
2. Buy-in: we would like broad participation in the process.

## **Self-Study Steering Committee**

- Elizabeth Amundson, Registrar and Associate Provost
- Charles Barber, Deputy General Counsel
- Cheryl Beil, Associate Provost for Academic Planning and Assessment (Co-Chair)
- Sarah Baldassaro, Associate Vice-President, External Relations
- Jeffrey Brand, Associate Dean for Graduate Studies, CCAS; Associate Professor of Philosophy
- Elizabeth Chacko, Associate Dean for Undergraduate Studies, CCAS; Professor of Geography
- Steve Charnovitz, Associate Professor of Law
- Joseph Cordes, Associate Director, TSPPPA; Professor of Economics, Public Policy and Public Administration
- Julie DeLoia, Associate Dean, MISPH Professor of Exercise and Nutrition Science
- Paul Duff, Professor of Religion (Co-Chair)
- Geneva Henry, University Librarian and Vice-Provost
- Pamela Jeffries, Dean, SON
- Laurie Kohler, Vice Provost, Enrollment Management
- Raymond Lucas, Associate Dean for Faculty Affairs and Professional Development; Associate Professor of Emergency Medicine
- Mike Mochizuki, Associate Professor of Political Science and International Affairs
- Terry Murphy, Deputy Provost
- Bhagi Narahari, Associate Dean of Undergraduate Affairs and Programs, SEAS; Professor of Engineering and Applied Science and of Engineering Management and Systems Engineering
- Rene Stewart O'Neil, Vice-Provost of Budget and Finance, Office of the Provost
- Barbara Porter, Chief of Staff, President's Office
- Liesl Riddle, Associate Professor of International Business
- Paul Wahlbeck, Vice-Dean for Programs and Research (CCAS); Professor of Political Science
- One or more student representatives, TBD
- A member of the Board of Trustees, TBD

## **Middle States Working Groups**

### **Standard 1: Mission and Goals**

Jeffrey Brand  
Liesl Riddel  
(Cheryl Beil, ex-officio committee member)

### **Standard 2: Ethics and Integrity**

Steve Charnovitz  
Raymond Lucas  
(Paul Duff, ex-officio committee member)

### **Standard 3: Student Learning Experience**

Julie Deloia  
Geneva Henry  
(Cheryl Beil, ex-officio committee member)

### **Standard 4: Support of Student Experience**

Laurie Kohler  
Bhagi Narahari  
(Paul Duff, ex-officio committee member)

### **Standard 5: Educational Effectiveness Assessment**

Elizabeth Chacko  
Mike Moshizuki  
(Cheryl Beil and Paul Duff, ex-officio committee members)

### **Standard 6: Planning, Resources, and Institutional Improvement**

Joe Cordes  
Rene O'Neal  
(Cheryl Beil, ex-officio committee member)

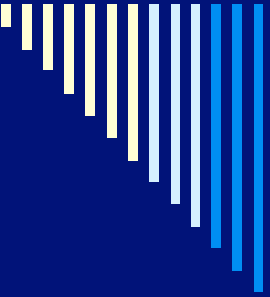
### **Standard 7: Governance, Leadership, and Administration**

Charles Barber  
Paul Wahlbeck  
(Paul Duff, ex-officio committee member)

### **Requirements of Affiliation:**

Beth Amundson  
Pamela Jeffries  
(Cheryl Beil, ex-officio committee member)

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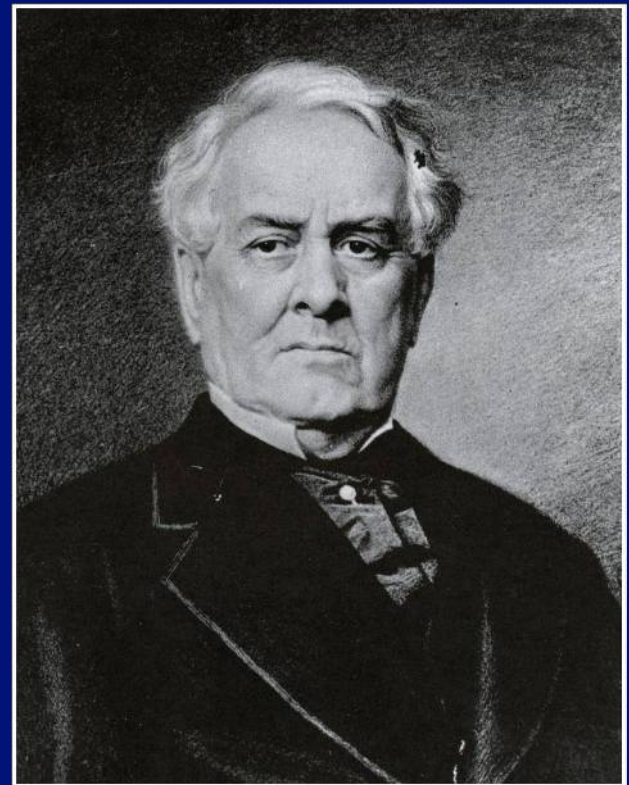
# Presentation to Faculty Senate

May 6<sup>th</sup> 2016  
David S Dolling  
Dean, SEAS

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## A little history....(1880s)

- founded by William Corcoran...a retired banker, philanthropist, chair of BoT
- without prior consultation he announced he would found a “*polytechnic School, somewhat on the model of the Boston Inst. of Tech.*”





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## SEAS...Early Days

- Engineering at GW started on Oct. 01, 1884
- One year of study was \$90
- Civil and mining degrees only
- First graduating class of 6 (in 1888) had 2 women\*

\* more later

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# Fast forward to 2016...six departments

- Biomedical\*
- Civil and Environmental
- Computer Science
- Electrical and Computer
- Engineering Management and Systems
- Mechanical and Aerospace

\* Created fall 2014

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## By the numbers....headcount

- Undergraduate.....889
  - On-campus graduate.....917
  - Off-campus graduate.....822
- Total... 2628**
- Tenure track/tenured faculty....90
  - Contract/research faculty.....10



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## Our vision (dating from 2008)

- *“world class center for innovative and collaborative engineering research and learning in the heart of the nation’s capital\*”*

\* aligning with inexorable global trends to be a “third generation” school

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# Key Enabler of the Vision





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## SEH enabled us to....

- Recruit great faculty/students (years before SEH was finished)
  - Give them world-class infrastructure in which to teach, to learn and do research
  - Create an environment that energizes those immersed in it and draws out the best in them
-



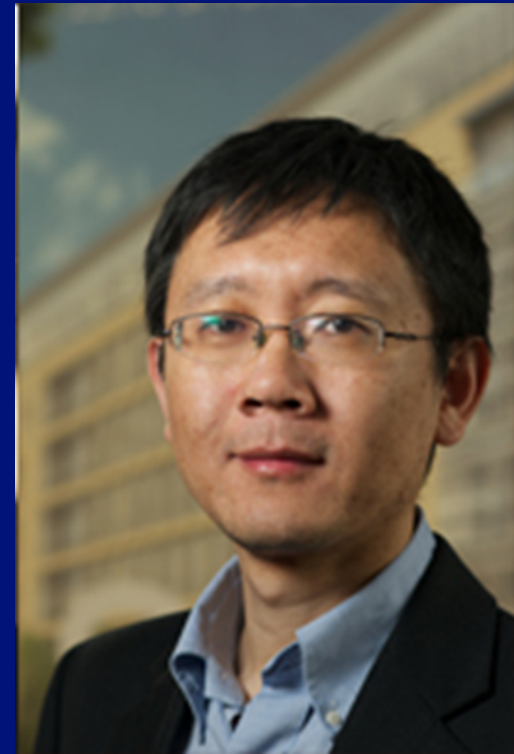
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## SEH enabled us to....

- Drive up research productivity, reputation, expenditures and IDC
  - Increase alumni investment in SEAS
-

# Zhenyu Li (BME department)

- PhD Caltech
- Joined SEAS fall 2011
- Nano-photonics and Microfluidics
- Optical sensing and imaging devices for medical diagnostics
- Enabled.....\$2.1 million four-year NIH U01 grant



# Zoe Szjanfarber, EMSE dept

- Ph.D (Engineering Systems), MIT
- Joined SEAS Fall 2012
- fundamental dynamics of innovation in technology-intensive governmental organizations, as a basis for decision-making
- Enabled...4-year, \$999k INSPIRE grant (NSF)





# Volker Sorger, ECE dept

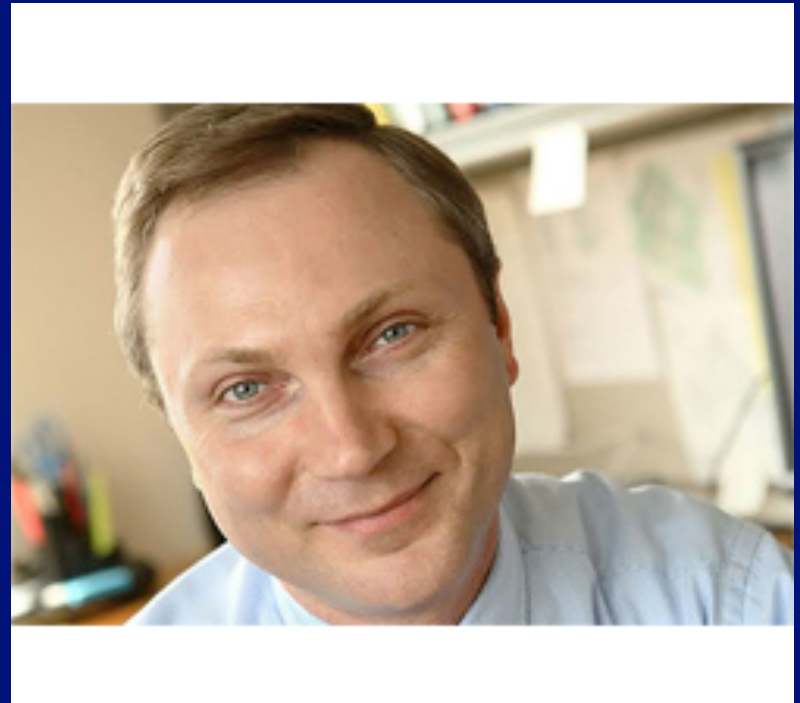
- PhD Berkeley
- Joined SEAS, Fall 2011
- novel opto-electronics devices and energy-conversion solutions, primarily at nanoscale dimensions.
- Enabled.....AFOSR Young Investigator Award plus \$750k NSF Award





# Enabled... (inaugural) chair of new BME department

- Igor Efimov: a leader in cardiovascular disease research
- came to GW from Wash U in St. Louis
- began in January 2014.



His recruitment also enabled by the  
Terry and Alisann Collins  
Professorship (Installation Mar 31  
2015.....in SEH)



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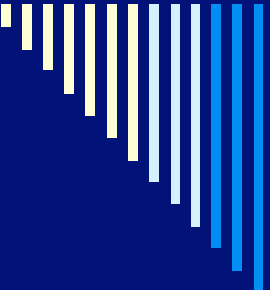


# Enabled....new chair of ECE Department



- Ahmed Louri
  - Aug, 2015
  - C o m p u t e r  
Architecture
  - IEEE Fellow
  - Bringing close to  
\$2M in funding
-

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## His recruitment enabled by David and Marilyn Karlgaard Professorship



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## Enabled...recruit in BME a star/ pioneer in optogenetics



- Formerly Professor of Biomedical Engineering, Physiology & Biophysics, and Cardiology at Stonybrook
  - Joined SEAS in spring 2016
  - expertise in optogenetics, molecular, cellular and tissue engineering and cellular imaging
-

# Professorship in Computer Science

- New and open
- To be held by newly recruited chair of department of computer science







**THE GEORGE  
WASHINGTON  
UNIVERSITY**

WASHINGTON, DC

**School of Engineering &  
Applied Science**  
Mechanical & Aerospace  
Engineering

Science and Engineering Hall

800 22<sup>nd</sup> Street, NW  
Washington, DC 20052

The Department of Mechanical and Aerospace Engineering  
presents the

*2016 Distinguished Lecture*

by

**Prof. Zdenek Bazant**  
**Northwestern University**

May 4, 2016

SEH Lehman Auditorium B1270

2:00 pm

**Reception Immediately Following**



Please join us for a talk entitled  
*“To frac or not to frac?—How  
mechanics of quasibrittle  
hydraulic fracture can sway the  
answer,”* by a leader in the areas  
of solid and structural  
mechanics, Dr. Zdenek Bazant

Among his many honors, Dr. Bazant is a  
member of NAE, NAS, AAAS, Royal Soc. of  
London, and is a recipient of ASME  
Timoshenko, Nadai and Warner Medals, and  
ASCE von Karman, Newmark, Biot, Mindlin  
and Croes Medals



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# Achieving the vision hinges on....quality/productivity of

- Faculty
- Students
- Infrastructure

...supported by BoT, University  
leadership, NAC, faculty, engaged  
alumni and many other stakeholders

...it requires an orchestra!

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# Faculty Recruitment (tenure-track)

- 2008.....8
  - 2009.....6
  - 2010.....9
  - 2011.....10
  - 2012..... 5
  - 2013.....5
  - 2014.....1
  - 2015.....5 (2 in spring 2016)
  - Fall 08 – Spring 16.....**49 new faces**
-



# Challenges.... recruit more women faculty

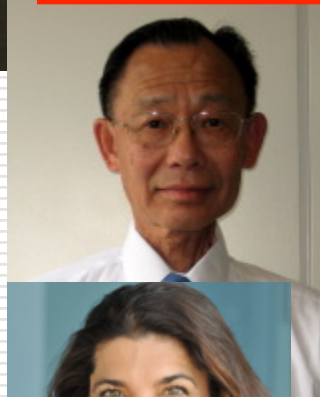
Department	Total Faculty	Women Faculty
Biomedical	8	2
Civil/Environmental	11	3
Computer Science	15	6
Electrical/Computer	19	1
EMSE	14	3
Mechanical/Aero	19	4
Total faculty	86	19 (22%)
Comment: National average around 14%		



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## Faculty recruitment has “transformed” MAE department

- 15 of the current 20 faculty were hired over last 7 years, with diversity: 4 women, 3 Hispanic
-





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# MAE Department

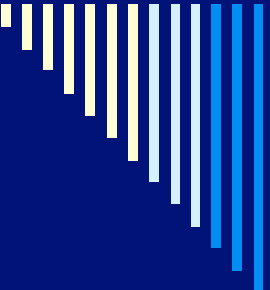
- Now one of the “top two” most popular undergraduate majors (incoming classes of 60+ freshmen, double 7 years ago)
  - Faculty recognition: 7 professional society fellows, several multiple fellows
  - Many students involved in undergraduate research
  - Among largest research expenditures in SEAS
-



---

## Faculty recruitment has “rejuvenated” the EMSE department

- 6 Assistant Professors hired in last 5 years from MIT, UVA, Carnegie Mellon, UMASS
  - They have won approximately \$4.5 Million in sponsored research
  - Among them are two SEAS Junior Teaching Award winners
-



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# Faculty recruitment has “rejuvenated” the EMSE department

- Created and growing a strong undergraduate systems engineering program
  - 20 majors in 2010 to 120 today
  - High demand from IBM, Deloitte and others for our graduates
-



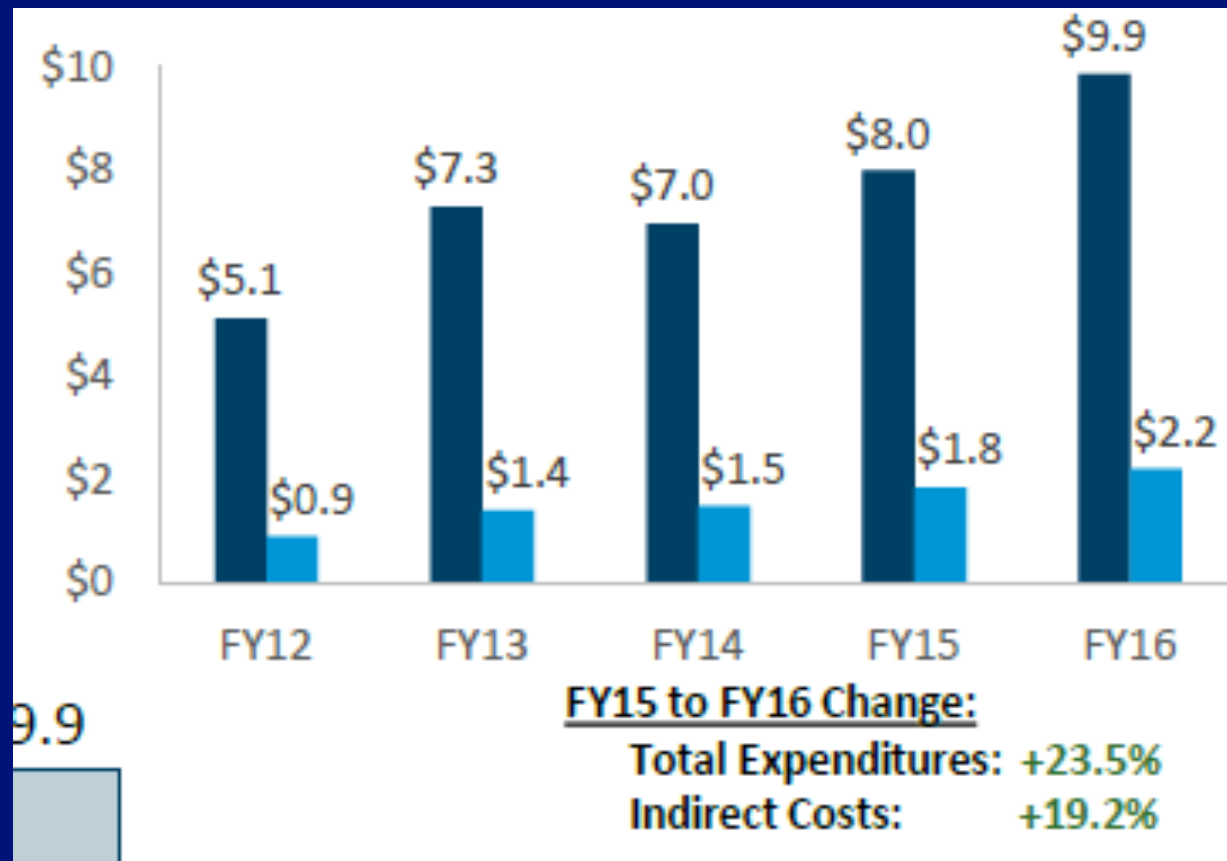
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## Impact on research growth

- FY15 res. expenditures (\$10.9M) up 18% over FY14
  - FY15 IDC (\$2.6M) up 27% over FY14
  - Remarkable growth rate
-



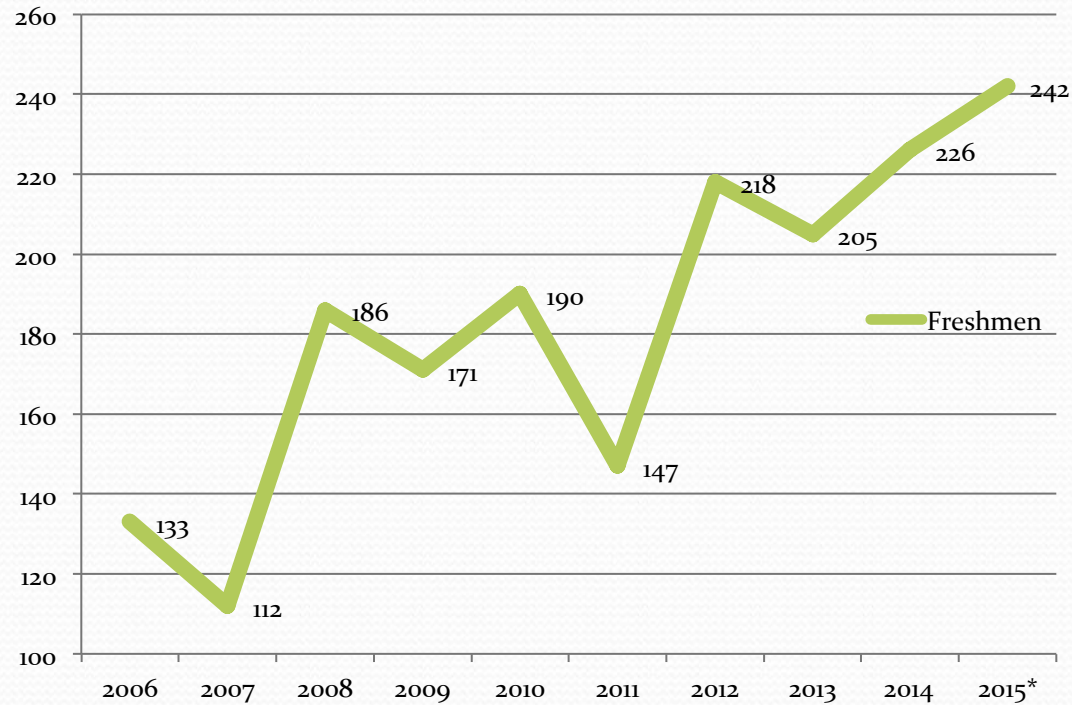
# This year? Third quarter of FY16



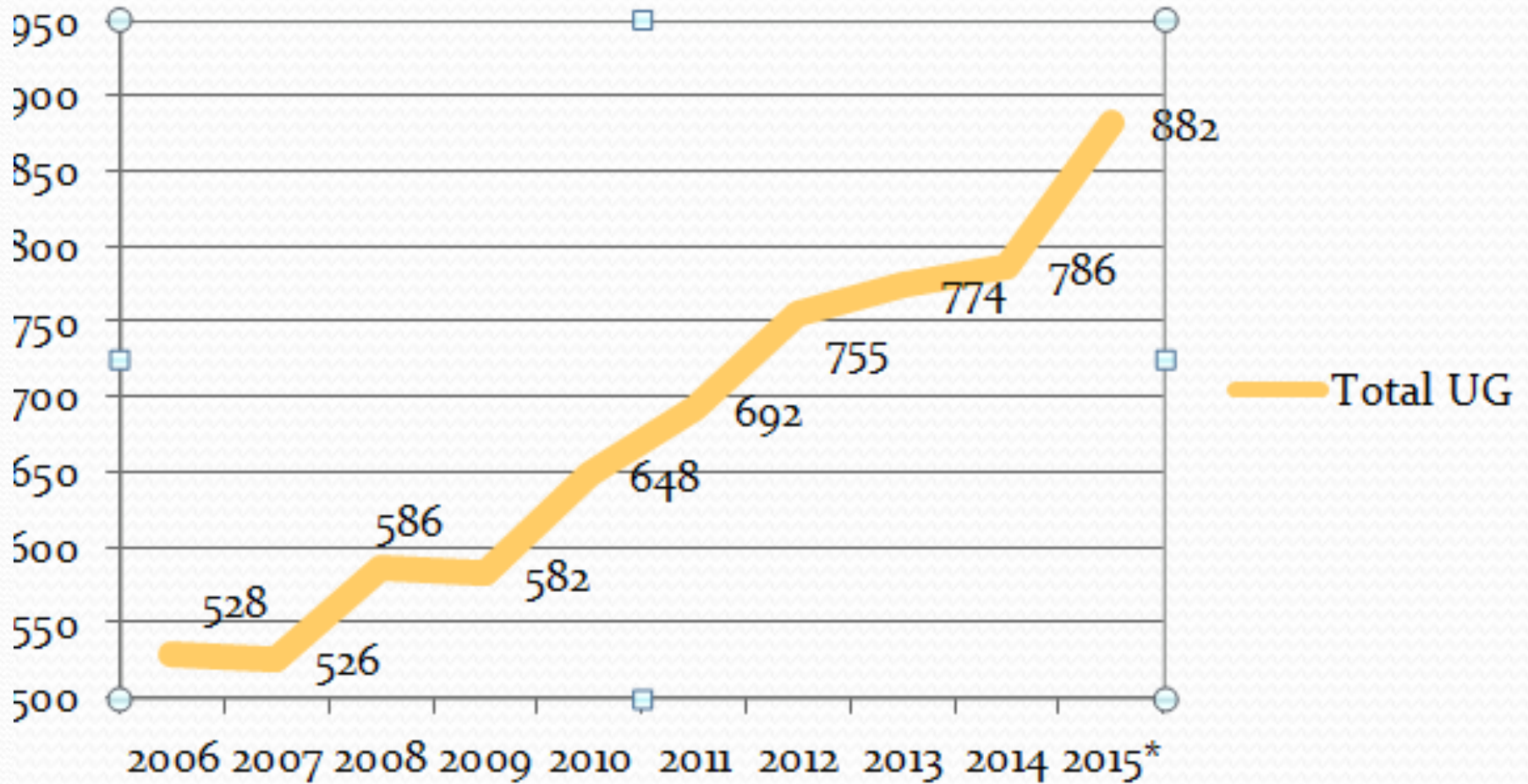
# Undergraduate Programs: Enrollment Trends

## Where are we?

### Freshmen



# Total UG



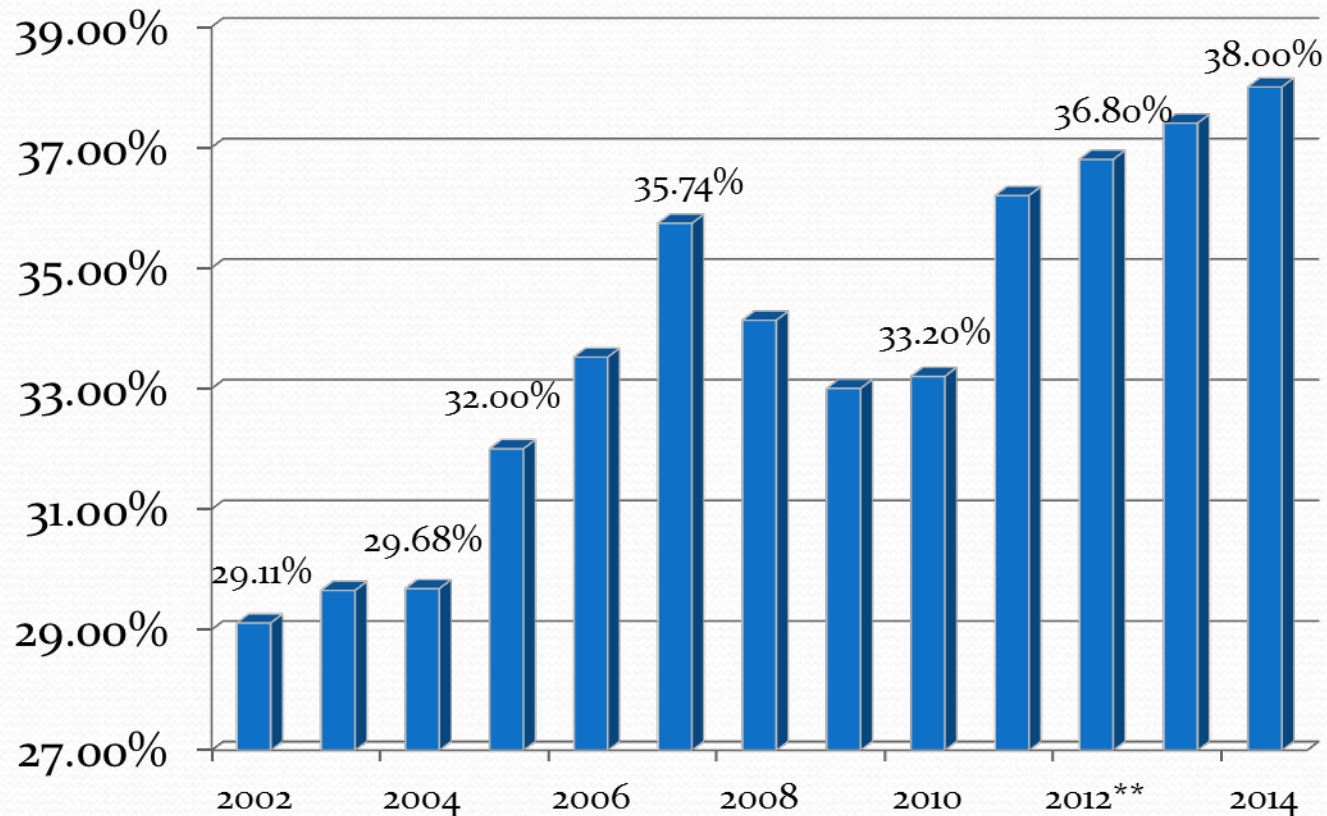


# Undergraduate Diversity...Fall 2015

Group	Percentage of class
White	60.7
Black	5.2
Asian	12.8
Hispanic	5.0
Two or more races	4.2
Unknown	4.5
International	7.2



## Undergraduate Programs: Trend, % Women in SEAS



\*\* 41.4% female graduates

# 2014 comparison....national and SEAS (% women)

	% in SEAS	% Nationally
Undergrad	38	21
Masters	26	23
Doctoral	26	25

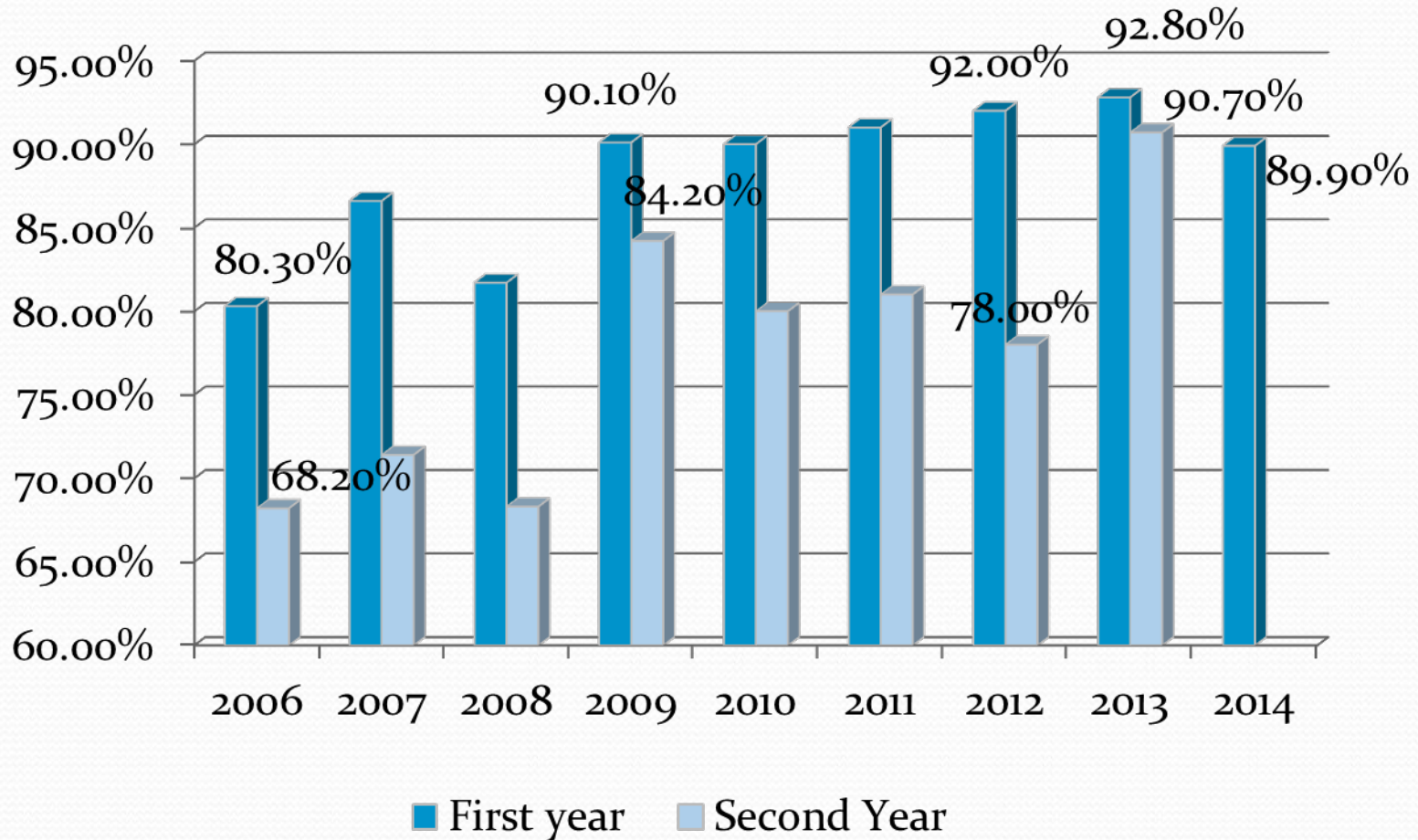
## Undergraduate Programs: Headcount by Declared Major

	2010	2011	2012	2013	2014	2015*
BME	140	163	165	151	177	200
CEE	106	106	129	95	85	84
CS	101	109	118	120	144	156
CompE	27	22	27	18	23	29
EE	43	51	48	43	43	48
MAE	128	137	158	154	175	204
Systems	21	46	57	98	99	119
Undeclared	82	58	53	61	33	42

\* 2015 Includes Freshman Projections  
based on CI advising



# Undergraduate Programs: Retention



\*2013 Second-Year and 2014 First-Year data subject to change after official census in October



## Undergraduate Programs: Retention & Engagement

- Freshmen mentoring programs
  - SEAS Student Peer Advisory Network
    - New student getaway
- SEAS Free Tutoring programs
  - In-class Undergraduate Teaching Fellows (STEM Acad funding)
  - Study halls/review sessions for each major
- Undergraduate research
  - Continue to increase UG research activity
  - Find ways to increase funding

# Undergraduate Programs: Research, 2014-2015

- Over 50 students involved in research with faculty
- SUPER: Summer Undergraduate Program in Engineering Research:
  - Funded 20 students
    - Sponsors: Siemens, Provost's Office, Dean





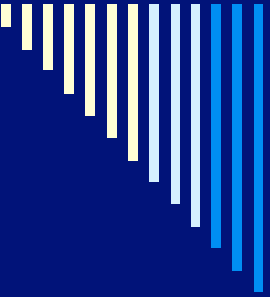
## On campus Doctoral Students....grown with research volume

Year	Number of students
2011	221
2012	241
2013	268
2014	276
2015	273



# On-campus MS enrollment

Year	Number of students
2011	624
2012	712
2013	732
2014	593
2015	641



# Graduate Applications

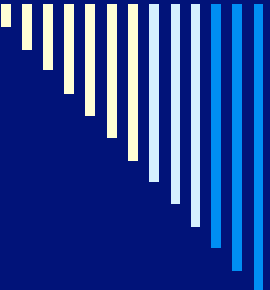
Year	Number of applications
2011	1604
2012	1944
2013	1869
2014	1803
2015	1894
2016	2238





# Graduate Diversity...Fall 2015

Group	Percentage of class
White	18.8
Black	2.2
Asian	4.4
Hispanic	2.4
Two or more races	4.2
Unknown	4.5
International	70.0



## Revenue Sources under new budget model (excludes research income, \$13-14M)

- UG + SIA.....35%
- On Campus Graduate....31%
- Off Campus Graduate....29%
- Summer.....2%
- Fees.....0.5%
- Disc. Endowment.....0.8%
- IDC (at 15%).....1%

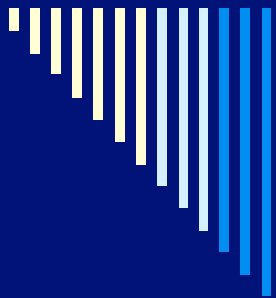


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## Where can we grow and develop new revenue sources?

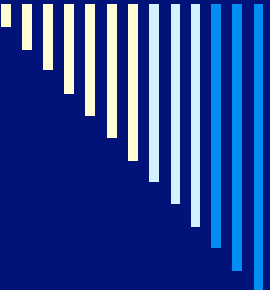
- Off-campus programs for working professionals and some new on-campus programs
-





## New programs

- Doc Eng in Engineering Management (initiated August 2015)
- New M Eng (rBME) (spring 2016)
- M Eng in Cybersecurity Policy and Compliance (August 2016)



---

# Doc Eng in Engineering Management (August 2015)

1. For individuals who are interested in solving real world problems of an applied nature.
  2. Post masters degree; 10 three-credit courses plus a 15 credit praxis directed at the solution of a real world problem solved using advanced techniques from the engineering disciplines.
-



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## rBME degree (Spring 2016)

- There is an especially strong unmet need for biomedical engineering professionals trained in regulatory science to advance medical device and imaging diagnostics and therapy.
-



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# rBME degree (spring 2016)

- ❑ Consistent with the University Strategic Plan “Vision 2021”, this is an interdisciplinary program
  - ❑ Cross-school collaboration housed within the BME Department
  - ❑ Teaching faculty are drawn from various disciplines in SEAS, the SMHS, the Milken Institute School of Public Health, and Law School.
  - ❑ In addition, include instructors from FDA, NIH and other government regulatory and compliance offices.
-



---

# M.Eng. -Cybersecurity Policy & Compliance (August 2016)

- Combines technology aspects of cybersecurity with policy aspects
    - Technology, risk, governance, law
    - Interdisciplinary approach
    - Leverage SEAS/GW strengths in technical and policy aspects
  - Attract students with IT experience who wish to move to a career revolving around Cybersecurity
-



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# Two-Component Curriculum

- Four Technology Courses

Cybersecurity & Privacy: Intro, Security in Mobile Computing, Security and Cloud Computing, Network and Network Security:

- Six Policy/Compliance focused courses

Info Security in Government, Information Policy, Management of Info and Systems Security, Managing protection of Info Assets and Systems, Internet and On-line Law for Security managers, Cybersecurity Risk Management and Compliance

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# Fundraising Update....a reflection of alumni/supporter confidence

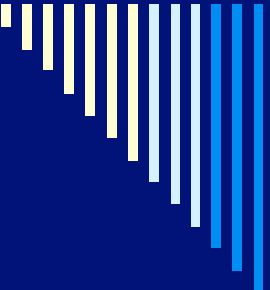




# SEAS...8-year history

- FY08.....\$1.3M
  - FY09.....\$1.4M
  - FY10.....\$1.2M
  - FY11.....\$11.8M (Clark Gift, \$8M)
  - FY12.....\$3.8M
  - FY13.....\$4.7M
  - FY14.....\$5.1M
  - FY15.....\$5.1M
  - TOTAL.....**\$34.4 million**
-





## Three-year rolling averages ... not including Clark Gift

- FY' s 08 - 10.....\$1.3M
- FY' s 09 - 11.....\$2.1M
- FY' s 10 - 12.....\$2.9M
- FY' s 11 - 13.....\$4.1M
- FY' s 12 -14 .....\$4.5M
- FY' s 13 -15.....\$4.9M



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# GW Campaign

- SEAS goal is approx \$50 million
  - about \$19 million to go
  - Challenge
    - .....FY16 \$5M
    - .....FY17 \$6M
    - .....FY18 \$8M (60% higher than best year so far)
-



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## Challenge....A New Strategic Plan

- we been operating under an old plan called “SEAS 2020”, which was finalized in spring 2008
  - Currently developing a new one for next 3-5 years
-



# Some key challenges?

- ❑ Maintaining/improving/growing the strength, quality and productivity of our faculty
  - ❑ Recruiting, educating and placing the best possible students
  - ❑ Building the support infrastructure and revenue streams necessary to support a thriving research-intensive school
  - ❑ Creating an innovative/entrepreneurial environment for students and faculty
-

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# Thank you

# SEAS....

- **Innovation**
  - **Collaboration**
  - **Integrity**
-

## **THE THIRD ANNUAL GW DEBT REPORT (UPDATE: April 2016)**

*This is an extended version of a report submitted to the GW Faculty Senate Fiscal Planning and Budgeting Committee on 4/22/2016, and includes some material on issues raised at that time beyond the debt question itself. The original, more limited version is available upon request. All data used in this study are derived from GW's Financial Report, various years.*

### **SOME DEBT FACTS**

#### **Debt as of 6/30/2015**

**\$1,549,844 (thousands)** (One billion five hundred and fifty million dollars)

#### **Previous Year Debt as of 6/30/2014**

**\$1,361,030 (thousands)** (One billion three hundred and sixty one million dollars)

***Growth in Debt in FY2015: \$189 million or 14 percent***

#### **More Recent Addition (post 6/30/2015)**

***Additional Debt floated after 6/30/2015***

\$350,000 (thousands) (Three hundred and fifty million dollars)

*Reports from rating agencies indicate that these funds will be used in part to replace bonds soon to end, 2017. As a result, it is not possible to project impact on this fiscal year's debt.*

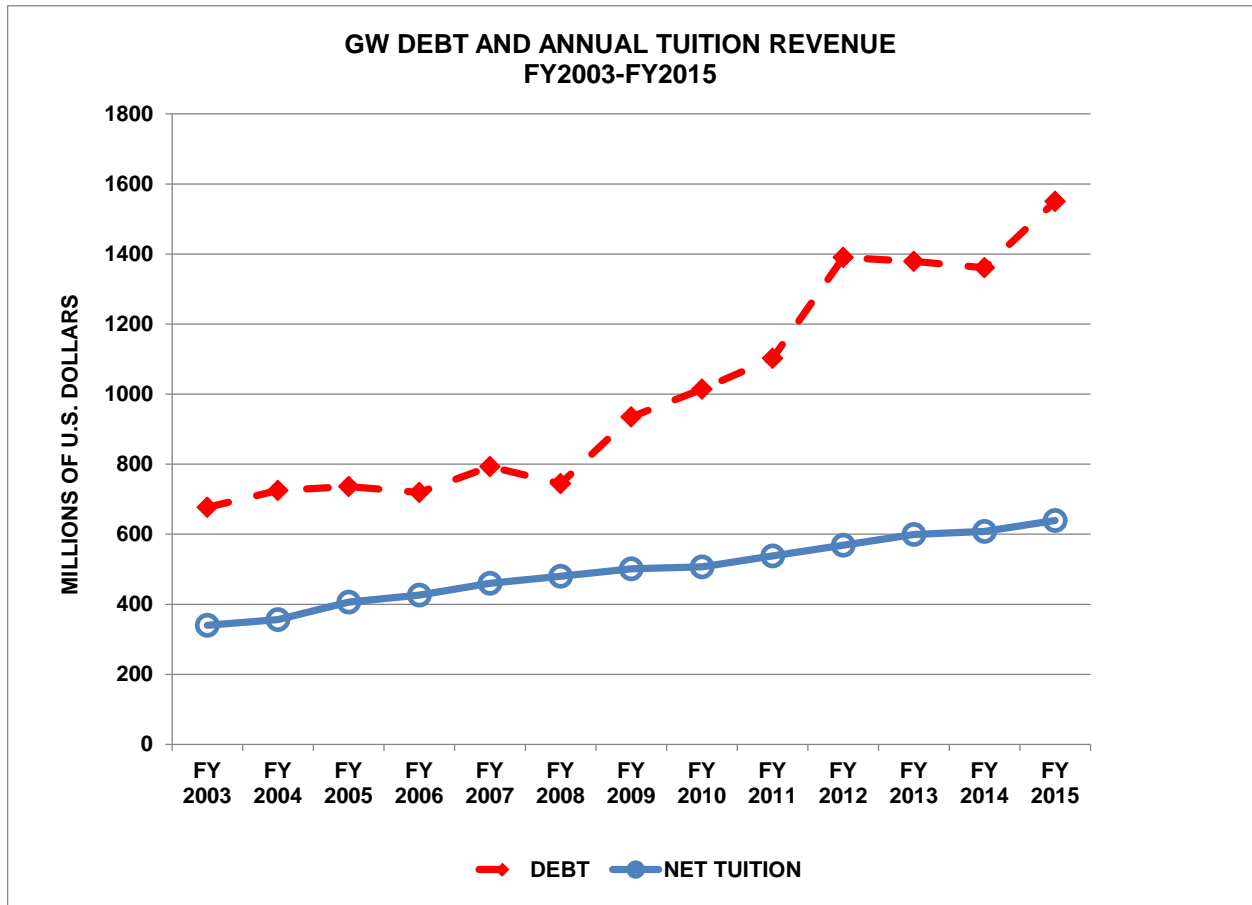
#### **No Apparent Repayment Plan**

- Budget expense item is essentially "interest only repayment"
- No current expectation of paying off the debt
- No reserve or sinking fund to retire debt.
- *Cash holdings are up slightly. See Appendix 1*

*Apparently the financial burden of the current building boom in the absence of donor funding is to borne by GW students in perpetuity. The budget stress of the alternative of amortizing construction expenditures over the useful life of the buildings is illustrated in an example at the end of this report.*

## Historical Perspective: The Debt Bubble

*Debt relative to net tuition*

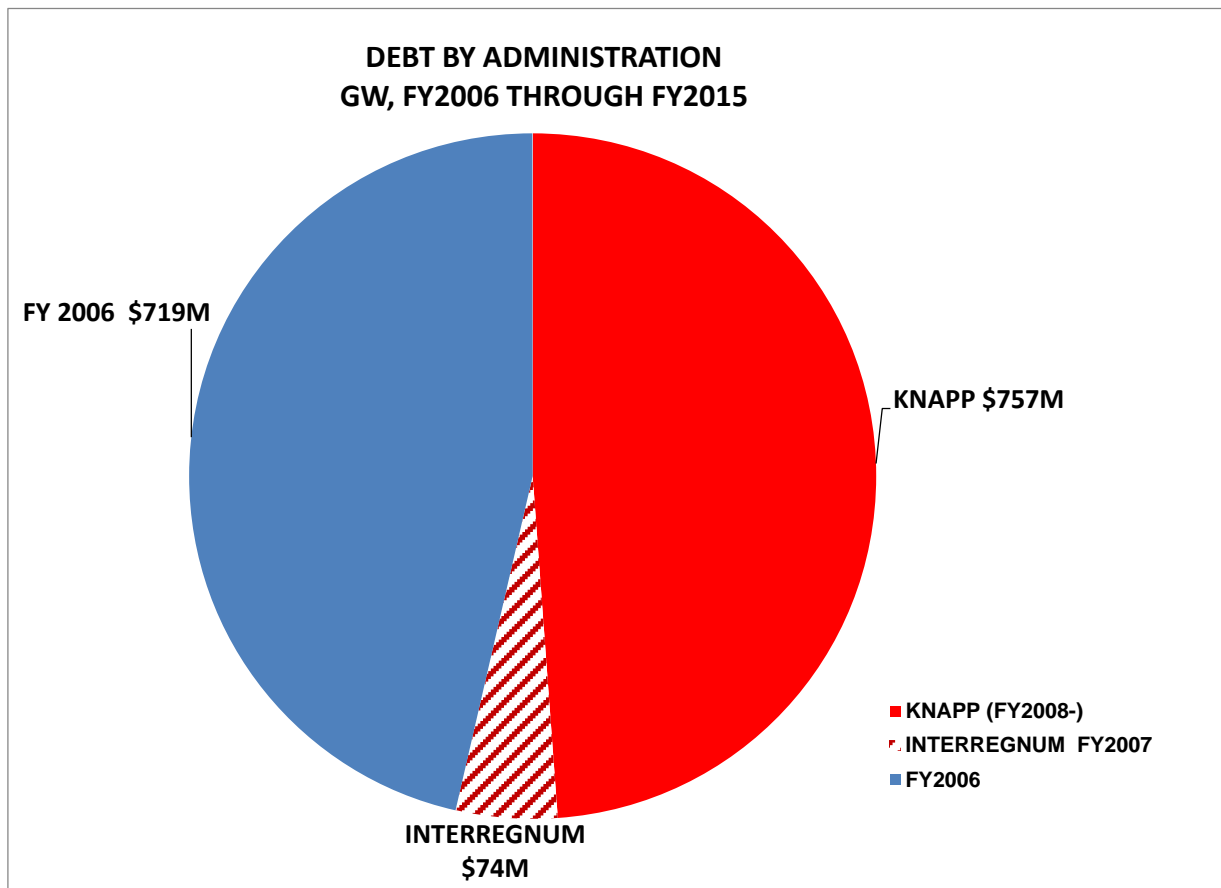


Net tuition revenue has increased steadily since FY2003, but the debt has mushroomed in the Knapp era (FY 2008 and beyond).

The magnitude of the debt incurred by the current Administration and BoT is illustrated in the following figure which partitions GW total debt growth by administration. Three periods are highlighted:

- (i) debt at the end of FY2006,
- (ii) the debt growth in FY2007 which I label the Interregnum period, and
- (iii) the Knapp years, FY 2008 and beyond.

Although FY2007 is formally a “Trachtenberg” year, Trachtenberg was sent off on a world tour and other missions as his administration came to a close and the University appears to have been administered directly by the Board of Trustees.





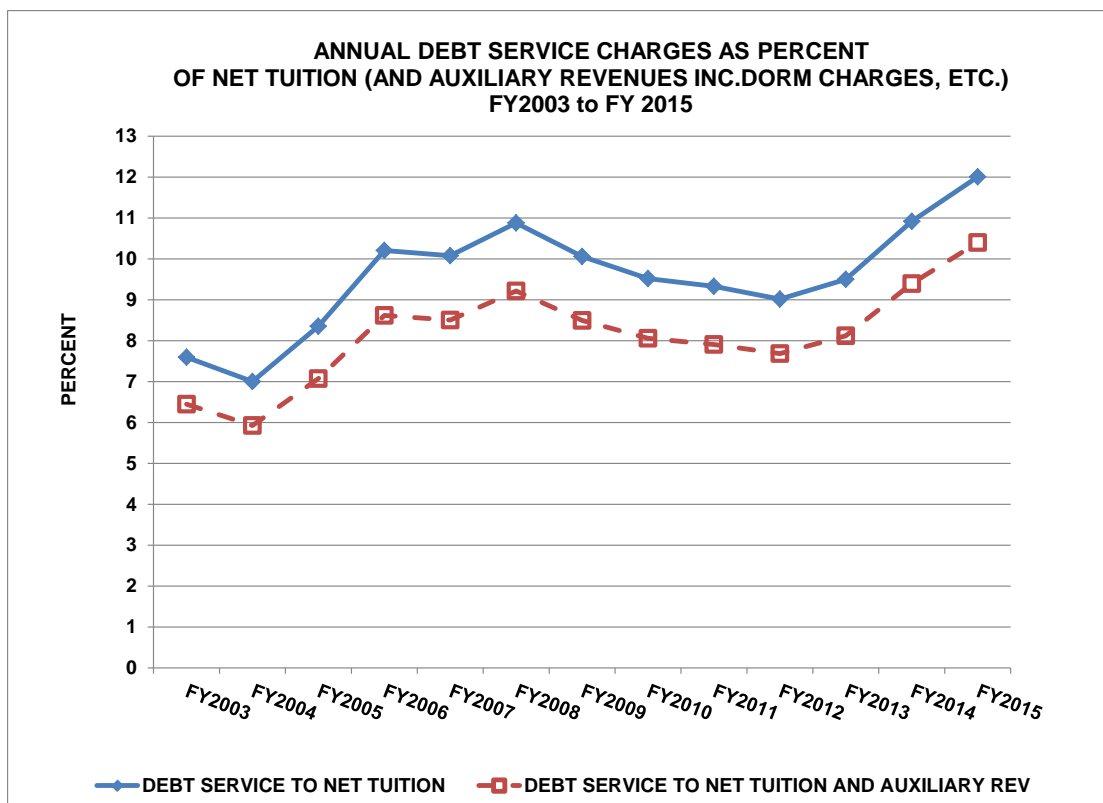
**THE CURRENT BUDGET STRAIN**

**I. WHAT THE PROBLEM IS**

The major short-term policy challenge for the University, having spent so extravagantly in the last decade, is to make room for annual interest charges. Even without any repayment of the debt, the interest burden alone is large and will become more so as debt rolls over (if interest rates rise as expected).

- Annual debt service charges approach \$80 million and have *increased* by about \$10 million in EACH of the past two fiscal years:
  - **\$76.7 Million in FY2015**
  - \$66.4 Million in FY2014
  - \$56.9 Million in FY2013

As a share of student tuition, these charges have grown rapidly in the past several years.



**Annual debt service now absorbs 12 percent of student net tuition payments**

**NOTE:** Revenues generated from students also include housing revenues, and the combination of net tuition payments and auxiliary revenues is an alternative measure of the debt service strain on student payments to the University; see series 2 in the preceding figure. The share of all revenues from students (plus parking and other fees) reduces the fraction of resources absorbed by debt service, but only a little.

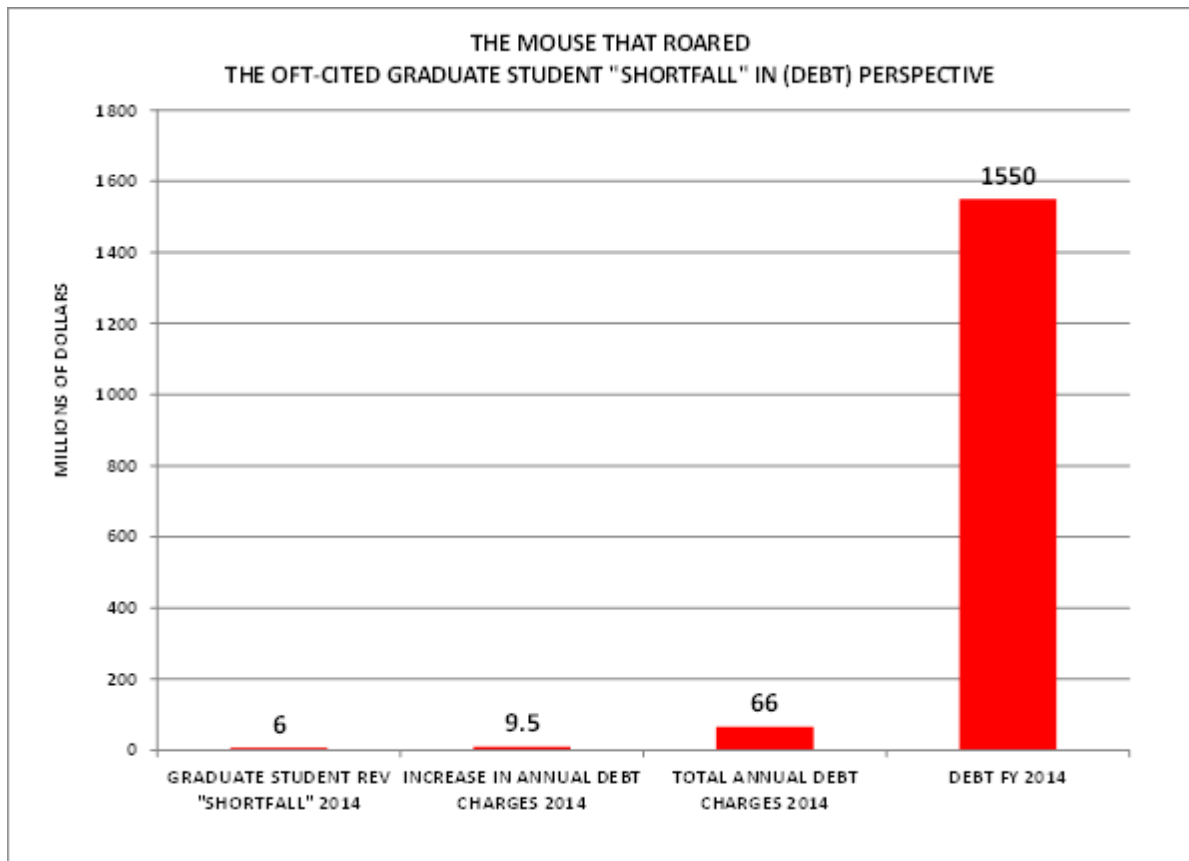
**Annual debt service absorbs 10.4 percent of combined student net tuition payments and all auxiliary revenues, which would include student housing revenues.**

## **II. WHAT THE PROBLEM IS NOT**

### **THE MOUSE THAT ROARED**

Anyone who has even casually follows GW budget issues or, for that matter, read missives from the President, is aware of the \$6 million dollar graduate student budget shortfall in FY2014 that the Administration believes has brought the University to its knees budget-wise. Given the modesty of this sum and the vast amounts of resources that have flowed at GW in the last decade, I label this shortfall the Mouse that Roared.

In the figure to follow, the graduate student budget shortfall is set in perspective.



The shortfall is only 2/3 of the INCREASE in the debt charge in FY2014 and only 9 percent of total debt charges in FY 2014. Had GW chosen to finance it through debt, the shortfall would have been no more than a whisper in GW's total debt.

## The Debt Repayment Dilemma

- The ***interest only repayment policy*** means that generations of future GW students will be paying for buildings long obsolete and perhaps no longer standing.
- If, however, the University began a ***serious repayment effort***, the additional annual budget charge would increase dramatically.

### Example: 30 year repayment schedule

If one believed that the buildings financed by the debt had 30 year useful lives, and chose a thirty year horizon for repayment, **annual** interest charges, now \$76.7 million (or about 12 percent of net tuition payments), would have to increase by an additional \$51.7 million dollars **per year** in a zero interest regime ( $\$1.550 \text{ million} / 30 = \$51.7 \text{ million}$ ) to \$128.4 million dollars.

***A thirty year payback regime would require that 20 percent (\$128.4M/\$639M) of all net tuition payments be dedicated to debt service charges for the next thirty years (assuming no increase in interest rates).***

*(That would be 17.5 percent of combined net tuition and auxiliary revenues.)*

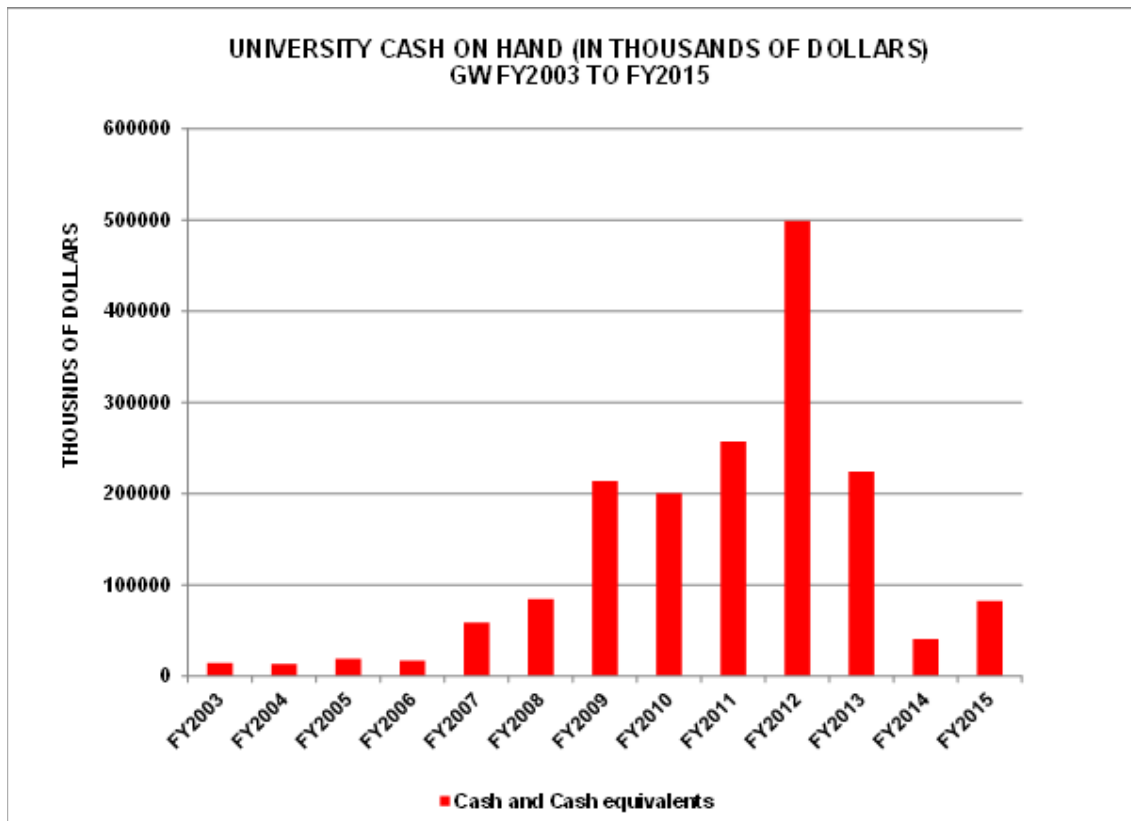
*This would impose a crushing burden on university operations and it is not surprising that the GW Board of Trustees decided to saddle GW students forever to finance its current spending. The debt has become so massive that payback linked to the useful life of the buildings is simply not feasible.*

### Appendix 1

#### University Cash Holdings Up in FY2015

The University did increase its cash and cash equivalent holdings by \$40 million dollars in FY2015 which could be used to pay down the debt, but cash and cash equivalent holdings in recent years have largely reflected time intervals between the receipt of resources from additional bond offerings and the need to pay out construction charges.

In the most exuberant building period, the University briefly held one half billion in cash (FY2012)—but not for long.



## Appendix 2

### Bonds and Notes Payable FY2015 And FY2014

Taxable bonds: (In Thousands of Dollars)

	Amount Outstanding June 30, 2015	Amount Outstanding June 30, 2014
2007 Series General Obligation 2/1/2017 Fixed 5.3%	50,000	50,000
2009 Series General Obligation 2/1/2019 Fixed 6.0%	200,000	200,000
2010 Series General Obligation 9/15/2020 Fixed 4.642%	99,745	108,340
2011 Series General Obligation 9/15/2021 Fixed 4.452%	100,000	100,000
2011A Series General Obligation 9/15/2021 Fixed 3.576%	50,000	50,000
2012 Series General Obligation 9/15/2022 Fixed 3.485%	300,000	300,000
2012A Series General Obligation 9/15/2017 Fixed 1.827%	168,000	168,000
2013 Series General Obligation 9/15/2043 Fixed 4.363%	170,000	170,000
2014 Series General Obligation 9/15/2044 Fixed 4.3%	300,000 -	

Non-recourse debt:

Notes payable – secured by real estate 3/11/2017 Fixed 5.9%	112,000	200,000
Notes payable – secured by real estate 7/11/2015 Fixed 4.955%		14,577
Unsecured notes payable 5/1/2021 Fixed 3%	99	113
<b>Total</b>	<b>1,549,844</b>	<b>1,361,030</b>
Estimated fair value (Level 2) at June 30	\$ 1,577,765	1,445,717

Source: 2014-2015 GW Financial Report, p.43.

## Appendix 3

### Credit Agency Ratings of GW Debt: Summary

Credit agencies seem largely unconcerned that the University floated an additional bond issue of \$350 million dollars in the summer of 2015, although the University (one again) reported that it would use a substantial share of those resources to retire existing debt.

#### S&P (June 22, 2015)

##### A+/Stable

**S&P definition of A rating:** "...somewhat more susceptible to the adverse effects of changes in circumstances and economic conditions than obligations in higher-rated categories. However, the obligor's capacity to meet its financial commitment on the obligation is still strong."

[https://www.standardandpoors.com/en\\_US/web/guest/article/-/view/sourceId/504352](https://www.standardandpoors.com/en_US/web/guest/article/-/view/sourceId/504352)

#### Excerpt from Rating Report (pp.3-4)

##### Outlook

The stable outlook reflects Standard & Poor's expectation that during the next two years, the university's enrollment will remain stable, it will return to generating full-accrual financial operating surpluses, and improve its financial resource ratios relative to its operations and debt levels. **We also assume there will be no additional new money debt issuance unless there is a commensurate increase in financial resources.** [Bold added]

A lower rating could result from an enrollment decline or if fiscal operating performance is weak or unexpectedly negative on a full-accrual basis, or if financial (expendable) resources do not grow

We believe it is unlikely that during the two-year outlook period, GWU will significantly increase financial resources or operating margins sufficient to warrant an upgrade. However, any consideration of an upgrade would be predicated upon the realization of stronger enrollment, positive financial operating performance on a full accrual basis and a significant improvement in financial resources in relationship to operations and current and planned debt.

WWW.STANDARDANDPOORS.COM/RATINGSDIRECT JUNE 22, 2015 3

**Moody's (June 20, 2015)**

**A1/Stable**

**Moody's definition of A rating:** "Obligations rated A are considered upper-medium grade and are subject to low credit risk"

**SUMMARY RATING RATIONALE**

**The A1 assignment in conjunction with the new sale incorporates expectations that the university will use the proceeds to retire \$330 million of prior debt. [Bold added]**

The A1 rating reflects George Washington University's favorable market position with growing net tuition revenue, diverse academic programs for research university with \$1.1 billion in operating revenue and considerable financial strength.

Offsetting factors include a weaker operating performance in fiscal 2014 and high debt to operating revenue burden, with pro forma debt to operating revenue of 1.4 times.



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THE GEORGE WASHINGTON UNIVERSITY

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WASHINGTON, DC

# **University Debt Management Strategy**

EVP&T Lou Katz

May 6, 2016

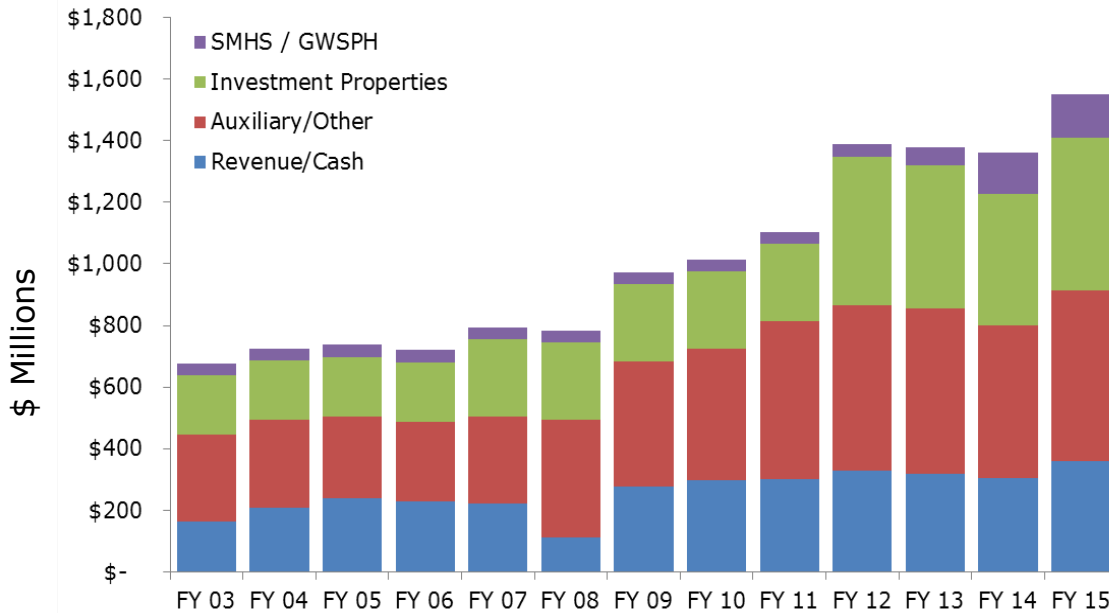
## Debt Strategy

- ❖ GW strategically invests capital in projects that will enhance the overall value of the GW education and experience for students and/or generate positive cash flows in order to fund current and future projects.
- ❖ Our strategy is to ensure the majority of our debt has a specific funding source.
- ❖ GW manages the external debt portfolio with several key objectives. We constantly monitor the capital markets to seize opportunities to achieve these objectives:
  - Lower overall weighted average cost of capital: Currently 4.25%.
  - Extend overall average maturities: Currently 16 years.
  - Retain flexibility on how funds are used: 100% Taxable Bonds.
  - Control risk and unpredictability: 100% Fixed Debt.
  - Ensure liquidity for operations and capital projects.

# THE GEORGE WASHINGTON UNIVERSITY

WASHINGTON, DC

## Debt Outstanding by Revenue Sources



Outstanding debt at fiscal year end

- ❖ Questions have been raised regarding the increase in debt relative to the increase in net tuition revenue.
- ❖ GW's debt has increased from \$0.7 Billion to \$1.5 Billion from FY03 to FY15.
- ❖ The growth in debt was largely driven by projects not supported by tuition revenue.
  - Parking and Housing supported by auxiliary revenue.
  - SEH supported by investment properties revenue.
- ❖ In this low interest rate environment, we have converted 100% of our debt to fixed rate. In FY03, our portfolio was 80% variable rate.

**The ~25% of debt funded by tuition revenue in FY15 is essentially the same percentage as in FY03.**

### Investor and Rating Agency Reaction

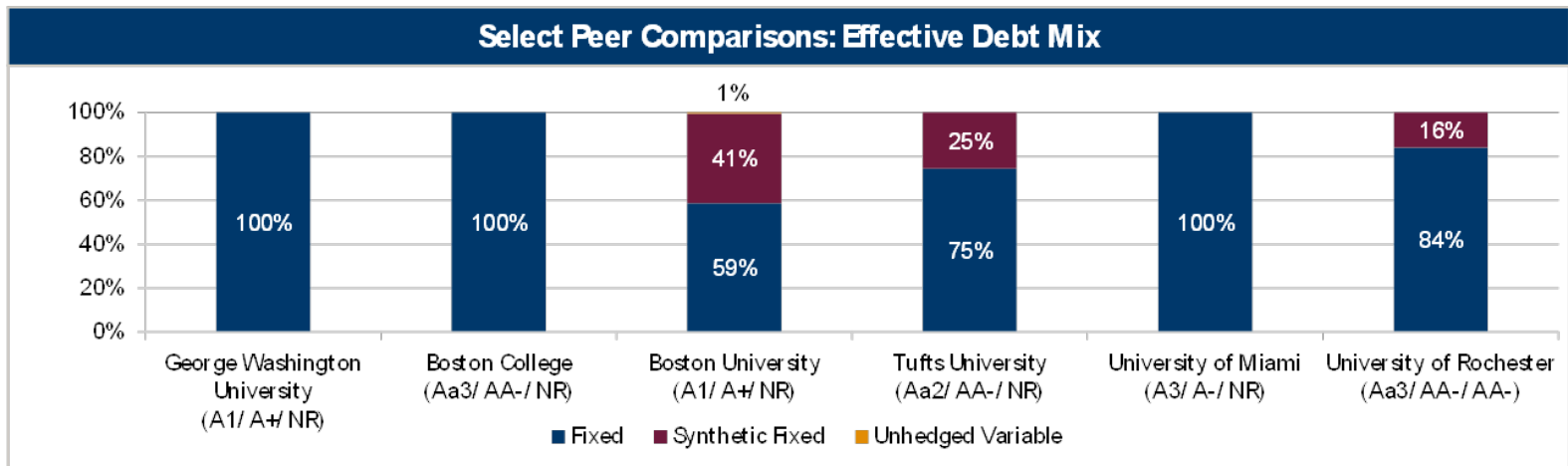
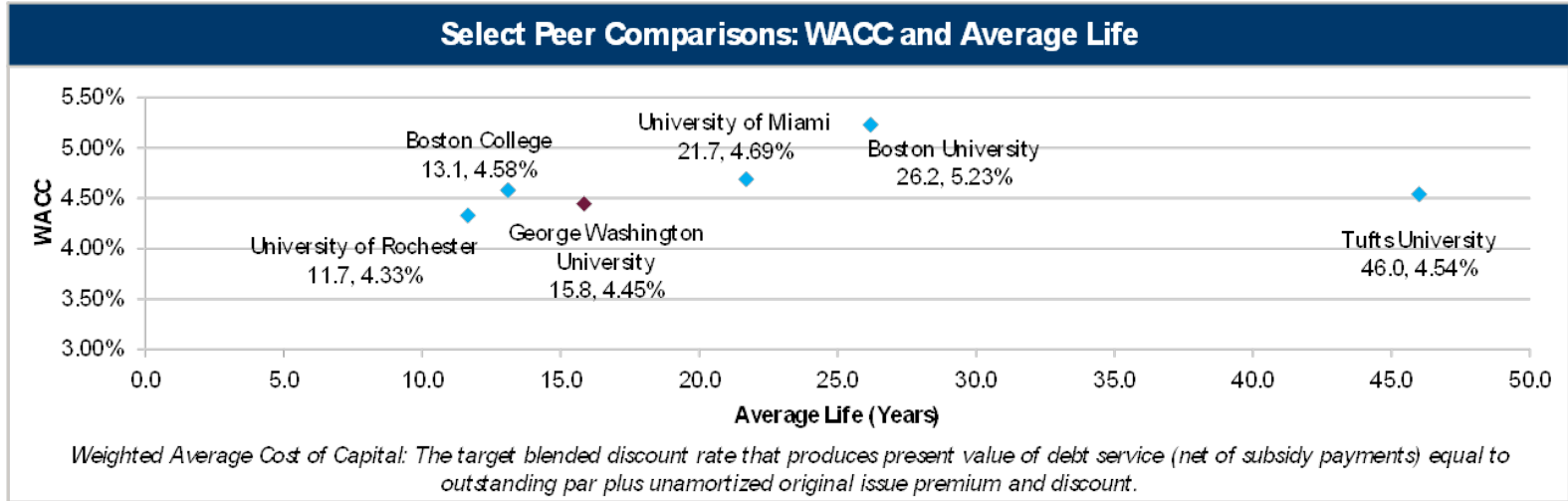
- ❖ Since 2011, GW has completed 7 transactions, issuing approximately \$1.4 Billion in debt.
- ❖ Rating agencies continue to view GW as an investment grade institution.
  - ❖ Moody's issued an investment grade rating of A1, and a stable outlook for each transaction.
  - ❖ S&P issued an investment grade rating of A+, and a stable outlook for each transaction.
- ❖ We have had strong demand from the investor community.
  - ❖ GW's pricing remained comparable with peer university's in the higher AA rating range. Our interest rate "spread" over the US Treasuries for 30-year debt ranged from 108-170 basis points; and was as low as 70 basis points for 5-year debt.
  - ❖ Orders from investors averaged approximately 2x the amount of debt issued. Our current investors include the largest investment and insurance companies in the world:

TIAA	\$144M	AMERICAN GENERAL LIFE INS	\$34M
VANGUARD GROUP INC	66M	NEW YORK LIFE INSURANCE	30M
PRINCIPAL LIFE INSURANCE	40M	ALLIANZ LIFE INS COMPANY	25M
LIBERTY LIFE ASSURANCE	37M	USAA LIFE INSURANCE COMPANY	24M

# THE GEORGE WASHINGTON UNIVERSITY

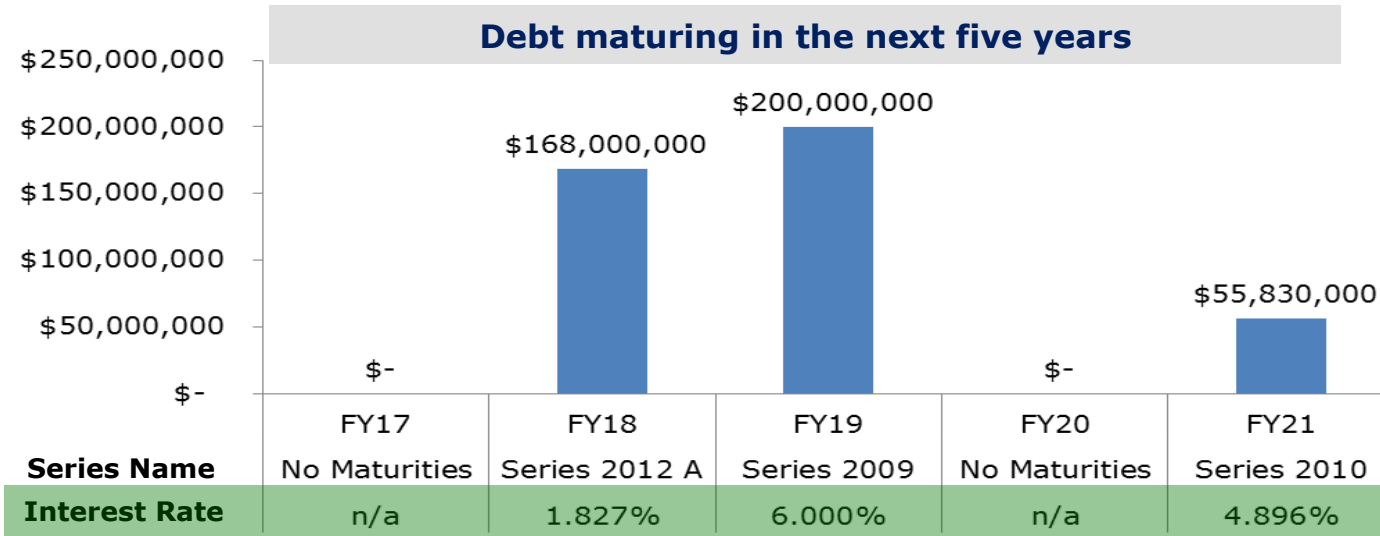
WASHINGTON, DC

## Peer Institutions Emulating GW's Debt Strategy



## Outstanding Debt Maturities Outlook

Debt maturities over the next five years are illustrated in the chart below:



- ❖ The Series 2012A Bonds will be redeemed on their due date in September 2017 using existing cash.
- ❖ We estimate the current 30-Year debt market to be in the range of 4.0-4.5%.
- ❖ The Series 2009 Bonds and the Series 2010 Bonds have higher interest rates than the current 30-Year debt market.

**We believe that we will continue to have opportunities to lower our overall cost of capital and extend the maturity of our debt.**

**A RESOLUTION IN RESPONSE TO STATE LAWS EMBRACING  
ANTI-LGBT DISCRIMINATION**

**WHEREAS** The George Washington University is committed to diversity and inclusion in its employment policies and practices;

**WHEREAS** the state of North Carolina has enacted legislation barring transgender persons from using bathrooms and changing facilities corresponding to such persons' gender identities, has excluded sexual orientation and gender identity from that state's anti-discrimination protections, and has prohibited units of local government from extending such protections to lesbian, gay, bisexual, and transgender (LGBT) people;

**WHEREAS** North Carolina Governor Pat McCrory's April 12, 2016, Executive Order does not adequately protect LGBT people, does not revoke the legislation, and does not remove the target that has been placed on transgender people;

**WHEREAS** other jurisdictions also are considering or have adopted legislation that represents legal approval of discrimination on the basis of gender identity or sexual orientation;

**WHEREAS** GWU faculty attendance at scholarly conferences held across the country is an important indicator of engagement with the scholarly community and is a component in scholarly evaluations;

**WHEREAS** GWU faculty and other employees travel to meetings and conferences for a variety of reasons as part of their official duties;

**WHEREAS** the desire for faculty and other employees to engage in valuable scholarly and professional travel must be limited by the overriding principle that members of The George Washington University community should never feel pressured to subject themselves to a heightened risk of insidious discrimination in order to perform their duties; and

**WHEREAS** contemporary issues of discrimination are worthy of scholarly attention, including through engagement with academics and others in North Carolina and other jurisdictions where such issues are particularly pressing;

**NOW, THEREFORE, BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY**

That all faculty have the right to avoid conferences, meetings, or other functions (some of which they may have attended previously) in jurisdictions which embrace discrimination;

**AND BE IT FURTHER RESOLVED** that the Faculty Senate calls upon President Knapp to issue a statement reaffirming the University's abhorrence of any form of discriminations and assuring faculty and employees that the George Washington University recognizes and respects the above right;

**AND BE IT FURTHER RESOLVED** that the Faculty Senate encourages scholarly engagement with issues of discrimination, including through engagement with academics and others in any jurisdiction where such issues are particularly pressing.

Harald W. Griesshammer  
William Briscoe

submitted on behalf of the Steering Committee of the George Washington University Faculty Association (GWUFA)

3 May 2016



**FACULTY SENATE CALENDAR  
2016-2017 Academic Year**

**EXECUTIVE COMMITTEE MEETINGS**

**Begin at noon ~ Executive  
Committee Members Only**

**FACULTY SENATE MEETINGS**

**Begin at 2:10pm ~ Normally held  
in 1957 E Street/State Room**

August 26, 2016

September 30, 2016

October 28, 2016

November 18, 2016

December 16, 2016

January 27, 2017

February 17, 2017

March 24, 2017

April 28, 2017\*

May 6, 2016

September 9, 2016

October 14, 2016

November 11, 2016

December 9, 2016

January 13, 2017

February 10, 2017

March 3, 2017

April 7, 2017

May 12, 2017\*\*

\*Joint meeting of the old and new Executive Committees

\*\*First meeting of the 2017-2018 Academic Year session

The 2016 Faculty Assembly is TBA.

**NOTE:** To permit compliance with the rules requiring seven days notice of Senate meetings, the Executive Committee prepares the agenda two weeks in advance of the regular Senate meetings.

Appointment, Salary, and Promotion Policies  
(Including Fringe Benefits)

Role	Name	Affiliaions	Senate	
			Member	Email
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EC Liaison	Rice, Lisa	GSEHD	x	<a href="mailto:ehess@gwu.edu">ehess@gwu.edu</a>
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Voting	Briggs, Linda	SON		<a href="mailto:briggs10@gwu.edu">briggs10@gwu.edu</a>
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## Educational Policy

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## Honors and Academic Convocations

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Non-Voting	TBD	Student Liaison		
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Non-Voting	Zeljak, Cathy	Gelman		<a href="mailto:czeljak@gwu.edu">czeljak@gwu.edu</a>

## Professional Ethics and Academic Freedom

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			Member	Email
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Voting	Garris, Charles	SEAS	x	<a href="mailto:garris@gwu.edu">garris@gwu.edu</a>
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Voting	Khoury, Dina	CCAS		<a href="mailto:dikhy@gwu.edu">dikhy@gwu.edu</a>
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Non-Voting	Martin, Dianne	Provost		<a href="mailto:dmartin@gwu.edu">dmartin@gwu.edu</a>
Non-Voting	Morant, Blake	LAW		<a href="mailto:morantbd@gwu.edu">morantbd@gwu.edu</a>
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## Research

Research			Senate	
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EC Liaison	McDonnell, Karen	GWSPH	x	<a href="mailto:kmcdonne@gwu.edu">kmcdonne@gwu.edu</a>
Voting	Briscoe, William	CCAS		<a href="mailto:briscoe@gwu.edu">briscoe@gwu.edu</a>
Voting	Casey, Andrea	GSEHD		<a href="mailto:acasey@gwu.edu">acasey@gwu.edu</a>
Voting	Cutler, Andrew	SEAS		<a href="mailto:adcutler@gwu.edu">adcutler@gwu.edu</a>
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Voting	Engel, Laura	GSEHD		<a href="mailto:lce@gwu.edu">lce@gwu.edu</a>
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Voting	Hsu, Stephen	SEAS		<a href="mailto:stevehsu@gwu.edu">stevehsu@gwu.edu</a>
Voting	Imam, M Ashraf	SEAS		<a href="mailto:ashrafimam@gwu.edu">ashrafimam@gwu.edu</a>
Voting	Kouveliotou, Chryssa	CCAS		<a href="mailto:ckouveliotou@gwu.edu">ckouveliotou@gwu.edu</a>
Voting	Kusner, Linda	SMHS		<a href="mailto:lkusner@gwu.edu">lkusner@gwu.edu</a>
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Non-Voting	Dolling, David	SEAS		<a href="mailto:dolling@gwu.edu">dolling@gwu.edu</a>
Non-Voting	Merrigan, Kathleen	Sustainability		<a href="mailto:kmerrigan@gwu.edu">kmerrigan@gwu.edu</a>
Non-Voting	TBD	Student Liaison		

## University and Urban Affairs

Role	Name		Senate Member	Email
Chair	Newcomer, Kathryn	TSPPPA	x	<a href="mailto:newcomer@gwu.edu">newcomer@gwu.edu</a>
EC Liaison	Pulcini, Joyce	SON	x	<a href="mailto:pulcinjo@gwu.edu">pulcinjo@gwu.edu</a>
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Voting	Cline, Diane Harris	CCAS		<a href="mailto:drcline@gwu.edu">drcline@gwu.edu</a>
Voting	Jacobson, Leslie	CCAS	x	<a href="mailto:lesliej@gwu.edu">lesliej@gwu.edu</a>
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Voting	Wetenhall, Tanya	CCAS		<a href="mailto:twetenhall@gwu.edu">twetenhall@gwu.edu</a>
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Non-Voting	Cohen, Amy	Civic Engagement		<a href="mailto:abcohen@gwu.edu">abcohen@gwu.edu</a>
Non-Voting	Demczuk, Bernard	DC Affairs		<a href="mailto:bdemczuk@gwu.edu">bdemczuk@gwu.edu</a>
Non-Voting	Katz, Louis	EVP&T		<a href="mailto:lkatz@gwu.edu">lkatz@gwu.edu</a>
Non-Voting	Konwerski, Peter	Dean of Students		<a href="mailto:peterk@gwu.edu">peterk@gwu.edu</a>
Non-Voting	McCorvey, Ann	EVP&T		<a href="mailto:amccorvey@gwu.edu">amccorvey@gwu.edu</a>
Non-Voting	Scarboro, Donna	International Programs		<a href="mailto:scarboro@gwu.edu">scarboro@gwu.edu</a>
Non-Voting	Squires, Gregory	CCAS		<a href="mailto:squires@gwu.edu">squires@gwu.edu</a>
Non-Voting	Morrison, Emily	CCAS		<a href="mailto:emily_m@gwu.edu">emily_m@gwu.edu</a>

**The George Washington University**  
**Faculty Senate Committee on**  
**Appointment, Salary, and Promotion Policies (including Fringe Benefits)**

**Friday April 15, 2016**

**Annual Report**

The ASPP committee has met on 7 occasions during the session 2015/2016.

At our meeting in October we discussed the following:

- (i) The chair of the ASPP committee had presented the resolution agreed on by the committee at the Faculty Senate meeting on October 9. The resolution had been amended by the Faculty Senate in respect to reordering two of the WHEREAS clauses, but the resolving clauses were left intact. The amended resolution was adopted unanimously by the Faculty Senate. It was pointed out by members of the committee that President Knapp's Task Force on benefits was due to report in December 2015. It was hoped that this report would reinforce the findings of the Joint Task Force of the ASPP and Fiscal Planning & Budgeting committee of the Faculty Senate that GW had lower benefits and total faculty compensation compared to other schools in the Market Basket Schools list.

As the Benefits Advisory Committee (BAC) was due to meet in January, by which time the Benefits for fiscal 2017 were already being negotiated there was probably not enough time for the BAC to weigh in on them. Nevertheless, the committee felt that it might be a good tactic to raise the issue of benefits at each meeting of the Faculty Senate, when the president would have to make some reply. The issue of banding was discussed at length, and the question of whether or not this was discussed at the BAC was raised. As it was a suggestion from the President's Task Force it was thought that there had been little discussion in the BAC on this.

- (ii) The ASPP committee members were asked to contact their respective faculty and ensure that all faculty would attend the Faculty Assembly which had been postponed to November 10 to vote on the Board of Trustees resolution to change the composition of the Faculty Senate.

At our meeting in November we discussed the following:

- (i) The chair of the ASPP committee had presented the resolution agreed on by the committee at the Faculty Senate meeting on October 9. As was noted in the meeting, with some amendments to the Whereas clauses the resolution was passed unanimously.

The committee felt that the Open Enrollment period was too early and a better timing would be from the middle of October to the middle of November. The comment was made that the options presented were quite difficult to resolve to get a comparison of costs. There was always the possibility of calling the Ombudsman for help with this. When more than one person was involved, i.e. spouse and/or family, this became particularly difficult.

Professors Biles and Wirtz, as promised at the previous meeting of the committee, then gave a report of the recent Benefits Advisory Committee (BAC) meeting. Because the composition of the BAC was now large (over 20 members) formulating Benefits Policy was clumsy as there was insufficient opportunity for detailed discussion between the administration and the faculty members. A return to the small group previously convened would be preferable. It was



suggested that the BAC should have good faith discussions with Human Resources in early January as this would help in determining Benefits for the coming year.

- (ii) After much discussion it was agreed by the committee that a Secret Ballot on the Board of Trustees resolution was preferable. Vice Provost Martin was asked to see if this could be facilitated. Professor Garris, chair of the Executive Committee and Professor Charnovitz, Faculty Senate Parliamentarian, were also to be contacted on this issue.

At our meeting in December we discussed the following:

- (i) The chair of the ASPP committee summarised the previous meeting of the Benefits Advisory Committee(BAC). The current medical benefit concentrates on the PPO basic and medium plans. There appears to be a proposed switch to the High Deductible plan with the HSA savings option. Much of this was justified as responding to the Affordable Care Act provision to tax the so-called 'Cadillac Plans'. This would now seem to be removed as both sides of congress do not like it. Another matter mentioned in the BAC was the items characterized by the 'EPO' acronym which typically would include Kaiser.
- (ii) There was no report on non-concurrencies.
- (iii) The memorandum from Professor Carter was then taken up. He chair expressed the view that the changes suggested by Professor Carter were of a Faculty Code nature and would be better discussed by the PEAFC Committee. However, the ASPP committee could always visit this item at a later meeting. It would appear that most of the suggested changes would principally affect the Law School.

At our meeting in January, postponed to February due to inclement weather, we discussed the following:

- (i) Professor Brazinsky, a member of the Executive Committee and also a member of the President's Task Force on Benefits reported that the banding suggested by the Task Force in increases in employee contributions to the health benefits and accepted by the administration would be a one-time event. The ASPP committee would like to know from the University Human Resources department (UHR) if the recommendations from the Task Force, once implemented would, actually save money. Ms. Musselman replied that the effect of these changes, especially to the High Deductible High Premium option, were being studied but would not come into effect until after 2017.

Professor Biles thought that UHR was not able to tell the Benefit Advisory Committee (BAC) the situation with respect to the ongoing discussions for the upcoming Health deductibles and premiums for the coming year 2017. Professor Wirtz expressed what the ASPP committee generally felt that the faculty in particular and the GW employees in general only found out about the next round of health contributions after the fact. In addition, the BAC had too many members and had become unwieldy. Professor Anbinder reminded the ASPP committee that the faculty was only a small proportion on the BAC and therefore the Faculty Senate should be taking a more active role in discussions concerning Benefits.

Professor Anbinder had looked in detail at the President's Task Force report of the position of GW with respect to the other schools in the Market Basket produced by the outside consultants, Mercer and, despite statements to the contrary, still found us near the bottom of the list. Part of the problem is that the Board of Trustees is still implementing and overall increase off 3%

across the board, while medical costs are increasing by at least 6% annually. Professor Brazinsky thought that the Senate should come up with a resolution before the summer recess to address this problem.

The ASPP committee asked UHR to have their answers to these matters at the next scheduled meeting of the BAC on March 23. The ASPP committee is due to meet on March 25 to have the numbers from UHR and also to consider formulating a resolution.

- (ii) The item of partial retirement was postponed to the next meeting of the ASPP, but in the meantime a subcommittee of ASPP was formed with Professor Galston as convener and Professors LaLecheur and Rohrbeck to report back to the ASPP at its next meeting.

At our meeting on March 4 we discussed the following:

- (i) As the HR department had agreed to having a meeting of the Benefits Advisory Committee (BAC) much earlier than last year, the general feeling of the committee was that we would be able to have some influence on the proposed increases in the premiums and deductibles for the health care benefits. This would be revisited at the next meeting of the ASPP committee when the BAC had met. A resolution would be formulated then to present to the Faculty Senate via the Executive Committee.
- (ii) The report from the subcommittee, comprised of Professors Galston, LaLecheur and Rohrbeck looking into modifications to the retirement options was then presented by Professor Galston with comments from Professors LaLecheur and Rohrbeck. After much discussion, the ASPP committee agreed to take no action on this proposal. Professor Galston agreed to draft a response to Professor Carter, the original requester.
- (iii) Professor Pelzman had requested that the ASPP committee look into the Health Benefits GW was providing and in particular the question of out-of-network services, physicians and facilities. Of the three options available, namely out-of network, in-network and in-network preferred there was some doubt that individual members could get the treatment they needed. It appeared that the benefits provided were deteriorating and the motivation seemed to be reducing costs although 'efficiencies' was given as the reason. The discussion of this matter focused on the various mechanisms the health providers used to deny claims.

At our meeting on March 25 we discussed the following:

- (i) The response of the ASPP committee to Professor Carter's proposal to enlarge pre-retirement reduced time arrangements was previously circulated. The chair informed the committee that Professor Carter had thanked the ASPP committee for its deliberations on this issue.
- (ii) The 'Resolution on Imposing Caps on Staff/Faculty Health Insurance' originally drafted by Professor Biles with input from Professors Anbinder & Wirtz, and attached to the Agenda, was then discussed at length. The ASPP committee, after some minor changes, agreed in principal with the text of this draft and requested Professor Marotta-Walters, the Executive Committee liaison member, to present this at the Executive Committee's meeting immediately following the ASPP meeting.

At our meeting in April we discussed the following:

- (i) The 'Resolution on Imposing Caps on Staff/Faculty Health Insurance' presented by the ASPP committee at the previous Faculty Senate meeting with discussion by Professors Biles, Cordes & Wirtz, was then discussed at length. Several ASPP committee members expressed the need for

**more transparency in the University Human Resources (UHR) dealings with the Benefits Advisory Committee. In particular, meetings of the Benefits Advisory Committee should be scheduled earlier in the Academic Year so that the decisions being made for the proposed Benefits for the upcoming Calendar Year, especially Medical Insurance premiums and deductibles, would be presented to the BAC well in advance of any decision being made.**

**The process of salary banding, proposed by the President's Task Force, had been made with very little input from the BAC or the ASPP, but there was hope that this would be a one-time event. A further point was made that GW appeared to be well behind other organizations in providing adequate support for Health Benefits.**

**In reply, VP McCorvey stated that a three-year process was being considered which would help in determining the increase in the medical Insurance costs well in advance of any decision being made for the respective Medical Insurance plans being offered. She further stated that the BAC was critically important in the decision making process and she was aware that more transparency was needed. Benchmarking of comparisons with other organizations had been tried previously but the faculty had felt that the methodology for this previous attempt had not been transparent.**

**There was general agreement that the ASPP should meet once UHR knew what the increase in costs of health care would be for the upcoming year 2017. The chair agreed to arrange for a meeting in mid-June or early July to accomplish this. To help in partaking in the meeting for those faculty who were off-campus a Web-based meeting would be arranged.**

- (ii) Professor Gupta produced highlights from the IRS report 990 for GW for the years ending 2012 and 2013. It contained the salaries of the top five earners at GW and some comparisons of faculty salaries over the recent years.**

**The committee also commissioned subcommittees and task forces to work on matters of importance to the ASPP committee between meetings to identify the relevant issues for the many items of the agenda for specific meetings. This involved considerable time and effort on the part of the members of the committee serving on these small groups of faculty for which the entire ASPP committee is forever grateful.**

**Respectfully submitted,**

**Robert J. Harrington, April 15, 2016, Chair**

**Members of the ASPP committee, Faculty Senate year 2015/2016**

**Professors:**

**Abravanel, Anbinder, Biles, Briggs, Cordes, Galston, Gupta, LeLacheur, Maring, Marotta-Walters, Pelzman, Plack, Rau, Rohrbeck, Schanfield, Williams, Wirtz;**

**Administration:**

**Vice Presidents Katz, McCorvey; Associate Vice Presidents Kosky, McLeod; Vice Provost Martin; Director, Legal Clinics Gullo; Library HR Shea; UHR Musselman**

The George Washington University  
 Compilation of Top Administration Salaries; Comparisons with Average Faculty Salaries and Tuition Increases

April 18, 2016

GW Compensation Data from IRS Form 990 filed in May annually

Base compensation = Salaries

Total Compensation = "Base compensation" + "Bonus and incentive compensation" + "Other compensation" + "Deferred compensation" + "Nontaxable benefits"

		Year Ending Dec-13	Year Ending Dec-12	1 year % Change 12/12-12/13	Year Ending Dec-11	2 year % Change 12/11-12/13	Year Ending Dec-10	3 year % Change 12/10-12/13	Year Ending Dec-09	4 year % Change 12/09-12/13
<b>President and Vice Presidents</b>										
	Compensation Type									
Steven Knapp	President	\$ 838,879	\$ 800,202	4.8%	\$ 761,496	10.2%	\$ 725,231	15.7%	\$ 691,462	21.3%
	Total	\$ 1,117,305	\$ 1,288,034		\$ 1,107,934		\$ 1,165,813		\$ 1,053,636	
Louis Katz	Exec VP & Treasurer	\$ 725,150	\$ 688,000	5.4%	\$ 655,000	10.7%	\$ 625,000	16.0%	\$ 595,500	21.8%
	Total	\$ 906,804	\$ 1,414,107		\$ 858,105		\$ 910,054		\$ 791,507	
Steven Lerman	Provost	\$ 567,309	\$ 538,710	5.3%	\$ 513,767	10.4%	\$ 291,864			
	Total	\$ 808,141	\$ 792,143		\$ 749,555		\$ 385,826			
Leo Chalupa	VP Research	\$ 394,730	\$ 383,649	2.9%	\$ 368,678	7.1%	\$ 353,815	11.6%	\$ 228,247	
	Total	\$ 499,822	\$ 517,581		\$ 480,235		\$ 478,454		\$ 277,958	
Beth Nolan	General Counsel	\$ 460,880	\$ 441,053	4.5%	\$ 420,103	9.7%	\$ 397,301	16.0%	\$ 377,408	22.1%
	Total	\$ 598,237	\$ 695,437		\$ 561,229		\$ 589,134		\$ 511,257	

<b>Average Senior Administration Increases:</b>	Over 1 year:	4.6%	Over 2 years:	9.6%	Over 3 years:	14.8%	Over 4 years:	21.7%
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Tuition and fees (New Undergraduates- fixed tuition rates)							
<a href="https://studentaccounts.gwu.edu/undergraduate-tuition">https://studentaccounts.gwu.edu/undergraduate-tuition</a>							
	2016/17	2015/16	2014/15	2013/14	2012/13	2011/12	2010/11
	\$51,875	\$50,367	\$48,700	\$47,290	\$45,780	\$44,148	\$42,905
<b>Annual Tuition Increase:</b>	<b>2.99%</b>	<b>3.42%</b>	<b>2.98%</b>	<b>3.30%</b>	<b>3.70%</b>	<b>2.90%</b>	
<b>Total Increase in Tuition for New Undergraduates over 6 years (2010/11-2016/17):</b>	<b>20.91%</b>						

Faculty Salaries Data (Average Regular Full Time Salaries, excludes School of Medicine)															
Source: Core Indicators of Academic Excellence, Faculty Senate Minutes (March 11, 2016)															
(Note: These are salaries only. Do not include benefits)															
	Average Salaries 2014/15	Average Salaries 2013/14	1 year % Change 6/14-6/15	Average Salaries 2012/13	2 year % Change 6/13-6/15	Average Salaries 2011/12	3 year % Change 6/12-6/15	Average Salaries 2010/11	4 year % Change 6/11-6/15	Average Salaries 2009/10	5 year % Change 6/10-6/15				
Professor	\$163,500	\$161,400	1.3%	\$156,018	4.8%	\$152,000	7.6%	\$146,400	11.7%	\$142,900	14.4%				
Associate Professor	\$109,900	\$109,400	0.5%	\$106,102	3.6%	\$103,100	6.6%	\$100,200	9.7%	\$98,600	11.5%				
Assistant Professor	\$90,100	\$87,500	3.0%	\$86,896	3.7%	\$84,200	7.0%	\$82,100	9.7%	\$81,000	11.2%				
<b>Average Faculty Increases over:</b>	<b>1 year:</b>		<b>1.6%</b>	<b>2 year:</b>		<b>4.0%</b>	<b>3 years:</b>		<b>7.1%</b>	<b>4 years:</b>		<b>10.4%</b>	<b>5 years:</b>		<b>12.4%</b>

## **Faculty Senate Committee on Educational Policy 2015-2016 Academic Year**

The Educational Policy Committee met as a whole committee on October 30, 2015, December 11, 2015, January 15, 2016, February 12, 2016, March 4, 2016, and April 8 2016.

### **1. POLICY ON DOUBLE COUNTING CREDITS TOWARD TWO MAJORS OR MINOR**

A status report was provided regarding double counting credits toward two majors or minor. This policy was administratively rescinded in view of unintended consequences.

### **2. POLICY ON ONLINE COURSE AND PROGRAM CURRICULAR STANDARDS**

The Committee began a review of the extent to which current policies regarding curricular standards are adequate to ensure academic quality control of online courses. The Committee took three actions with regard to this item:

- (1) Chief Information Officer David Steinour met with the Committee to discuss this and other information technology issues;
- (2) Vice Provost Geneva Henry met with the Committee to discuss this and other academic information technology issues;
- (3) The Committee recommended, and the Executive Committee concurred, that a joint Educational Policy-PEAF Task Force be created to look into this matter and provide recommendations to the two committees. Representatives from the Educational Policy Committee include: Cheryl Beil, Rene van Dorp, Zhiyong Han, and Candice Johnson.

### **3. REPORTING STRUCTURE OF SCHOOL INFORMATION OFFICERS**

Concerns were expressed by the Committee to Chief Information Officer David Steinour regarding the reported partial shift of reporting lines of the technology officials in the individual schools. These individuals had been reporting only to the deans; Mr. Steinour confirmed that they would henceforth be jointly reporting to the deans and to the Chief Information Officer for issues involving security only. The Committee expressed concern about the feasibility of a joint reporting relationship, but it was decided to watch the new policy very carefully and review it fully after a year of implementation.

### **4. THE ITIC**

As part of the Committee's discussion with Chief Information Steinour, the Committee learned of the existence of the "Information Technology Initiatives Committee", which addresses issues involving the optimal allocation of scarce information technology resources. Based on this discussion, the Committee recommended to the Senate Executive Committee that the Faculty (through the Faculty Senate) be represented on this Committee. The Executive Committee and the CIO concurred. As a result, Drs. Posey (SON) and Wirtz (GWSB) have recently been appointed to the ITIC Committee.

### **5. THE UNIVERSITY CALENDAR**

The University calendar for 2016-17 and 4 years beyond was discussed. It should be noted that there will be a "Fall break" to be instituted beginning in 2016-17. The following dates are proposed: October 24 & 25 of 2016-17 with final exams ending December 22; October 9 & 10 of 2017-18 with final exams ending December 21; October 8 & 9 of 2018-19 with final exams ending December 20; October 21 & 22 of 2019-20 with final exams ending December 20; and October 9 of 2020-2021 with final exams ending December 22. The schedule necessitates that the Fall break is scheduled on different weeks in October. This calendar will NOT apply to the schools of Law or Medicine.

### **6. POLICY ON OPTIONAL SAT ADMISSIONS REQUIREMENT**

Although the GWU administration raised this issue last year with the previous Educational Policy Committee chair, it was not discussed by the full Committee. This year's Committee engaged in extensive discussions with Interim Provost Maltzman and Senior Associate Provost for Enrollment Management Koehler. These discussions informed Ms. Koehler's subsequent presentation to and discussion with the full Faculty Senate.

### **7. MEETING WITH VICE PROVOSTS BERMAN AND HENRY**

The Committee met with Vice Provost for Online Education and Academic Innovation Paul Berman. In view of his transition out of his administrative role, the Committee asked Vice Provost Berman to brief the Committee on ongoing initiatives, his view of the future of online education at GW, quality controls that are (and future controls that should be) in place to ensure that online offerings meet the same rigorous academic standards currently being applied to GW's "brick and mortar" classes, and what sorts of plans were being made for a seamless transition as he moves out of his administrative role.

The Committee also met with Dean of Libraries and Academic Innovation Geneva Henry to share ideas about how to move forward with academic technology initiatives and to discuss issues involving online offerings.

### **8. STUDENT RETENTION POLICY**

The Committee met with Interim Provost Maltzman and Senior Associate Vice Provost Koehler to discuss ways in which GW's retention rates could be improved. This has become an issue of paramount importance to the University administration, and the administration is seeking the Faculty's assistance in addressing the issue. A new Office of Retention has been created, and Faculty are invited to work with the administration to address the issue.

## 9. REPEATING COURSES FOR CREDIT

The Committee was asked whether it wished to address the University's policy on repeating courses for credit, and in particular the following passage in the University Bulletin:

"Repeating Courses for Credit—For courses that do not specifically state that repetition for credit is permitted, a student may, with permission of the instructor teaching the repeated course, repeat for credit a course in which a grade of B- (2.75) or lower for undergraduate students or C- or lower for graduate students was received. The student must complete an RTF form to register. Credit for the repeated course will not count toward degree requirements; the grade earned in the repeated course will, however, be included in the student's cumulative grade-point average. "

After reviewing the policy with administration officials (notably Registrar Amundson), the Committee decided to defer any further discussion of this policy to the following Academic Year and to remind the Faculty of this provision by way of this Annual Report.

Respectfully Submitted,

Philip W. Wirtz, Chair

Chair: \*Philip Wirtz, Decision Sciences  
Beveridge, Scott, Counseling  
Carter, Geoffrey, English  
Davis, Sandra L., Nursing  
Han, Zhiyong, Biochemistry  
Jakeman, Rick, Educational Leadership  
Johnson, Candice, Public Health  
Kristensen, Randi, University Writing  
Peng, Peng, Special Education and Disability Studies  
\*Rice, Elisabeth Hess, Special Education and Disability Studies  
Robinson, Lilien F., Fine Arts and Art History  
Rowe, Walter, Forensic Science  
Schwartz, Daniel, History  
Seavey, Ormond, English  
van Dorp, Johan René, Engineering Management and Systems Engineering  
Yezer, Anthony M., Economics

### Non-voting:

Amundson, Elizabeth A., Registrar  
Beil, Cheryl, Associate Provost for Academic Planning and Assessment  
\*Price, Marie D., Geography and International Affairs, Executive Committee Liaison  
Feuer, Michael J., Dean, Graduate School of Education and Human Development  
Konwerski, Peter, Vice Provost and Dean of Student Affairs  
Small, Daniel, Executive Director, Student Financial Assistance

\*Member of the Faculty Senate

**Report of the Faculty Senate Standing Committee  
on University and Urban Affairs  
2015-16 Academic Year**

**Submitted by  
Chair: Kathryn Newcomer,  
Professor and Director of  
The Trachtenberg School of Public Policy  
and Public Administration  
([newcomer@gwu.edu](mailto:newcomer@gwu.edu))**

The Faculty Senate Committee  
on University and Urban Affairs'

**Our Mission is:**

The Committee on University and Urban Affairs helps foster continued good citizenship between The George Washington University and the greater Washington, DC metropolitan area. The University and Urban Affairs Committee serves as an ongoing catalyst for maximum efficiency in this area and prevents the duplication of effort between GW and the community itself. By affirmatively tracking GW's already allocated resources and initiatives, the University and Urban Affairs Committee "paints the big picture" of GW's community relationships and subsequently provides the University with a valuable source of advice on continuous improvement and possible future endeavors.

1. **The UAUA Membership:** The UAUA Committee represents the breadth and strength of the University community, with active faculty, administrators, staff, and student members serving in full member or ex-officio status, from schools and departments across campus. Our membership includes: (asterisks note members of Senate):

\*Chair: Newcomer, Kathryn, Public Policy and Public Administration

\*Jacobson, Leslie, Theatre and Dance

LeLacheur, Susan, Physician Assistant Studies

Wetenhall, Tanya, Theatre and Dance

Non-voting:

Cannaday Saulny, Helen, Associate Vice President, Student and

Academic Support Services

Cohen, Amy, Executive Director, Civic Engagement and Public Service

Demczuk, Bernard, Assistant Vice President for District of Columbia Affairs

Katz, Louis H., Executive Vice President and Treasurer

Konwerski, Peter, Vice Provost and Dean of Student Affairs

McCorvey, Ann, Deputy Executive Vice President and Treasurer

\*Pulcini, Joyce, Nursing, Executive Committee Liaison

Scarboro, Donna, Associate Vice President for International Programs

\*Squires, Gregory, Sociology

Morrison, Emily, Sociology

Houghtby-Haddon, Natalie, College of Professional Studies

2. On October 7, 2015 the Committee met and discussed what we should do that is appropriate for us and is not being done elsewhere in the university. For the 2015-16 academic year the committee decided to repeat our successful events from the 2014-15 academic year. Our **signature initiative** this year has been to focus on publicizing and promoting faculty involvement in District of Columbia, and we chose to focus on faculty involvement in two key areas:

- a. addressing homelessness and
- b. promoting public health among the most needy.

The subcommittee of the Committee focused on Homelessness planned and hosted one event, and due to illness of the leader, the other subcommittee did not host an event this year.

3. Our main event was:

#### **The Homeless Bill of Rights**

A 45-minute performance piece consisting of scenes, monologues, poetry, and songs created and performed by members of the Street Sense Theatre Workshop, “Staging Hope,” under the direction of Professor Leslie Jacobson.

Held on *Monday, November 16, 2015 at 7 p.m. in the Marvin Center Betts Theatre at 800 21<sup>st</sup> Street NW*. There was a reception immediately following the performance for the audience to meet the performers and find out how to become involved in the fight to end homelessness in the DC community.

4. The **Honey Nashman Center for Civic Engagement and Public Service**, especially as represented by Center Director Amy Cohen, worked extremely closely with the Committee to implement our event on November 16<sup>th</sup>.



5. In addition, the committee asked the Chair (Kathy Newcomer) to work with Vice Provost Dianne Martin to get the information that faculty members provide about their community involvement via Lyterati in order to provide a central file on such community engagement. Dr. Newcomer followed through on this and Amy Cohen, obtained the file of these entries from Vice Provost Martin's office. The Nashman Center then provided a stipend to the Geography Department to develop a map of the DC region that shows the many places where GW faculty are involved – like the one that was developed for President Knapp's inauguration. As of this writing, the map -which we are calling the Knapp Map - has not been made available. It is the intent of Dr. Newcomer and Director Cohen that this Knapp Map be made available, ideally in the Marvin Center.