THE GEORGE WASHINGTON UNIVERSITY
Washington, DC

MINUTES OF THE REGULAR FACULTY SENATE MEETING
HELD ON MAY 12, 2017
<u>**AT 1957 E STREET NW/STATE ROOM**</u>

Present: President Knapp, Provost Maltzman, Parliamentarian Charnovitz, and Registrar
            Amundson; Dean Dolling; Executive Committee Chair Marotta-Walters; Professors
            Bukrinsky, Corry, Costello, Esseesy, Griesshammer, Griffin, Gutman, Lipscomb,
            Markus, McDonnell, McHugh, Parsons, Pintz, Price, Roddis, Rohrbeck, Sarkar,
            Schumann, Sidawy, Wallace, Watkins, Wirtz, Zara, and Zeman.

Absent: Deans Akman, Brigety, Eskandarian, Feuer, Goldman, Jeffries, Livingstone, Morant,
            and Vinson; Professors Agnew, Briscoe, Cline, Cordes, Cottrol, Dickinson, Galston,
            Harrington, Khoury, Lewis, Nau, Pelzman, Rehman, Tielsch, and Wilson.

<u>CALL TO ORDER</u>

The meeting was called to order at 2:15 p.m.

<u>APPROVAL OF THE MINUTES</u>

The minutes of the April 7, 2017, Faculty Senate meeting were approved unanimously without
comment.

<u>INTRODUCTION OF NEW SENATE MEMBERS</u>

As President Knapp was delayed arriving at the meeting, Provost Maltzman introduced the new
members of the Faculty Senate (see attached list).

<u>REPORT: GW LIBRARIES AND ACADEMIC INNOVATION: STRATEGIC DIRECTIONS</u>
(University Librarian Geneva Henry)

Dean Geneva Henry spoke from the attached slides, giving the Senate an update on GW Libraries
and Academic Innovation and on the division's strategic directions. Dean Henry noted that her last
update to the Senate was in 2014, at which time she had been with GW less than a year, and that her
vision at that time is not where the division is today. In early 2016, the Provost's office realigned,
resulting in the collection of Academic Technologies (AT), the eDesign shop, the University Teaching
and Learning Center (UTLC), the Center for Undergraduate Fellowships and Research (CUFR),
certain elements of the STEM academy, and GW Libraries into a new division called GW Libraries
and Academic Innovation (GLAI). The new division faced culture changes as previously
independently-working offices became part of a new and larger organization. At the same time,
central budget cuts gave the new organization an opportunity to think about how its various elements
can work together to leverage their respective strengths and work more efficiently together.

The primary theme of GLAI is creating excellent teaching and learning opportunities at GW. The
organizations coming to GLAI brought a variety of teaching and learning support:

- UTLC: providing programs for faculty development
- AT's Instructional Technology Lab (ITL): supporting in-classroom responsive technologies & Blackboard
- eDesign: working with faculty to create effective online courses
- STEM Academy: supporting Learning Assistants (LAs) in courses
- CUFR: aligning students with faculty research as interests arise
- Libraries: embedding librarians in courses to support research activities

These various efforts now need to be blended to create a strong organization in support of teaching and learning. To this end, several initiatives are underway. First, the division is recruiting a new Associate Dean for Innovative Teaching and Learning who will unify and lead the UTLC, ITL, eDesign, and the StemWorks quantitative reasoning lab, which will act as a support mechanism for LAs already part of the STEM Academy initiative as well as for non-STEM faculty teaching quantitative concepts.

The division is also focusing on increasing opportunities for pedagogically sound faculty development. The Course Design Institute—a weeklong immersive program offered right after commencement-- will be offered for the third time this year; applications for this program have risen significantly year over year. To be effective, course enrollment is capped, and only about half the current number of applicants can be accommodated. Dean Henry noted that her office is looking at how this can be scaled up to include all who wish to participate, including smaller modules that can be offered year-round.

GLAI has also set up a faculty lounge for sharing teaching approaches and helping to build community, a need that Dean Henry noted many faculty have expressed to her over the past year. The new lounge is in the lower level of the Gelman Library, where the ITL was previously located. The space has been converted for faculty use, and collaboration is encouraged. Snacks and coffee are available, and faculty are encouraged to schedule brown bag sessions to talk about techniques and resources for classroom use. Patty Dineen, the UTLC Director, will be scheduling workshops as well. In addition, the division is working with the schools to discuss enhanced teaching and learning support at the school level.

There are new programs based on research in teaching and learning, including the Transparency Project from a UNLV researcher who has done work on retention and some of the issues that students have in courses when they are not successful. One finding is that students often simply don't understand the assignments they have been given. The Transparency Project includes peer evaluation of assignments before they are given to students to ensure clarity of what's expected.

GLAI is also developing a program for how to teach online, which goes beyond how to use the technology platforms. One committee member noted that this is a course about how to teach, not just how to teach online. Excellent teaching permeates all modes of teaching, but ensuring that pedagogical soundness is present is the primary focus.

Dean Henry noted that the division is also working on issues of retention and diversity, collaborating with Laurie Kohler's and Caroline Laguerre-Brown's offices on how efforts in teaching and learning as well as training and development can incorporate elements related to retention and diversity and inclusion so that separate training sessions aren't required.

A new Faculty Advisory and Support Team (FAST) has been formed to advise on issues related to teaching and learning across the Provost units. As issues are identified related to teaching, learning, retention, and diversity—all of which lead into the classroom experience—FAST will be able to work with faculty on the various issues they are experiencing.

In addition to the initiatives noted above, other efforts related to retention include looking at open education resources to provide textbook cost relief for students as well as textbook lending programs. Faculty are also working on improving retention; Irene Foster in Economics has pioneered support for students in Econ 101 by offering an alternative course for students who might need more support with mathematical skills. Throughout these efforts, diversity and inclusion training needs to be incorporated in teaching and learning; Patty Dineen is working with Caroline Laguerre-Brown on how to bring this type of training to the faculty.

AT plays a key role in the implementation of all these initiatives. Classroom technology is constantly being upgraded; this process involves a lot of work and decisionmaking within a very tight budget. A close connection with the pedagogical side of things helps inform AT on what technology will be the most effective use of GW's resources. AT works closely with the Registrar's office to ensure the right classes are scheduled in the classrooms that best fit their technological needs. Over the past three years, AT has upgraded 220 spaces to support teaching and learning needs. Beyond placing equipment, AT trains faculty on technology use and has a team on call to respond quickly to any issues with technology in the classroom.

Dean Henry turned to a discussion of GW's online programs next, noting that the Senate formed a joint task force this year to look at online and off-campus programs. She encouraged the Senate to read that task force's report, which includes more detail than is included in this presentation. GW has about 70 programs offering Bachelor's degrees and above (about 10 at the baccalaureate, 46 at the master's, and 14 at the doctoral levels). In addition, GW offers 31 certificate programs, one specialist program, and two associate's degree programs online.

One key requirement for GW's online program reach is state authorization; GW must be authorized to offer courses in each state where a student will enroll. GW is already authorized in the District and Virginia as it has physical campuses there. Until recently, GW had to go to each state with an enrolled student and work with that state's certifying authority to obtain permission to offer courses. Requirements vary by state. In September 2016, however, GW joined the National Council for State Authorization Reciprocity Agreements (SARA), which gives mutual recognition of 47 states for member institutions. Only Florida, Massachusetts, and California are not yet part of SARA; Florida and Massachusetts are in the process of joining now. This is financially beneficial for GW, as there is one common fee paid as a member of SARA. Prior to SARA, each state had its own fee structure, some requiring authorization (and payment) per program, not just per institution.

Online enrollment has been steadily increasing over the past several years. This does not mean that students are all enrolled in fully online programs, but more and more courses are being offered online. Therefore, the quality of online course offerings is an extremely important issue; quality must be consistent whether a program is face-to-face, hybrid, or fully online.

Third-party vendors for online course development are being phased out (with some exceptions, for example Public Health's ongoing agreement with 2U). In-house course development is now the first choice for online course development. Scalability is being achieved through central support and

support within the schools. Some schools are ramping up, while others have had strong online course development groups for some time. In all these efforts, GLAI is ensuring coordination of effort; instructional designers from across the campus meet with each other and with the eDesign group and use the common Blackboard platform. The GW Online Committee is meeting regularly and is working to coordinate activities and adopt common standards for GW's online courses.

Dean Henry next turned her discussion to the libraries, noting that one of the biggest challenges the library system at GW faces is in the area of collections. There is exorbitant inflation among the journals, particularly the scientific journals. The average inflation rate annually is about 7%, and the libraries' collections budget has been flat since 2004. In FY2015, the libraries received a one-time increase of $300,000, but it is not subject to inflation adjustments. GW's average ten-year inflation for journals has been 138%, which has meant that the libraries have had to make cuts to subscriptions year after year. Despite these unpopular and unwelcome cuts, however, the libraries have worked hard to obtain what faculty need. GW is a member of the Washington Research Libraries Consortium (WRLC), which is made up of nine DC-area universities and has 12 million items with full reciprocal borrowing privileges for books.

Journals are more difficult at the WRLC level because of licensing restrictions specific to the institution level. GW makes data-driven decisions about collections expenditures, looking not just at usage but also at research impact and equity across schools. The WRLC institutions are all assessing where there are duplications that can be leveraged by the consortium. Some joint licensing options are available; the WRLC has a joint license with JStor for e-books.

In February 2015, the Senate passed an open access resolution. There is an institutional repository (https://scholarspace.library.gwu.edu) where faculty publications can reside. In addition, the Open Education Resources team is working with faculty to discuss the feasibility of adopting either an open education textbook or alternative materials that could substitute for a textbook, both of which would lower the cost burden for students. One barrier to faculty who would otherwise adopt an open textbook is that publishers will often include supplemental materials hand-in-hand with a purchased textbook that faculty find essential.

Dean Henry next spoke of the Center for Undergraduate Fellowships and Research (CUFR). CUFR encourages undergraduate participation in GW's Research Days, which has been steadily increasing over the past several years. CUFR also works with approximately 450 applicants each year for nationally competitive fellowship programs. Approximately 130 students each year are recipients of these awards, and GW has been recognized as a top-producing Fulbright institution since 2009.

In summary, Dean Henry noted that GLAI is positioned to provide GW students with excellent and unparalleled student academic experiences. Support now exists for faculty development and teaching approaches are grounded in learning sciences; high quality course materials regardless of the mode of teaching; state-of-the-art classrooms that meet faculty and student needs; and support for writing and quantitative reasoning to ensure success in the classroom. GLAI is continuing to provide research support for faculty and students by providing access to resources needed to support research; ensuring students have the opportunity to engage with faculty on research; and providing fellowships to students.

Professor Parsons asked whether, due to a flat budget, services at the libraries have been impacted and whether students are faculty are less well served due to funding limitations. He noted that a study

within the Senate's Fiscal Planning & Budget committee considered linking the libraries' budget allocation to inflation but that a counterargument was made that there are clever ways of providing the same level of service more inexpensively. As this study predated Dean Henry's arrival at GW, Professor Parsons wondered what her instincts were on this question. Dean Henry responded that the goal is always to have no perceived degradation of service. With each budget cut and realignment, the libraries have made intelligent decisions about working differently in the face of reduced resources. She noted that the libraries are extremely lean and are focused on how to leverage resources across the library units as opposed to within individual units so that they are able to support each other.

Professor Price asked about the Faculty Advisory Committee—specifically, what kind of representation it has, what issues it deals with, and how it interfaces with Senate committees (such as Educational Policy). Dean Henry noted that the committee is still quite new and asked Patty Dinneen, the Director of the University Teaching and Learning Center, to speak to the committee's composition. Ms. Dinneen noted that, with the exception of the medical and possibly the law school, all schools now have representation on the committee. Dean Henry added that this is an intentionally lightweight and flexible core group that will bring in additional expertise on an as-needed basis. There are currently no formal relationships with Educational Policy or other Senate committees, but this would be welcome; Professor Wirtz noted that the Educational Policy committee would also welcome this collaboration.

Professor Griesshammer followed up the previous question, suggesting that there should be an understanding that, when committees of this nature are established, there should be outreach to the Senate and its committees. The Senate's committees are the structure the faculty itself devised in order to share governance. He noted that he is not generally in favor of ad hoc committees that have a more cherry-picked feel to their membership. He asked when this committee was established, and Ms. Henry noted that its setup is still in process. Ms. Dinneen confirmed that responses to the invitations to serve have been received. Professor Griesshammer noted his concern that the structure of the new committee may not suit the division's needs very well, as the committee would be making recommendations outside of the university's shared governance structure. Such recommendations would carry more weight if faculty members on the committee would be perceived generally as representing faculty interest. That is only ensured if the structures of faculty governance are consulted and represented.

Professor Griesshammer then asked about the amount of the annual budget for the libraries; Ms. Henry responded that the collections budget is just under $5 million. Professor Griesshammer calculated that this budget being flat since 2004 would actually translate to a 20% decrease in budget when accounting for inflation before the annual 3-5% cuts are taken into account. Ms. Henry clarified that, per the Provost's office, the collections portion of the libraries budget is exempt from annual budget reductions. Professor Griesshammer indicated that without that important exemption, the decrease in spending authority then rises to close to 40%. He expressed his concern that the true impact of this decrease on collections won't be immediately evident. It is always possible to cut a little bit year over year, but in ten years' time, the libraries' collections will be much more evidently weak. Ms. Henry expressed her strong agreement with this assessment, noting that she requests an addition to the collections budget annually but does not receive it. She noted that her larger frustration is with the publishers, as institutions are at the mercy of their price setting policies. The same person who has been looking at online compliance issues is also now looking at publishers' contracts with GW, one by one, with the goal of taking out terms that are inconsistent with GW's policies, negotiating better

rates, and working with area research libraries while stopping short of a line where the university could be accused of collusion.

Professor Wirtz stated that, as he understands, GW is in the process or has already developed a prototype agreement between the university and the faculty member in terms of compensation, intellectual property rights, and other material matters for online courses. He asked first whether this understanding is correct, and second whether Dean Henry could review the process of faculty participation in the development of these agreements. Dean Henry confirmed that there is a template, the development of which followed online education coming into her portfolio last year. Previously, agreements between the university and individual faculty members were very inconsistent in their scope. Some of the challenges associated with this were related to copyright issues. Existing agreements were that the faculty member writes the course, and GW has no rights beyond an ongoing license to the course materials. Each course that was written, however, then had its own complicated negotiation process. The eDesign shop would be executing the technical development of the course, but there would be no attendant GW rights on the course; everything reverted to the faculty member. An initial template was developed to find a happy medium so that GW can reserve rights for what it creates with its resources. This template was taken to the schools for their review, where further complications arose from existing school policies that differed widely from the new template. There is still discussion happening about how a common policy might be implemented as opposed to a course-by-course policy.

Professor Wirtz asked and Dean Henry confirmed that the school contacts for these discussions were made through the deans' and associate deans' offices. Professor Wirtz wondered about the extent to which the faculty are also engaged in this process. The deans and associate deans, he noted, have a certain responsibility to the university, which should be represented, but the faculty should also be represented in these discussions. Dean Henry responded that at least one school (SEAS) sent the template out to faculty for feedback but that not every school has requested feedback in this manner, or at all.

Provost Maltzman clarified that GW's default policy is that the faculty member owns the copyright to a developed course. However, when a faculty member is compensated to put together an online course and when the school invests a substantial amount in course development, a school can offer a different copyright arrangement, and the faculty member has the option to accept it. When this has occurred, historically many faculty members would then request additional provisions in their agreements, resulting in an unmanageable breadth of agreements. Some schools have moved to a more consolidated model, and the goal would be a common model for these agreements.

Professor Markus referenced the Elsevier Science collection of journals, which is widely perceived to be the most expensive of the journal publishers. She noted that Elsevier publishes Women's Health Issues, which is the only peer-reviewed scientific journal in the School of Public Health, and asked that the editorial office and the Department of Health Policy and Management be consulted before decisions are made about continuing these collections. Dean Henry noted that Elsevier journals became unaffordable for GW a long time ago. GW struck a deal with Elsevier whereby articles are purchased on an article-by-article basis rather than via a bundled subscription (which includes a large number of journals the institution doesn't actually want).

Professor Zara noted that he has been serving on the Online Certifications Committee across campus and that his understanding was that if an out-of-state student registering for an online course would

not be a problem; the issue of compliance would arise if a professor met with a student in person in that state. Dean Henry noted that this is true for many states but that the rules do vary by state. Now that GW is covered by SARA, this is broadly the case; if GW triggers a physical presence, then GW would need to enter negotiations with that state outside of SARA. For states not participating in SARA, authorization still has to be obtained to operate in that state.

Professor Rohrbeck asked whether there is a plan to increase the number of course capture classrooms, nothing that her department frequently has trouble getting the ones they require for their courses. Dean Henry asked Senior Associate Dean for GW Libraries and Academic Innovation PB Garrett to respond to this question. Ms. Garrett noted that lecture capture is now available in 32 classrooms and that there is not currently a plan to increase that number via the further installation of cameras and audio systems. However, a new license with Echo 360 (a software vendor for a cloud-based system) does bring "personal capture" capabilities to classrooms in that faculty members can install the software and provide this interaction themselves.

Provost Maltzman noted that tremendous investments have been made in classroom technology. He noted that Dean Henry has had great help from her team—particularly Academic Technologies—in working to ensure that virtually all GW's classrooms have some sort of basic academic technologies available. He noted that about 40 rooms have been added in the past three years, and all the classrooms in 1776 G Street opening this fall will have technology.

The Provost further noted Dean Henry's numbers on online course enrollment, particularly the fact that 5700 students, or 20% of the student body, are now taking a course online. He reported that the feedback he is receiving from faculty about working with the instructional designers through the eDesign shop and Ms. Garrett's efforts there has been very positive. The work products from that shop are state of the art and include working with faculty to film courses.

He finally noted that the journals are indeed a real struggle for university libraries and that he frequently has conversations with other provosts about rising collections costs and what might be done to address them. The hope is that more open access will become the norm, but smarter decisions are also important. Himmelfarb and Gelman now coordinate closely with each other as well as with the WRLC in purchasing materials. The goal is to make sure that faculty and students have access to materials. This will sometimes mean crossing 23rd Street, using interlibrary loan, or purchasing individual articles. He noted that Dean Henry is making sure that this process is driven by data allowing the university to see what people are using, how often they are using it, and which is the most economical way of making sure that needed materials get into people's hands.

INTRODUCTION OF RESOLUTIONS

None.

GENERAL BUSINESS

     I.   Nominations for election of new members to Senate Standing Committees: None.

    II.   Approval of the 2017-2018 Senate Calendar:

The Senate unanimously approved the attached 2017-2018 Faculty Senate calendar, which is now available on the Senate website.

III. Reports of Senate Standing Committees:
Annual reports from the Educational Policy, Professional Ethics and Academic Freedom, and Research Committees are attached to these minutes.

IV. Report of the Executive Committee: Professor Sylvia Marotta-Walters, Chair:
Please see the attached report of the Executive Committee presented by Professor Marotta-Walters. Professor Marotta-Walters highlighted the following pieces of her report:
- There is continuing work going on with the by-laws to bring them into accordance with the 2015 Faculty Code changes. To date, the School of Medicine and Health Sciences by-laws have been approved. Columbian College has submitted a draft to the Provost. The Executive Committee is working with the Provost to review these by-laws and move them forward to a fall approval.
- There is a task force working on the decanal review process. A questionnaire has been developed for faculty input into that process in accordance with the Faculty Code. There is also a movement to include questionnaires for staff, students, and alumni.
- Professor Marotta-Walters will meet with the Academic Affairs Committee of the Board of Trustees to update them on the events of this past year. The following week, the Executive Committee will meet with the incoming president.
- In closing, Professor Marotta-Walters noted that she has enjoyed working with President Knapp very much and wishes him well.

V. Provost's Remarks:
- The Provost thanked everyone who helped with the admitted student days held on campus in April. He noted that deposits are currently running about 40 ahead of this time last year and that graduate enrollment is looking very strong at this point, as well.
- Dean Livingstone will be leaving the GW School of Business (GWSB) to assume the presidency at Baylor University. The Provost met with the deans and department chairs in GWSB and has named Associate Dean Vivek Choudhury as Interim Dean.
- GW's commencement will be held on Sunday, May 21st, on the National Mall. He urged faculty to attend, noting that faculty presence illustrates the university's concern and joy for graduating students.

VI. President's Remarks:
President Knapp reinforced the Provost's invitation to commencement. He noted that there will be three honorees at commencement this year. Senator Tammy Duckworth is a highly decorated veteran, U.S. Senator, and GW alumnus. She has a master's degree from GW and served for a time in the Veterans Administration, where she was a champion of veterans' interests. In 2009, she received a Colin Powell Service Award

from GW, and she was on campus that spring to participating in the launch of GW's Yellow Ribbon Program for veterans, which now supports 1700 students. General Nadja West is the highest-ranking woman ever to graduate from the U.S. Military Academy. She is a surgeon general of the Army and has a medical degree from GW. She will be speaking at the SMHS formal ceremony on Sunday morning and will be honored on the Mall. Finally, Marty Barron, the editor of the Washington Post (and formerly of the Boston Globe), will be honored at a time when university support of the free press is especially important.

The President noted that he speaks to a lot of students this time of year and that they tell him their great experience at GW is because of the faculty. He encouraged faculty to attend commencement as their presence is valued very highly by students.

BRIEF STATEMENTS AND QUESTIONS

Professor Parsons made a public appeal for more resources to be devoted to remedial mathematics. As he has noted in previous meetings, the Economics Department identified a range of student mathematical skills leading to failure and dropout. To move the students out of this danger zone, the department set up an elaborate system of three levels of placement tests with training in between as well as an online review of material. The department also put in place a remedial course for those who were still unable to attain this lower bound on probable success. The course offers these students a mix of math and economics in the hope that the subject matter will improve skills. It seems to be working.

However, Professor Parsons noted that the department was overwhelmed by the introduction of students without SAT scores. Of the 1100 freshmen taking introductory economics in the fall, approximately 200 entered the University without SAT scores. Overall, about 10-15% of entering students require remediation via the department's course, but among non-SAT students, about 50% did not pass the placement tests, resulting in a doubling of students in the remediation course. The department does not have the resources to support these numbers and has also discovered that it is not capable of teaching these students. Typically, graduate students would do this, but they are mathematically over-trained and often not able to identify where these first-year students are and what they need.

Professor Parsons closed by suggesting that there is a need for a university-wide concern about how this issue is handled. At one level, he is very comfortable with the idea of increased diversity, and the hope that GW is enrolling intrinsically bright students who will benefit greatly from a GW education. But they may not prosper without increased intervention as many have had inadequate math training prior to arriving on campus.

Provost Maltzman concurred that there is a group of students at GW who are challenged in math and require more assistance, in much the same way that the writing program addressed a deficit when it was established several years ago. He noted that the STEMworks Center in the library will function as a quantitative assistance area. In addition, beginning this summer, the Provost's office is funding a math placement exam that virtually all students will be taking. Students will take the exam in the summer, prior to enrollment, so that they will be placed correctly when they sign up for classes. The Economics and Math departments plan to utilize this exam as part of their placement process. The exam has two pieces to it: one is a basic math exam; the other is a tutorial program that gives students

the option of taking the exam three times with tutorials prompted by performance on the first and second rounds of the exam. This program was developed after talking with other universities who utilize the same product. Assessment of this new program will be ongoing to ensure that it is meeting the needs of students and faculty.

President Knapp endorsed the general concern Professor Parsons raised. He noted that as GW tries to engage a larger number of students from lower-income backgrounds in schools with more limited programming resources, the university will need to find new ways of assisting students who have gaps in their general knowledge background. He noted that he met this week with the new chancellor of the DC Public Schools (DCPS) about ways in which GW can help with college preparedness. Some of this work is being done already, but GW is trying to see if the resources of the entire consortium of 17 universities can be brought to bear on this project. He relayed an anecdote that nearly 100% of incoming 9th graders in DCPS say they want to go to college, and yet only about 22% end up actually going to college. The ones that do attend college drop out at an alarmingly high rate (over 50%). President Obama's 2014 summit on Access to Success focused on increased access to quality education, and President Knapp noted that GW needs to continue to do more in this area—from assisting first-time college families with financial aid applications to ensuring students have the tools they need to succeed when they arrive on campus.

ADJOURNMENT

The meeting was adjourned at 3:34 pm.

New Senate Members
May 2017

CCAS
Esseesy, Mohssen
Lipscomb, Diana
Wallace, Tara

ESIA
Pelzman, Joseph

GSEHD
Marotta-Walters, Sylvia
(new Executive Committee Chair)

LAW
Dickinson, Laura
Gutman, Jeff

SEAS
Zara, Jason

SMHS
Bukrinsky, Michael

SON
Schumann, Mary Jean

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GW LIBRARIES AND ACADEMIC INNOVATION: STRATEGIC DIRECTIONS

Geneva Henry
Dean of Libraries and Academic Innovation

May 12, 2017

THE GEORGE WASHINGTON UNIVERSITY

GW LIBRARIES & ACADEMIC INNOVATION OVERVIEW

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PRESENTATION SUMMARY

- Organizational Overview

- Teaching and Learning Support

- Online Programs overview

- Collections status and Open Access

- Undergraduate Fellowships and Research

- Discussion

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ORGANIZATIONAL OVERVIEW
REALIGNMENT IN 2016

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‣ Academic Technologies (AT), eDesign, University Teaching and Learning Center (UTLC), Center for Undergraduate Fellowships and Research (CUFR), and elements of STEM Academy combined with GW Libraries in early 2016

‣ New name: GW Libraries and Academic Innovation

‣ Cultural changes and budget reductions shaping strategies for how we work without impacting faculty or students

‣ Common focus is on excellence in teaching and learning
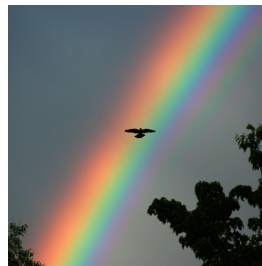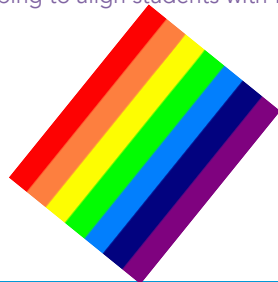
3 GW Libraries and Academic Innovation   THE GEORGE WASHINGTON UNIVERSITY

TEACHING AND LEARNING SUPPORT
LEVERAGING SKILLS OF ALL UNITS

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‣ UTLC providing programs for faculty development
‣ AT's Instructional Technology Lab (ITL) support use of responsive technologies in the classroom and Blackboard
‣ eDesign working with faculty to create effective online courses
‣ STEM Academy supporting Learning Assistants (LAs) in courses
‣ Librarians embedded in courses to support research activities
‣ CUFR helping to align students with faculty research as interest arises.

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TEACHING AND LEARNING SUPPORT

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CREATING NEW UNIT FOCUSED ON TEACHING & LEARNING

▸ New Associate Dean for Innovative Teaching and Learning
   ▸ University Teaching and Learning Center
   ▸ Instructional Technology Lab
   ▸ eDesign Shop
   ▸ STEMWorks quantitative reasoning lab

▸ Increase pedagogically sound faculty development opportunities
   ▸ Course Design Institute
   ▸ Faculty lounge for sharing teaching approaches and building community
   ▸ New programs based on research in teaching and learning (e.g. transparency project, ongoing workshops for teaching & learning)
   ▸ Program for how to teach online
      "This course isn't just about how to teach online, it's about how to teach!" - comment from online committee member

5 GW Libraries and Academic Innovation

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TEACHING AND LEARNING SUPPORT

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FOCUS ON RETENTION

▸ Collaborating with Enrollment & Retention and Diversity, Equity & Community Engagement offices

▸ New Faculty Advisory and Support Team (FAST) to advise on issues related to teaching and learning across provost units

▸ Innovative programs to help improve retention
   ▸ STEMworks lab to help with tutoring and support for quantitative concepts
   ▸ Transparency project
   ▸ Initiative to adopt open educational resources to relieve cost burden for students
   ▸ Faculty innovations to improve retention

▸ Incorporate diversity & inclusion training in course design curriculum

6 GW Libraries and Academic Innovation

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ACADEMIC TECHNOLOGIES
PROVIDING INFORMED SUPPORT FOR CLASSROOMS

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▸ Classroom, residence halls and academic meeting space AV support
  ▸ 220 spaces upgraded with AV equipment during past 3 years to support teaching and learning needs
  ▸ Training to ensure faculty know how to use the technology
  ▸ Rapid response from AT technicians to classroom technology support issues

Number of Trainings per Month

Immediate Incidents by Month
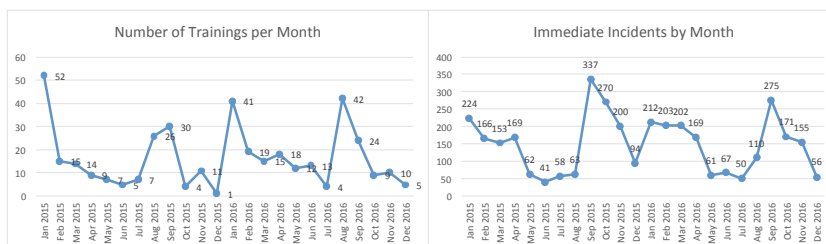
7 GW Libraries and Academic Innovation

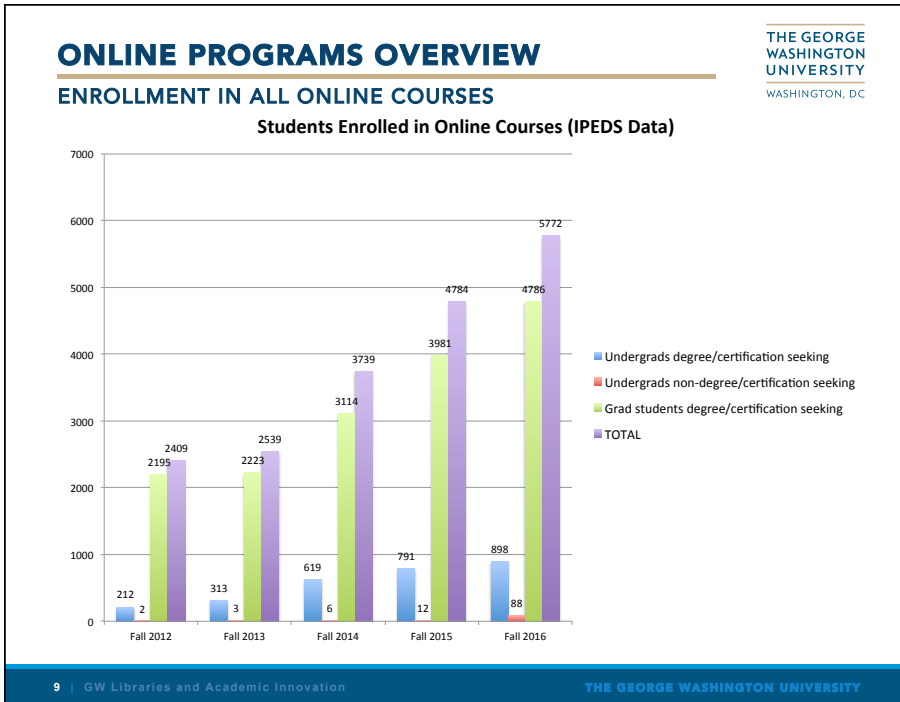THE GEORGE WASHINGTON UNIVERSITY

ONLINE PROGRAMS OVERVIEW
BASICS OF ONLINE AT GW

THE GEORGE
WASHINGTON
UNIVERSITY
WASHINGTON, DC

▸ Faculty Senate Joint Task Force report for online and off campus programs

▸ Approximately 70 programs offering degrees of Bachelors and above
  ▸ a. 10 baccalaureate degree programs offered online to about 381 students
  ▸ b. 46 Masters programs offered online to about 3,639 students
  ▸ c. 14 doctoral programs offered online to about 271 students
▸ 31 certificates, one specialist
▸ 2 associate degree programs online

▸ GW must be authorized to offer courses in states outside of DC and Virginia

▸ DC joined the National Council for State Authorization Reciprocity Agreements (SARA) in September 2016

8 GW Libraries and Academic Innovation

THE GEORGE WASHINGTON UNIVERSITY

ONLINE PROGRAMS OVERVIEW
ENROLLMENT IN ALL ONLINE COURSES

Students Enrolled in Online Courses (IPEDS Data)

9 | GW Libraries and Academic Innovation — THE GEORGE WASHINGTON UNIVERSITY

ONLINE STUDENT ENROLLMENT
STUDENT ENROLLMENT TRENDS

Students Enrolled in Online Programs by Degree Level							
Term	Associate Degree	Baccalaureate Degree	Doctoral Degree - Practice	Doctoral Degree - Research	Masters Degree	Postbaccalaureate Certificate	Grand Total
2014 Spring	93	63			331	87	574
2014 Summer	98	96	4		533	120	851
2014 Fall	95	188	67		1075	235	1660
2015 Spring	96	224	60		1461	251	2092
2015 Summer	95	203	58		1548	188	2092
2015 Fall	102	308	135		2476	307	3328
2016 Spring	133	312	180	8	2820	299	3752
2016 Summer	148	263	156	7	2801	280	3655
2016 Fall	129	389	237	7	3456	361	4579
2017 Spring	145	381	265	6	3639	360	4796

10 | GW Libraries and Academic Innovation — THE GEORGE WASHINGTON UNIVERSITY

ONLINE PROGRAMS OVERVIEW

COURSE DEVELOPMENT APPROACHES AND CONSISTENCY

THE GEORGE
WASHINGTON
UNIVERSITY
WASHINGTON, DC

▸ Phasing out 3rd party vendor course development (with some exceptions) and moving to in-house course development

▸ Scalability achieved through central support + support in Schools

▸ Common platform for all in-house courses – Blackboard LMS

▸ Coordination among instructional designers and eDesign Shop

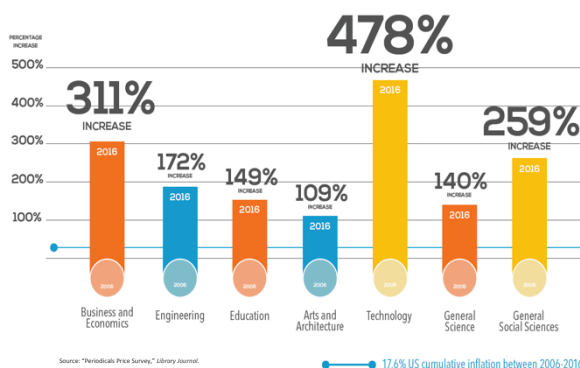▸ GW Online Committee meets regularly and is functioning to coordinate activities and adopt common standards.

11 | GW Libraries and Academic Innovation   THE GEORGE WASHINGTON UNIVERSITY

LIBRARY COLLECTIONS & OPEN ACCESS

FISCAL CHALLENGES

THE GEORGE
WASHINGTON
UNIVERSITY
WASHINGTON, DC

10-year inflation for academic journals by subject area, 2006-2016

Average 10-year inflation for journals held by GW Libraries
138%

478% INCREASE

311% INCREASE

259% INCREASE

172% INCREASE

149% INCREASE

109% INCREASE

140% INCREASE

Business and Economics — Engineering — Education — Arts and Architecture — Technology — General Science — General Social Sciences

Source: "Periodicals Price Survey," Library Journal.

17.6% US cumulative inflation between 2006-2016

12 GW Libraries and Academic Innovation   THE GEORGE WASHINGTON UNIVERSITY

LIBRARY COLLECTIONS & OPEN ACCESS

LEVERAGING SHARED ACCESS

‣ The combined collections of The Washington Research Library Consortium total **more than 12 million items**.
‣ Making data-driven collections expenditure decisions and eliminating duplication of holdings across WRLC institutions
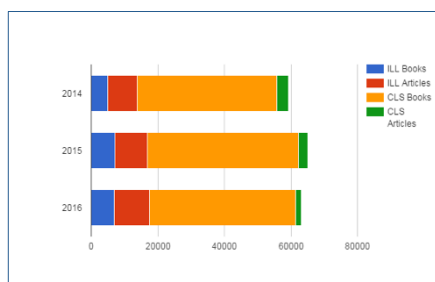
Books & articles borrowed from the Consortium & beyond, 2014-2016

JSTOR ebooks

● 11,965 unique titles from major university & academic presses

● 46,113 downloads by GW users since August 2015

● Average cost: **$1.77** / download

LIBRARY COLLECTIONS & OPEN ACCESS

OPEN ACCESS

‣ Faculty Senate open access resolution passed in February 2015
  ‣ Institutional repository established for scholarly publications:
  https://scholarspace.library.gwu.edu

‣ Open Education Resources team working with faculty to adopt Open textbooks
  ‣ High cost of textbooks identified by students as a barrier to courses
  ‣ Working with students to create a textbook loan program that would prioritize lending based on student need
  ‣ Supplemental/ancillary materials provided by publishers is a significant barrier to faculty adopting open textbook alternatives

UNDERGRADUATE FELLOWSHIPS AND RESEARCH

IGNITING THE FLAME WHEN THERE'S A SPARK

THE GEORGE
WASHINGTON
UNIVERSITY
WASHINGTON, DC

▸ Undergraduate participation in Research Days has steadily increased
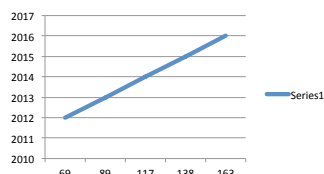
▸ CUFR works with approximately **450 applicants each year** for nationally competitive fellowship programs
  ▸ Approximately **130 students each year** are recipients of nationally competitive awards
  ▸ GW has been recognized as a "Top-Producing Fulbright Institution" since 2009

15 GW Libraries and Academic Innovation

THE GEORGE WASHINGTON UNIVERSITY

GW LIBRARIES & ACADEMIC INNOVATION

SUMMARY

THE GEORGE
WASHINGTON
UNIVERSITY
WASHINGTON, DC

▸ We are positioned to provide GW students with a truly excellent student academic experience that is unparalleled
  ▸ Support for faculty development in teaching approaches that are grounded in learning science
  ▸ High quality course materials, regardless of mode of teaching
  ▸ State of the art classrooms that meet faculty and student needs
  ▸ Support for writing and quantitative reasoning to ensure success in the classroom

▸ Research support for faculty and for students
  ▸ Access to needed resources to support research
  ▸ Opportunities for students to engage in research with faculty when their interest is sparked
  ▸ Fellowship opportunities for becoming global citizens and leaders

16 GW Libraries and Academic Innovation

THE GEORGE WASHINGTON UNIVERSITY

FACULTY SENATE CALENDAR
2017-2018 Academic Year

EXECUTIVE COMMITTEE MEETINGS
Begin at noon ~ Executive
Committee Members Only
Held in LAW E412

August 25, 2017

September 22, 2017

October 27, 2017

November 17, 2017

December 15, 2017

January 26, 2018

February 23, 2018

March 23, 2018

April 27, 2018*

FACULTY SENATE MEETINGS
Begin at 2:10pm ~ Held in 1957 E
Street/State Room (7th floor)

May 12, 2017

September 8, 2017

October 13, 2017

November 10, 2017

December 8, 2017

January 12, 2018

February 9, 2018

March 2, 2018

April 13, 2018

May 11, 2018**

*Joint meeting of the old and new Executive Committees
**First meeting of the 2018-2019 Academic Year session

The 2017 Faculty Assembly will be held on October 24, 2017 at 4pm in the Jack Morton Auditorium at 805 21st Street NW (School of Media & Public Affairs Building).

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.

Faculty Senate Committee on Educational Policy
2016-2017 Academic Year

The Educational Policy Committee met on September 16, 2016; October 14, 2016; November 11, 2016; December 9, 2016; January 13, 2017; February 10, 2017; and April 14, 2017.

1. **FACE TIME/CREDIT HOUR POLICY**

    At the request of Deputy Provost Terry Murphy, the Committee discussed the proposed Face Time/Credit Hour Policy necessitated by the upcoming Middle States Accreditation Review and the Department of Education regulation. After a robust discussion, the Committee concurred with the general approach being recommended by the Provost's Office (specifically, the inclusion in all course syllabi of the specific face time and outside-class time expectations in compliance with Department of Education standards), and offered several suggestions about implementation.

2. **FIRST-YEAR ACADEMIC FORGIVENESS POLICY**

    In conjunction with the GW Student Association, the Committee developed and forwarded Senate Resolution 17/2 to provide freshmen and first-year transfer students carefully-circumscribed forgiveness for a single course in which the grade earned was D+ or lower. This resolution was subsequently unanimously passed by the Faculty Senate, which asked that the policy be reviewed after three years to see how it was being used. The Committee wishes to express its deep appreciation to the Subcommittee which performed the "heavy lifting" in developing this Resolution: Beth Amundson, Cheryl Beil, Thomas Falcigno, Randi Kristensen, Robert Phillips, and Oliver Street, in conjunction with University Editor Gina Harris.

3. **MEETING WITH CIO STEINOUR AND AVP ROLJEVIC**

    The Committee met with Chief Information Officer David Steinour and Associate Vice President Jelena Roljevic regarding several issues regarding information policy. Concerns were expressed by the Committee about the impact of possible Banner changes (such as a rollback in Banner "mods") on faculty members' ability to adequately execute their responsibilities. Mr. Steinour noted that a major rollback in Banner mods was not imminent, and suggested that as the release of Banner XE is approaching, this may be a good time to have a conversation about switching to another system (although administrative discussions were still in the early stages). The Committee also expressed the view that Blackboard needed to be fully funded, which Mr. Steinour acknowledged.

4. **DISCUSSION WITH PROFESSOR SIMHA**

    The Committee met with Professor Rahul Simha, the faculty lead from the Teaching and Learning Center, who presented the criteria for excellence in teaching and how this relates to guidelines in promotions. He noted that the wording in this area of the code was unclear and is open to interpretation with regard to what constitutes excellence in teaching and how professors are promoted based on these criteria. After an extensive discussion, the Committee agreed that the issue should be raised with Committee on Professional Ethics and Academic Freedom, which is responsible for overseeing the faculty code.

5. **STUDENT RETENTION POLICY**

    The Committee met with Senior Associate Vice Provost Koehler and Office of Enrollment Retention Director Oliver Street 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.

6. **POLICY ON ONLINE COURSE AND PROGRAM CURRICULAR STANDARDS**

    The Committee received and reviewed the Final Report of the joint Educational Policy-PEAF Task Force, created to look into the extent to which current policies regarding curricular standards are adequate to ensure academic quality control of online courses. Representatives from the Educational Policy Committee included: Cheryl Beil, Rene van Dorp[1], Zhiyong Han, Candice Johnson, and Lilien Robinson. The Committee felt that more contextualization was needed, and that a discussion with Chairperson Darr (who was unable to attend this meeting) would be helpful. Professor Darr has been invited to attend the next meeting of the Committee.

7. **DISCUSSION WITH PROVOST MALTZMAN**

    The Committee discussed with Provost Maltzman a wide range of issues, including (among many others) the Academic Forgiveness Policy, legacy policies which may be operating to the detriment of GW students, the impact of the Unified Budget on cross-school graduate enrollments, the re-alignment of the Faculty Learning Community, the relative importance accorded to the University's educational mission, and the relationship between online and on-campus teaching.

Respectfully Submitted,   Philip W. Wirtz, Chair

Scott Beveridge, Counseling	Andrew Smith, Classics
Geoffrey Carter, English	Johan René van Dorp, Engineering Management and Systems Engineering
Thomas Falcigno, GW Student Association	Philip Wirtz, Decision Sciences
Zhiyong Han, Biochemistry	Anthony Yezer, Economics
Rick Jakemon, Educational Leadership	
Candice Johnson, MISPH (Online Learning)	*Ex-Officio:*
Randi Kristensen, University Writing Program	Elizabeth Amundson, Registrar
Michelle McGarry, SMHS	Cheryl Beil, Associate Provost
Keith Mortman, Surgery	Michael Feuer, GSEHD Dean
Robert Phillips, Economics	Peter Konwerski, Vice Provost
Lilien Robinson, Fine Arts and Art History	Forrest Maltzman, Provost
Mary Jean Schumann, Nursing	Marie Price, Geography (Executive Committee Liaison)
Ormond Seavey, English	Dan Small, Student Financial Assistance
Megan Siczek, English for Academic Purposes	Oliver Street, Enrollment Retention

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[1] AY 2015-2016

ANNUAL REPORT OF THE FACULTY SENATE COMMITTEE ON
PROFESSIONAL ETHICS AND ACADEMIC FREEDOM
2016-2017

The Faculty Senate Committee on Professional Ethics and Academic Freedom ("PEAF") held four meetings and also conducted extensive discussions via email during the 2016-2017 academic year. Following is a summary of the major issues on which the Committee worked during the year.

Joint Projects with the Educational Policy Committee

The Committee worked on three projects with the Educational Policy Committee (EPC). First, the Committee reviewed a proposal by Deputy Provost Teresa Murphy to adopt a new credit hour policy in accordance with requirements promulgated by the Department of Education. The EPC endorsed the new credit hour policy before it was referred to our Committee. Our Committee met with Deputy Provost Murphy to discuss the new policy, and the Committee endorsed the policy following that discussion. The new credit hour policy has been inserted in the Faculty Handbook, and the Provost's Office has communicated the policy to each of the schools.

Second, the Committee reviewed the EPC's proposed resolution to establish a new academic forgiveness policy. Our Committee met with Professor Philip Wirtz, Chair of the EPC, and Thomas Falcigno, Executive Vice President of the GW Student Association, to discuss the proposed academic forgiveness policy. The policy would allow undergraduate students to repeat one course from their first year if they receive a grade of D+ or lower in that course. Following our meeting with Professor Wirtz and Mr. Falcigno, our Committee voted to approve the EPC's proposed resolution. That resolution was adopted by the Faculty Senate (with one change) as Resolution 17/2.

Third, in April 2016 our Committee and the EPC established a Joint Task Force to examine the role of school and departmental faculty in reviewing and approving standards, curricula, and procedures for online courses and online certificate and degree programs. The Joint Task Force undertook a comprehensive review of GW's online courses and online certificate and degree programs under the leadership of its Chair, Professor Kurt Darr. On March 13, 2017, the Joint Task Force presented its report to our Committee, the EPC, and the Executive Committee. It is expected that our Committee and the EPC will review the Joint Task Force's report in the fall semester of 2017 and will determine whether to submit recommendations to the Faculty Senate regarding standards and procedures for approving and monitoring online courses and online certificate and degree programs.

Responding to Problems Encountered by the Dispute Resolution Committee

In the fall semester of 2016, our Committee received information from Professor Joan Schaffner, Chair of the Dispute Resolution Committee, and her predecessor, Professor Darr, about significant problems that the Dispute Resolution Committee and Hearing Committees had encountered in two proceedings that occurred during the past several years. The Committee

investigated the circumstances surrounding those two proceedings and expressed great concerns to Vice Provost for Academic Affairs Christopher Bracey based on the Committee's understanding of those circumstances. After sharing its concerns, the Committee agreed with Provost Forrest Maltzman on a series of written understandings, which are designed to prevent similar problems from arising in the future. Those understandings were confirmed in a memorandum dated February 27, 2017, from Provost Maltzman (copy attached). Following are descriptions of the Committee's findings and the written understandings with Provost Maltzman.

The first proceeding involved a grievance filed by a faculty member, pursuant to Part E of the *Procedures for the Implementation of the Faculty Code* ("*Code Procedures*"), after the Provost who was then in office denied that faculty member's application for tenure and promotion. The Provost's decision followed a dean's decision to nonconcur with the relevant faculty department's recommendation in favor of granting tenure and promotion to the faculty grievant. The dean relied in part on academic evaluations of the grievant's scholarship that were not included in the grievant's dossier and that had not been seen by the departmental committee on appointments, tenure and promotion. During the Hearing Committee's consideration of the grievance, members of the Hearing Committee were given very limited access to the academic evaluations of the grievant's scholarship. Hearing Committee members were allowed only to review copies of the evaluations by visiting the Provost's office and taking notes. Hearing Committee members were not given access to those evaluations during the hearing or during their subsequent deliberations on the grievance. Our Committee determined that such limited access did not provide members of the Hearing Committee with a reasonable opportunity to review the evaluations in depth and to compare the contents of those evaluations with the contents of other documents included in the grievant's dossier. Our Committee determined that the Hearing Committee's very limited access to the academic evaluations was a serious procedural shortcoming, because the detailed contents of academic evaluations of a candidate's scholarship typically play a very important role in determining whether the Administration will concur or nonconcur with a faculty recommendation regarding tenure or promotion.

In response to the great concerns expressed by our Committee about the first proceeding, Provost Maltzman established the following written understanding, which was confirmed in his memorandum of February 27th: If the Office of the Provost intends, during a proceeding under Part E or Part F of the *Code Procedures*, to maintain the confidentiality of documents that were obtained or produced on a confidential basis (including, for example, academic evaluations of scholarship), the Office of the Provost will provide encrypted files containing all relevant non-privileged confidential documents to members of the Hearing Committee (as well as members of the Dispute Resolution Committee, in the event of an appeal) so that members of those Committees will have access to all confidential documents for as long as is necessary for the applicable Committee to reach a decision in the relevant proceeding. In providing such encrypted files, the Office of the Provost will follow the same approach that it has followed in recent years when it has provided encrypted tenure and/or promotion files to members of the Faculty Senate Executive Committee pursuant to Part B.7 of the *Code Procedures* in connection with nonconcurrences with faculty recommendations regarding tenure and/or promotion. Members of the Hearing Committee (as well as members of the Dispute Resolution Committee, in the event of an appeal) will be instructed and expected to maintain the confidentiality of documents provided throughout and after the proceeding.

The second proceeding arose out of a complaint by the Provost who was then in office and the dean of a school to dismiss a tenured faculty member for cause under Part F of the *Code Procedures*. The Hearing Committee decided, after a hearing, that the Provost and the dean had not shown adequate cause for dismissal of the faculty member. The Hearing Committee also recommended that the faculty member should be reimbursed for attorney's fees and expenses. The Provost then in office and the dean did not appeal the Hearing Committee's decision. In addition, the Provost did not issue a determination and a supporting written explanation stating that there were compelling reasons not to implement the Hearing Committee's decision as provided in Part E.7 of the *Code Procedures*. However, despite the absence of any appeal or any determination and explanation of compelling reasons, the Provost then in office did not implement the Hearing Committee's decision and did not follow the Hearing Committee's recommendation to reimburse the faculty member's attorney's fees and expenses. Instead, based on documents that the faculty member's attorney sent to the Chair of the Dispute Resolution Committee and members of the Hearing Committee, the University's outside counsel apparently notified the faculty member's attorney that the faculty member would be suspended from the faculty for one year without pay unless the faculty member accepted a buyout and resigned from the faculty. The faculty member subsequently agreed to a buyout and resigned.

Based on the facts available to our Committee, including documents that were sent by the faculty member's attorney to the Chair of the Dispute Resolution Committee and members of the Hearing Committee, our Committee was greatly concerned that (1) the Provost then in office evidently failed to follow the procedures required by Part E.7 of the *Code Procedures* for declining to implement the Hearing Committee's final decision, and (2) the University's outside counsel apparently undermined the integrity and effectiveness of the Hearing Committee's decision by threatening a very severe sanction against the faculty member unless the faculty member accepted a buyout and resigned from the faculty.

In response to the great concerns expressed by our Committee about the second proceeding, Provost Maltzman established the following written understanding, which was confirmed in his memorandum of February 27th: If the Provost determines not to implement a decision of a Hearing Committee or the Dispute Resolution Committee in a proceeding under either Part E or Part F of the *Code Procedures*, the Provost will timely issue a written determination and explanation of compelling reasons for not implementing that decision (copying the faculty member, the Chair of the Dispute Resolution Committee, and the Chair of the Faculty Senate Executive Committee) as provided in Part E.7 of the *Code Procedures*. In addition, following a decision of the relevant Committee in such a proceeding, neither the Provost nor any other University officer or representative will impose any sanction against a faculty member who is a prevailing party in that proceeding that is inconsistent with the decision of the relevant Committee, unless the Provost appeals the determination or issues the above-referenced determination and explanation of compelling reasons for not implementing the decision of the relevant Committee. However, the foregoing understanding does not limit the Provost's ability to take appropriate actions necessary for ensuring the immediate safety of the GW community, nor does it preclude efforts to resolve any grievance (even after a decision has been made by the relevant Committee) through discussions with the faculty member (and/or legal counsel for the faculty member). With the written permission of the faculty member involved, the Provost will inform the Chair of the Dispute Resolution Committee if such negotiations are occurring, and at the conclusion of such negotiations, whether a resolution was

or was not achieved. The Chair of the Dispute Resolution Committee must agree to keep such information confidential.

The Committee is grateful to Provost Maltzman and to Vice Provost Bracey for their assistance in resolving the Committee's concerns through the foregoing understandings as confirmed in Provost Maltzman's memorandum of February 27, 2017.

Resolution Recommending Guidelines for Exercising and Defending Academic Freedom

At our Committee's meeting on March 1, 2017, the Committee approved "A Resolution Recommending the Adoption of Guidelines for Exercising and Defending Academic Freedom" (copy attached). That Resolution was adopted unanimously by the Faculty Senate, without any change, as Resolution 17/4 at the Senate's meeting on April 7, 2017.

Our Committee began working on this Resolution in response to a request and statement of concern from Professor Hugh Agnew at the Faculty Senate's meeting on December 9, 2016. In preparing this Resolution, our Committee identified two principal areas of concern related to the exercise and defense of academic freedom. Both concerns have been highlighted by events that have occurred on university campuses during 2016 and 2017. The first concern arises out of disruptions of public speeches on several campuses, including the University of California at Berkeley and Middlebury College. A similar event occurred recently at GW, when several outside protesters attempted to disrupt a GW Law School debate over Presidential war powers between Professor Jonathan Turley (GW Law) and Professor John Yoo (Cal-Berkeley). Law School staff members and GW Police officers responded to that attempted disruption with great professionalism, and they persuaded the protesters to stop their attempted disruption and leave the event. Members of our Committee also expressed the further concern that similar disruptions could potentially occur in the classroom setting during discussions of controversial topics.

Our Committee's second area of concern arises out of the publication by outside groups of numerous "watch lists," which include the names of professors who hold views that the outside groups oppose. Some GW faculty members have been named on such "watch lists." In addition, there are recent indications that outside groups may be sending anonymous members into classrooms to record lectures and class discussions secretly in order to gather material for potential complaints against faculty members on "watch lists."

In light of both concerns, our Committee concluded that GW should adopt more detailed guidelines to reaffirm the principles of academic freedom and freedom of expression that are incorporated in the University's *Faculty Code* and other University policies. Under Article II of the *Faculty Code*, the Faculty Senate has authority to recommend additional guidelines governing the academic freedom of faculty members. In addition, Article II expressly recognizes that academic freedom includes freedom of expression. Resolution 17/4 implements both aspects of Article II by recommending detailed Guidelines for Exercising and Defending Academic Freedom.

In her lecture at Lisner Auditorium on February 23, 2017, Supreme Court Justice Ruth Bader Ginsburg declared that "the right to speak one's mind out" and "the right to think, speak and write as we believe" are essential features of "what make America great," and she called on

American institutions to defend those rights. The Guidelines recommended by Resolution 17/4 are designed to implement Justice Ginsburg's very important insights. The Committee hopes that the Board of Trustees will approve the Guidelines in the form recommended by our Committee and the Faculty Senate.

The Committee prepared its initial draft of the recommended Guidelines based on similar principles of academic freedom and freedom of expression adopted by the University of Chicago and Princeton University. The Committee subsequently sought extensive suggestions, and recommendations from several members of the Law School faculty in order to improve and clarify the Guidelines. The Committee very much appreciates the highly valuable comments and recommendations it received from Professors John Banzhaf, Robert Cottrol, Miriam Galston, Laurie Kohn, and Catherine Ross.

Proposed Amendments to Correct "Glitches" in the *Faculty Code*

The Board of Trustees approved extensive amendments to the *Faculty Code* in June 2016. The schools are currently in the process of revising their rules in order to conform those rules to the amended provisions of the *Faculty Code*. As the schools have reviewed the amended *Faculty Code* and revised their rules, certain "glitches" have been identified in the amended *Faculty Code*. The Committee has developed a list of "glitches" that should be reviewed and corrected, if possible by the Committee and the Faculty Senate during the 2017-2018 academic year. That list, which includes a description of the need for corrections and the reasons for the Committee's recommended changes, is attached to this report.

Possible Item for Consideration by Next Year's Committee

One of our Committee's members, Professor Nicholas Kyriakopoulos, has recommended that next year's Committee should consider an amendment to Article X.A of the *Faculty Code*. His recommended amendment would provide that a faculty member is not required to pursue a grievance before filing a lawsuit to seek judicial remedies for an infringement of the faculty member's rights or privileges by the University. Such an amendment would require language similar to the following at the end of the final sentence of Article X.A: "; provided, however, that a faculty member shall not be required to pursue a grievance under this Article before filing a lawsuit to seek judicial remedies for an infringement of the faculty member's rights or privileges by the University."

****

I am deeply grateful to the members of the Committee for their extraordinary dedication in accomplishing all of the work described above. I also would like to thank Provost Forrest Maltzman, Vice Provost for Academic Affairs Christopher Bracey, and University Counsel Richard Weitzner for their cooperation and assistance to the Committee.

Respectfully submitted,

Arthur E. Wilmarth, Jr., Chair

cc: Professor Charles Garris, Chair, Faculty Senate Executive Committee
        Ms. Liz Carlson, Faculty Senate Coordinator

Faculty and staff members of the PEAF Committee, 2016-17:

Deborah Bezanson (Gelman Library)
Brian Biles (Emeritus, GWSPH)
Maria Cseh (GSEHD
Kurt Darr (Emeritus, GWSPH)
Jennifer Frey (GSEHD)
Charles Garris (SEAS)
Delores Gibson (GSEHD Staff)
Dina Khoury (CCAS)
Nicholas Kyriakopoulos (SEAS)
Murray Loew (SEAS)
Kate Malliarakis (SON)
Ioan Marginean (CCAS)
Sylvia Marotta-Walters (GSEHD)
Raja Mazumder (SMHS)
Melani McAlister (CCAS)
Ashesh Patel (SMHS)
Lilien Robinson (CCAS)
Katalin Roth (SMHS)
Dolsy Smith (Libraries Staff)
Joel Teitelbaum (GWSPH)

Attachments: (1) Memorandum dated Feb. 27, 2017, from Provost Maltzman, (2) Resolution 17/4, and (3) current list of *Faculty Code* "glitches"

February 27, 2017

To: Art Wilmarth, Chair of the Committee on Professional Ethics and Academic Freedom

FROM: Forrest Maltzman, Provost and Professor of Political Science

RE: Dispute Resolution Committee and Subsequent Action

Based on a number of discussions held between you and members of my staff, I thought it important to memorialize my thoughts on the application of certain provisions in the Faculty Code.

The first relates to access by the Dispute Resolution Committee of certain confidential documents in cases where a disappointed candidate for tenure or promotion files a grievance under the Code. If the Office of the Provost intends, during a proceeding under Part E or Part F of the Procedures for the Implementation of the Faculty Code, to maintain the confidentiality of documents that were obtained or produced on a confidential basis (including, for example, academic evaluations of scholarship), the Office of the Provost will provide encrypted files containing all relevant non-privileged confidential documents to members of the Hearing Committee (as well as members of the Dispute Resolution Committee, in the event of an appeal) so that members of those Committees will have access to all confidential documents for so long as is necessary for the applicable Committee to reach a decision in the relevant proceeding. In providing such encrypted files, the Office of the Provost will follow the same approach that it has followed in recent years when it has provided encrypted tenure and/or promotion files to members of the Faculty Senate Executive Committee pursuant to Part B.7 of the Procedures for the Implementation of the Faculty Code in connection with nonconcurrences with faculty recommendations regarding tenure and/or promotion. Members of the Hearing Committee (as well as members of the Dispute Resolution Committee, in the event of an appeal) will be instructed and expected to maintain the confidentiality of documents provided throughout and after the proceeding.

The second relates to actions taken by the Provost after a decision on a grievance or tenure revocation proceeding is made by the relevant faculty Committee. If the Provost determines not to implement a decision of a Hearing Committee or the Dispute Resolution Committee in a proceeding under either Part E or Part F of the Procedures for the Implementation of the Faculty Code, the Provost will timely issue a written determination and explanation of compelling reasons for not implementing that decision (copying the faculty member, the Chair of the Dispute Resolution Committee, and the Chair of the Faculty Senate Executive Committee) as provided in Part E.7 of those Procedures. In addition, following a decision of the relevant Committee in such a proceeding, neither the Provost nor any other University

officer or representative will impose any sanction against a faculty member who is a prevailing party in that proceeding that is inconsistent with the decision of the relevant Committee, unless the Provost appeals the determination or issues the above-referenced determination and explanation of compelling reasons for not implementing the decision of the relevant Committee. However, this does not limit the ability of the Provost to take appropriate actions necessary for ensuring the immediate safety of the GW community; nor does it preclude efforts to resolve any grievance (even after a decision has been made by the relevant Committee) through discussions with the faculty member (and/or legal counsel for the faculty member). As I am sure you understand, such discussions regarding resolution are very sensitive, and disclosure to others of the substance (or even existence) of such discussions may jeopardize their success. That said, with the written permission of the faculty member involved, the Provost will inform the Chair of the Dispute Resolution Committee if such negotiations are occurring, and at the conclusion of such negotiations, whether a resolution was or was not achieved. The Chair of the Dispute Resolution Committee must agree to keep such information confidential.

Finally, you have expressed the view that the term "compelling reasons" in Part E.7 of the Code Procedures refers to reasons that have a degree of significance comparable to the "compelling reasons" that are specified in Part IV.E of the Faculty Code for nonconcurrences with faculty recommendations for tenure or promotion. While I agree that the term "compelling reasons" in Part E.7 of the Code has a degree of significance generally reflected in Part IV. E.7 of the Code for nonconcurrences, these two provisions of the Code serve two different purposes, one having to do with a final decision on tenure and promotion applications (Part IV.E.7) and the other having to do with the disposition of faculty grievances on a broad range of issues as well as tenure revocation cases. Further, to my knowledge, there has not been any prior concerns about the Provost's articulation of "compelling reasons" in grievances under Part E.7 of the Code Procedures.   And, to take a step back, I think it is worth emphasizing the grounds for bringing a grievance in the first instance as set forth in Article X.B. of the Faculty Code, especially as it pertains to grievances over tenure and promotion decisions. A disappointed candidate for tenure or promotion who files a grievance must allege – and establish by clear and convincing evidence – that he or she suffered a substantial injury arising from acts of discrimination, failure to comply with the Faculty Code or other university-established rules, arbitrary and capricious actions, or retaliation. And, in evaluating whether the faculty grievant met his or burden, the Dispute Resolution Committee cannot substitute its judgment on the merits of a tenure or promotion case. (Section E.c)7) of the Procedures for the Implementation of the Faculty Code. A determination by the Dispute Resolution Committee that was not based on these principles would serve as compelling reasons for the Provost not to implement a decision of the Dispute Resolution Committee. Such a position is necessary to ensure consistency with the Faculty Code and preserves the Faculty Senate Executive Committee's role in the review of a nonconcurrence in tenure and promotion cases.

If you have any questions, let me know.

A RESOLUTION RECOMMENDING THE ADOPTION OF
GUIDELINES FOR EXERCISING AND DEFENDING ACADEMIC FREEDOM (17/4)

WHEREAS, Article II of the University's *Faculty Code* is entitled "Academic Freedom" and provides:

"Subject only to legal restrictions and such guidelines as shall be recommended by the Faculty Senate and adopted by the university:

A. A faculty member shall enjoy freedom of expression. In the classroom (physical, virtual, and wherever located), a faculty member's exposition shall be guided by the requirements of effective teaching, adherence to scholarly standards, and encouragement of freedom of inquiry among students. In speaking and writing outside the University, a faculty member shall not attribute his or her personal views to the University.

B. A faculty member shall enjoy freedom of investigation.

C. Consistent with academic freedom, faculty members should show respect for the opinions of others and foster and defend intellectual honesty, freedom of inquiry and instruction, and the free expression of ideas."

WHEREAS, The University's *Statement of Ethical Principles*, which is quoted in Section 6.4 of the University's *Faculty Handbook*, includes the following statements under the headings "Integrity and Respect"::

"The university community is diverse -- in race, background, age, religion, and in many other ways. The personal actions of each community member establish and maintain the culture of tolerance and respect for which we strive. **The university is committed to free inquiry, free expression, and the vigorous discussion and debate on which the advancement of its educational mission depends.** At the same time, trustees, senior officials, faculty, principal investigators, staff, student employees, and others acting on behalf of the university should respect the rights and dignity of others regardless of their differences, and must conscientiously comply with non-discrimination policies adopted by the university." (Emphasis added)

WHEREAS, The same sentence shown in bold type above is also included on page 1 of the University's Sexual Harassment and Sexual Violence Policy and Procedures. Page 3 of that document includes the following additional statements:

"Nothing in this policy limits academic freedom, guaranteed by the Faculty Code, which is a pre-eminent value of the university. This policy shall not be interpreted to abridge academic freedom. Accordingly, in an academic setting expression that

is reasonably designed or reasonably intended to contribute to academic inquiry, education or debate on issues of public concern shall not be construed as sexual harassment."

WHEREAS, Recent events occurring on university campuses and in political and social contexts (including online discussion groups) have included (1) violence and threats of violence that have resulted in disruptions or cancellations of speeches at university-sanctioned forums, and (2) the placing of faculty members (including members of this University's faculty) on "target lists" created by various groups based on the publicly-expressed views of those faculty members.

WHEREAS, The foregoing events have created serious concerns among members of the University's faculty regarding the potential vulnerability of the academic freedom of faculty members and the need for the University to adopt additional guidelines to defend faculty members and other members of the University community against attempts by persons within or outside the University to restrict or impair the exercise of academic freedom and freedom of expression.

WHEREAS, In remarks delivered by Supreme Court Justice Ruth Bader Ginsburg at a recent public event in the University's Lisner Auditorium, Justice Ginsburg told the audience that "the right to speak one's mind out" and "the right to think, speak and write as we believe" are essential features of "what makes America great."[1]

WHEREAS, The Faculty Senate has traditionally exercised great caution before deciding to consider resolutions advocating particular views or positions on political or social issues that are the subject of scholarly disagreement and debate, because such resolutions could have a chilling effect on the exercise of academic freedom and freedom of expression by the University's faculty and other members of the University community.

WHEREAS, The attached Guidelines for Exercising and Defending Academic Freedom have been drawn in part from similar policies upholding academic freedom and freedom of expression, which have been adopted by the University of Chicago and Princeton University.

WHEREAS, Based on the foregoing principles and considerations, the Faculty Senate approves and endorses the Guidelines for Exercising and Defending Academic Freedom in the form attached to this Resolution, and the Faculty Senate also recommends that, as contemplated by Article II of the *Faculty Code*, the University should formally adopt those Guidelines.

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[1] Ruth Steinhardt, "Ruth Bader Ginsburg: Be Mindful of What Makes America Great," *GW Today* (Feb. 24, 2017), available at https://gwtoday.gwu.edu/ruth-bader-ginsburg-be-mindful-what-makes-america-great.

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

(1) That that Faculty Senate hereby approves and endorses the Guidelines for Exercising and Defending Academic Freedom in the form attached to this Resolution.

(2) That the Faculty Senate hereby recommends that the attached Guidelines for Exercising and Defending Academic Freedom should be adopted by the University as contemplated by Article II of the *Faculty Code*.

(3) That the Faculty Senate hereby requests that the President of the University forward this Resolution and the attached Guidelines for Exercising and Defending Academic Freedom to the Board of Trustees for its consideration.

(4) That the Faculty Senate hereby requests that the Board of Trustees consult with the Faculty Senate and provide a reasonable opportunity for the Faculty Senate to adopt a resolution presenting its further recommendations before the Board of Trustees adopts guidelines related to academic freedom that are different from the attached Guidelines for Exercising and Defending Academic Freedom.

March 1, 2017
Faculty Senate Committee on Professional Ethics and Academic Freedom

Appendix

THE GEORGE WASHINGTON UNIVERSITY
GUIDELINES FOR EXERCISING AND DEFENDING ACADEMIC FREEDOM

1. As recognized in Article II of the University's *Faculty Code*, the University is committed to the principles of academic freedom, including free inquiry, free expression, and the vigorous discussion and debate on which the advancement of the University's educational mission depends. The University therefore guarantees to faculty members and other members of the University community the broadest possible latitude to inquire, speak, write, listen, challenge, and learn, except insofar as viewpoint-neutral and content-neutral limitations on that freedom are demonstrably necessary to permit the University to perform its essential academic and educational functions (including, for example, the holding of classes and the conduct of authorized research activities without interference or disruption by individuals or groups inside or outside the University community).

2. The ideas of different faculty members and of various other members of the University community will often and quite naturally conflict. But it is not the proper role of the University to attempt to shield individuals within or outside the University from ideas and opinions they find unwelcome, disagreeable, or even deeply offensive. Although the University greatly values civility, and although all members of the University community should strive to maintain a climate of mutual respect, concerns about civility and mutual respect cannot justify closing off the discussion of ideas protected by academic freedom and freedom of expression and inquiry, however offensive or disagreeable those ideas may be to some persons within or outside the University community. Indeed, fostering the ability of faculty members and other members of the University community to exercise their rights to engage in free inquiry, expression, debate, and deliberation is an essential part of the University's educational mission. Where there appears to be a conflict between the rights of free expression and free inquiry, on one hand, and concerns about potentially offensive statements, on the other, the University's educational mission requires it to give priority to the rights of free expression and free inquiry.

3. The freedom to debate and discuss the merits of competing ideas does not, of course, mean that faculty members and other members of the University community may say whatever they wish, whenever and wherever they wish, while carrying out their duties and fulfilling their respective roles within the University. In carrying out such duties and fulfilling such roles, faculty members and other members of the University community do not have the right to engage in expression that (1) violates clearly established law (for example, by making criminal or tortious threats or by engaging in tortious defamation or prohibited sexual harassment), or (2) violates University policies that are viewpoint-neutral and content-neutral and are demonstrably necessary (A) to enable the University to maintain the integrity of scholarly standards of teaching and research, or (B) to regulate the time, place, and manner of expression in order to prevent disruptions of the University's essential academic and educational functions, or (C) to enable the University to comply with applicable federal and local laws.

4. Faculty members and other members of the University community are free to criticize and contest the views expressed on campus, and to criticize and contest the views of speakers who have been invited to express their views on campus. However, faculty members and other members of the University community may not obstruct or interfere with the rights of others on campus to express their views (for example, by blocking access to a University-sanctioned forum or by attempting to silence or shout down a speaker at such a forum). To this end, the University has a solemn responsibility to take reasonable, customary, and lawful measures to protect the exercise of freedom of academic inquiry, expression, debate, and deliberation by members of the faculty, other members of the University community, and invited guests when persons within or outside the University attempt to obstruct or interfere with that exercise. For example, the University should take appropriate disciplinary action against members of the University community who intentionally obstruct or interfere with the exercise of academic freedom and freedom of expression and inquiry that are protected under these guidelines.

5. If faculty members believe that their right to exercise academic freedom under Article II of the *Faculty Code* and these Guidelines has been restricted or impaired by actions or threats from persons within or outside the University, those faculty members may contact the Chair of the Faculty Senate Executive Committee, the Chair of the Faculty Senate Committee on Professional Ethics and Academic Freedom, or the Office of the Provost to obtain assistance. The University will take reasonable, customary, and lawful measures to protect faculty members against non-trivial impairments of their right to exercise academic freedom, including threats from persons within or outside the University community.

Possible Amendments to the *Faculty Code* to Correct "Glitches"

1. **Remove the "full-time" condition for "Regular Faculty" status in order to provide greater flexibility for Regular Faculty members who receive approval for temporary part-time status or who decide to partially retire under Article VII.D. of the *Faculty Code*:**

REMOVE the words "full-time" before "faculty members" in the first sentence of Article I.B. of the *Faculty Code*.

2. **Clarify that (1) the School-Wide Personnel Committee will consult with the chair of the departmental APT committee before obtaining any additional materials that are not contained in a tenure or promotion candidate's dossier and will provide copies of all additional materials to the chair, and (2) the departmental APT committee will have an opportunity to respond to such materials:**

INSERT the following two new sentences AFTER the first sentence of Article IV.D.1 of the *Faculty Code*:

"The School-Wide Personnel Committee shall consult with the chair of the responsible departmental committee before obtaining any additional materials and shall provide copies of all such additional materials to the chair of that committee. The departmental committee (either collectively or through its chair) may submit a written response to such additional materials."

3. **Clarify that the faculty of a school may establish procedures for periodic reviews of the performance of the dean, in addition to the Provost's periodic review:**

Insert the following two new sentences at the end of Part C.2.b)ii)3) of the *Procedures for the Implementation of the Faculty Code*:

"The regular faculty of a school may establish additional rules and procedures, in accordance with Part A of these Procedures, for making periodic assessments of the dean's performance by the full-time faculty or an authorized faculty committee. Such periodic assessments may be combined with the Provost's review of the dean under this subpart."

4. **Clarify that appointments or promotions of regular, non-tenure-track faculty to the rank of Professor will give appropriate weight to the terms of their appointment (which assign different percentages of effort to research, teaching and service):**

Amend Article IV.A.6.c) of the *Faculty Code* to read as follows by adding the following new clause, which is shown in ALL CAPS:

"Decisions regarding appointments, re-appointments, and promotion of regular faculty for non-tenure-track positions at the rank of professor shall be based on published criteria that are substantially comparable (though not necessarily identical, AS INDICATED IN SECTION IV.B.2) to the published criteria that would be applied to faculty members serving in tenure-track appointments in the applicable department or nondepartmentalized school."*

*Note: The first sentence of Section IV.B.2 provides: "Each school shall establish and publish written criteria, consistent with paragraph B.1, on which promotion to the ranks of associate professor and professor will be based, including any appropriate distinctions between the criteria for tenure-track and tenured faculty and those for non-tenure-track faculty members due to the different nature of their appointments."

5. **Clarify that a School-Wide Personnel Committee, a dean, or the Provost may issue a nonconcurrence with either a positive or negative recommendation by the departmental faculty (or school faculty, in the case of a nondepartmentalized school), and that the Executive Committee will have a role in attempting to resolve each nonconcurrence:**

(a) Amend the first sentence of Part B.6 of the *Procedures for the Implementation of the Faculty Code* by adding the following parenthetical after the word "recommendations" at the end of that sentence: "(whether positive or negative)."

(b) Amend the third sentence of Part B.7 of the *Procedures for the Implementation of the Faculty Code* to read as follows (new text in ALL CAPS):

"If concurrence cannot be obtained after opportunity for reconsideration OF THE FACULTY RECOMMENDATION (WHETHER POSITIVE OR NEGATIVE) in light of the recommendations of the Executive Committee, the recommendations of the School-Wide Personnel Committee and appropriate administrative officers, accompanied by the recommendation of the department, and the report of the Executive Committee shall be transmitted to the President who will make a final decision, subject to Paragraph B.8."

Senate Research Committee Final Report

Griesshammer, 7 May 2017

Members of the committee, Faculty Senate year 2016/17: Griesshammer (chair), McDonnell (Executive Committee liaison); faculty (voting): Briscoe, Casey, Cutler, El-Ghazawi, Engel, Goberdhan, Harizanov, Hsu, Imam, Kouveliotou, Kusner, Lambert, Larsen, Lunsford, Roche, Tyagi, Sarkar, Woolstenhulme, Zhou; postdoc: DeNieu (voting); ex officio (non-voting): Deans Vinson (CCAS), Dolling (SEAS), VP Research Chalupa, Merrigan (Sustainability).

The committee met seven times during the 2016/17 session (05/10/2016, 09/02/2016, 10/07/2016, 11/04/2016, 01/13/2017, 02/03/2017, 03/31/2017) and held email discussions.

The chair also had five informal "tea&biscuit" meetings with VP for Research L. Chalupa.

Summary of the Meeting on 10 May 2016

The committee fixed the meeting calendar for this season and discussed its purpose: Monitor every research relevant development at GWU; be consulted and advise in a timely fashion before decisions about structural changes are made (Faculty Code IX.B). That includes changes in indirect and fringe rates; new budgeting for graduate students; revamping CIFF funds; etc. The committee organised in Teams to cover specific topics:

- HR (Visa/Hiring/Background checks/...);
- PI budget issues: Indirects, GTA budgeting,...;
- Pre-award: Cayuse, 5-day rule,...;
- Post-award: ibuy/reimbursements,...;
- CIFF, centers, institutes ,...;
- Patents, human trials, etc.

Since the restructuring of Pre- and Post-Award responsibilities increases the role of the Schools' Research Committees, members were asked to act as liaisons for closer coordination with them. The impact of the newly announced IDC rates was discussed as well. These were finalised without consultation of this committee, and information of faculty and OVPR staff left much room for improvement. The committee decided to re-invigorate the information exchange with all research-relevant sections of the university administration. We finalised a list of questions and issues in preparation for a meeting with VP for Research Chalupa, sent to him on 27 May.

Summary of the Meeting on 2 September 2016

We prepared for the upcoming meeting with VP for Research Chalupa.

We welcomed the opportunity to increase the committee's diverse experiences, adding Dr. Michael DeNieu as representative of non-tenured researchers. He is a member of the GW Postdoc Association and was elected at the September meeting of the Senate.

The Chair informed the committee that GW's Research Compliance Officer consulted the Chair of the Senate's Executive Committee and the Chair of the Research Committee about an ongoing investigation of an academic-integrity issue, in compliance with GW's policies. Both discussed and concurred with the Research Compliance Officer's recommendations and actions.

Summary of the Meeting on 7 October 2016

The committee met with Prof. Chalupa, the Vice President for Research and an ex-offico member of the committee. The meeting was highly informative for both sides and spirited at times, showing the deep passion for research and commitment to advancing GW's research stature, a passion which we all share.

Based on 15 questions sent to VP Chalupa prior to the meeting, we covered a broad range of topics in a fact-finding, information-gathering approach, for example:

- Statistical information about award distributions and sizes;

- advances and impediments in award submissions, including the "5-day rule";

- the good success, potential problems, and budgetary impact of the recent delegation of many pre- and post-award administration responsibilities from OVPR to schools;

- information flow between OVPR, schools and faculty;

- embedding faculty into decision-making processes;

- the role and composition of the Advisory Council on Research;

- GW's UFF, CIFF/CDRF and other funding incentives;

- the internal selection mechanism for federal solicitations which allow only for a limited number of submissions per institution;

- surprise by both OVPR and faculty about recent hikes in IDC changes which were adopted without consultation of either.

The meeting was highly educational and helped to clear up some misconceptions and mis-informations on both sides. On some topics, we found aligned priorities, and on others different and mutually complementing perspectives. The minutes will provide more details.

In subsequent meetings, the committee will prioritise topics, discuss and review policies and policy changes, and arrive at informed responses. These will include requests for more information, evaluations of conflicting evidence, and advocation of specific policy changes.

It turned out this was the first time VP Chalupa had ever been invited to or present at a committee meeting. Both sides agreed that we needed to restart the long-dormant consultation process and establish a pattern of reliable and frequent interactions, both in formal and informal settings. Two important first steps are: VP Chalupa invited the committee chair to regular private consultations. In turn, the committee will consult with VP Chalupa at least once every semester.

We therefore look forward to work with VP Chalupa, OVPR and GW's administration on a number of issues, and to receive such information sufficiently in advance of important decisions to be able to provide sound, well-informed advice and recommendations, in compliance with Article IX section B of the Faculty Code.

Finally, of particular urgency is the impact of recent changes to the Fair Labour Standards Act. It mandates a higher minimum salary for Postdoctoral Researchers, so that they are exempt from overtime provisions starting December 2016 (i.e. in 6 weeks). It appears that the majority of federal agencies does not provide supplemental funds to cover the necessary budget increases. Many PIs are therefore struggling to find additional funds, while Postdocs feel uncertain about their future. This situation is untenable and may have significant impact on research at GW. Additional one-off funds need to be found for this emergency situation. We look to the Provost for guidance.

Approved minutes of the meeting are appended.

Summary of the Meeting on 4 November 2016

The committee discussed the impending shutdown (third attempt in 2 years) of the ACAD webserver by DIT, without prior faculty consultation, sufficient notification or adequate

alternatives. Several departments are frustrated with DIT's lack of consultation and response. Emails provided only unsatisfactory answers from Director of IT D. Steinour and his staff. In December, DIT and CCAS Office of Technology Services as well as other schools reached an agreement that ACAD was moved over to an Amazon Web instance (external server) in January 2017, but the address remains the same. School IT directors are responsible for managing and support. DIT covers costs for one year, School IT directors need to absorb additional costs.

We discussed advantages and problems of the new regulation that all receipts must be submitted in iBuy/Concur within 60 days. This can generate problems when equipment needs to be returned after testing. Sometimes, equipment can only be tested under specific conditions, which often takes longer than 60 days to set up. Generally, the committee was content with the change.

The committee discussed the October meeting with VP Chalupa, which was labelled very successful and contained a cornucopia of information on which the committee felt follow-ups would be most helpful. We decided to have similar meetings on more detailed questions with administrators. Since then, the teams have been working on lists of issues to present to the appropriate administrators to prepare such meetings.

The committee discussed GW's raise of the minimum postdoc salary, to make them exempt from the overtime pay requirements of the recently revised Fair Labor Standards Act (FLSA) administered by the U.S. Department of Labor (DOL). As of 1 December 2016, the new minimum is $47,476. In an email, VP McLeod provided additional and clarifying information. 55 postdocs were below that threshold and therefore had their salaries raised. It transpired that less than a dozen postdocs made a salary of less than 35k$, a pittance given a posdoc's qualification and the steep costs of living in DC. The vast majority of the committee welcomed the change but was worried about the impact on research awards. Many federal agencies did not increase ongoing awards accordingly. We exhorted GW administration to be flexible in helping out, and to inform all parties in a timely manner. The implementation of the FLSA is now held up in federal court, but GW has assured the committee and postdocs that it will honor the new salaries.

The committee heard from Bob Orttung about efforts to boost faculty engagement in large-scale proposals.

Summary of the Meeting on 13 January 2017

The committee discussed a statistics provided by OVPR on the number of awards per school and per dollar-amount tier. Of about 1400 awards in FY16 or FY17, half involve less than 150k$; 10% have a budget of over 1M$. "Small" awards are at least as vital for scholarship and GW's reputation as large ones. The committee also addressed the false impression that GW could boost its operating budget with more research awards. The total IDC recovery in FY 2016 was 24M$, or 1% of the university's operating budget. IDC is charged because of (at least some) actual expenses incurred by GW (like office space, research infrastructure, etc).

The teams provided progress reports on identifying and collecting questions and issues, and to suggest solutions, in preparation for meetings with administrators.

Summary of the Meeting on 3 February 2017

We continued discussions of questions, issues and solutions, in preparation for meetings with administrators. The committee also held a brainstorming for the meeting of the Senate's

Committee Chairs with incoming GW President T. LeBlanc on 7 February 2017. Its outcome was summarised as follows:

GW's faculty, young and old, recently arrived and well-experienced, strive to make GW a university well known both nationally and internationally for cutting-edge research in all disciplines. But our long and fast-paced march to a tier-1 university needs to be complemented by important paradigm changes:

- Firmly establish the primacy of Academia over the fiscal branch of GW, i.e. including a "culture change" in which administration serves to further academic excellence, and not dictate academia what to do and how. That also includes stopping to measure research excellence solely by dollar-amounts brought in. Instead, focus on a broad slate of mutually complementing criteria for research productivity, like public impact, papers, books, demonstrated willingness and success to go after grants (not measured by grant size),....

- Cut the red tape -- minimise the impact of federal and self-inflicted regulations. Again culture change: Administration shall move from _imposing_ rules to help us efficiently navigate them, with minimal impact on faculty time and resources.

- Strongly foster more and more productive conversations between Faculty and the Board of Trustees. That includes a drive to educate the BoT about what faculty do, what a research-driven university is, how big the impact of research-dollars on the budget actually is (2.4%) -- and all that in the context of our market basked and national averages.

The Chair also informed the committee about GW's efforts to mitigate the US "Travel Ban" for non-residents from 7 countries. By email, the Provost has assured that GW is moving as quickly as possible and along many avenues to explore what the new rules mean, what their impact is, and how to best notify those impacted. He strongly suggested everybody closely monitor the ISO website. At this point GW can't provide clear guidance because the White House staff themselves give contradicting statements as to the extent and validity of the order. Federal courts are weighing in with suspension orders as well. As of May, the order and its subsequent variation is still suspended pending court rulings. The impact on our students and faculty is significant.

Summary of the Meeting on 31 March 2017

The committee finalised lists of Pre-Award and of Material Transfer questions and issues. These can be used by next year's committee as basis for meetings with GW administrators.

The committee reviewed its work. A leaner committee of about a dozen dedicated people may be more appropriate. A clear agenda, individual preparations and a focus on fact-gathering and helping with structural improvement to research at GW, instead of personal, anecdotal grievances, shorten meeting times and improve productivity. The new relation with OVPR is a strong asset to make sure the committee's voice is heard and respected. That includes regular meetings with the VP for Research, and frequent informal meetings between the Chair and the VP for Research.

Further issues deserving attention next year include:

- Inequities in graduate student funding. A few years ago, GW changed its accounting for Graduate Research Assistants (GRAs). Under the new policy, GW contributes 2/3 of the tuition of a GRA only in a given semester when the student is (1) GRA for the full semester; (2) the grant covers the remaining 1/3 of the tuition need; (3) the GRA award

incurs fringe and the "full" IDC rage (59.5% no campus, 26% off-campus). The PI receives then 100% of the IDC for the GRA as REIA funds. This provides a clear, transparent, uniform ruling, which gives graduate research assistants benefits, while only increasing the overall cost to PI per position by ca. $10k, making it an attractive solution in the majority of cases. However, there are two situations in which there are unintended consequences to the policy. First, the cost of a PhD position almost doubles for the PI (from $35k to $62k) when they are required to use the off-campus indirect rate. The decision to use the off-campus rate is made by the funding agency, not by the PI. Second, when a student on a 59.5%-overhead research grant receives a prize or award that pays any fraction of the student's salary/stipend, the entire tuition support and overhead return arrangement is immediately voided. The increased cost of the student now forces PIs and students to turn down such prizes as, until the prize is more than $20k, the student cost increase is unbearable on most grants.

- Hiring of personnel at the graduate, postdoc and faculty level is still very slow. Researchers had to return funds to agencies because GW was unable to process position advertisements and hiring requests in a timely manner. GW appears to have added so many red tape to hiring an individual that the process now routinely takes 6 months. Visa processing is also slow.

- Discussions with the Board of Trustees and GW's incoming President about the importance, benefits, limitations, and roadblocks of research at GW.

- As Schools take over more pre- and post-award responsibilities from OVPR, clear guidelines are needed for staff and faculty; see list of questions on Pre-Award issues.

Finally, the Chair will not request to be re-elected for the 2017/18 session, due to health and family issues.

Appendix: Minutes of the Senate Research Committee Meeting on Friday, 7 October 2016

Agenda: Discussion with VP Chalupa

Present: William Briscoe, Andrew Cutler, Michael DeNieu, Goberdhan Dimri, Tarek El-Ghazawi, Laura Engel, Harald Grießhammer (chair and minutes), Valentina Harozonova, Stephen Hsu, Irene Kuo, Linda Kusner, Michael Larsen, Beverly Lunsford, Karen McDonnell, Katy Roche, Mudit Tyagi, Kausik Sarkar, Josh Woolstenhulme, Pearl Zhou, Vice President for Research Leo Chalupa, CCAS Dean for Research Yongwu Rong, Kathleen Merrigan (Sustainability)

Notes: The minute taker apologises for not taking attendance and not asking the speakers to introduce themselves. Therefore, the conversation will only identify the Committee Chair [HG], the Vice President [LC] and "Q" for any committee question or comment.

In some places, the notes condense and rearrange a discussion, for clarity's sake. Notes in [italic] are inserted by the minute taker for clarity. At rare occasions denoted by "[]", a discussion which is not germane has been left out.

LC received a list of 15 questions (27 May 2016, updated 12 September 2016). As these form the basis of the discussion, the written version of each precedes the discussions below.

The meeting was called to order at 14:02:00.

HG welcomes VP Chalupa.

LC: This is my first time here, after I had already asked for such a meeting several years ago.

HG: We hope that there will be many more in the future. You are always welcome as ex-officio member of this committee. We all share deep passion for research and strong commitment to see the stature of GW as research institution grow. We are all distinctly qualified experts on research, since this is why GW appointed us and tenured most of us. This committee is selected by the faculty to address these issues. Today's goals: find facts, gather information. Discussions, reviews and decisions in subsequent meetings.

Statistical Information

1. Please provide a one-page summary of your office's responsibilities and organisational chart.

LC: Glad to clean up some misconceptions about how OVPR works. 4 equally important parts:
1. Research Integrity: human subjects, animal research, lab safety, responsible conduct of research, export control. Considerable time to make sure we apply with dozens of new federal regulations every month. All whistleblower charges must be investigated. Actual misconduct is rare; 1 case, took 3 years to investigate.
2. Operations and Enhancements: Sponsored Research, research enhancement, core facilities, communications and data management.
3. Research Innovations: corporate and industrial research, connect researchers with entrepeneurs/companies. Successful but not as much as I want. Innovation and Entrepeneurship office very successful, brings in 1M$ per year. Tech Transfer office founded by my brought in 0.5M$ last year, 1M$ this year.
4. Special Programmes: Centers, institutes, programmes. Some directly report to me, e.g. Center on Homeland Security, programme on extremism, autism, etc. I meet monthly with directors and coordinate Deans' supports for them.

2. Please provide a breakdown of grants by federal and private unit (NIH, NSF, NEA, DOE, Sloan etc), both by dollar amount and by number of grants, for the past 3 years.

LC: President Knapp is judged by BoT by research growth as one of three metrics. I keep track monthly, by school and department, report to President quarterly, to BoT annually (e.g. later this month). Focus is on expenditures. Metrics requested here are somewhat different. Most recent federal expenditures for 2013/14 from NSF website: GW increased in expenditures by 17.4%, more than all but 2 universities. (At Rutgers, Med School combined with

campus, and Uniformed services Med School received 30% hike from congress.) Annual average of top-100 schools was -0.2% (negative). We went up 10 ranks, to 83rd in the US.

Breakdown by agencies (percentages of IDC revenue):

Federal gouvernment	81% (2014), 78% (2015),	84% (2016, 142M$)
Foundations		8.3%
International		2.2%
Corporations		1%

NIH	65%,	93M$ (2016)	Congress plans significant boost of NIH funding.
NSF	8.7%,	12.5M$	
DoD	4.3%,	6.3M$	
DoEducation	4%,	5.7M$	
DoE	1.7%,	2.3M$	
DoState	1%,	1.2M$	
NASA	0.7%,	<1M$	

Numbers are pretty stable; federal expected to grow and liked because of biggest overhead, less in foundations. Biggest item continues to be Biostatistics Center: 55M$ in grants, at 26% IDC. Without it, GW would be at level of American University, 3rd-rank.

HG: Awards in Humanities are much smaller but no less valuable for both faculty and reputation. Can you comment on number of grants as metric of scholarly activity?

LC: Humanities agencies (NEA, NEH): <350k$, very small number of grants, I would estimate <30. Want to bolster Humanities in 2 ways: 1. Separate track in UFF grants for their scholarship (they used to get <5% of UFF awards). 2. I just informed CCAS Dean Vinson that OVPR will sponsor a seminar series for the Humanities, with majority of funds from OVPR, plus some CCAS support. Call for proposals (workshops, conferences,...) is on OVPR website.

Q: Was funding jump 2012 to 2015 an anomaly or is that consistent growth?

LC: When I arrived, we were 112th in research expenditures, now 83rd. Growth is not continuous, but we get up every year, more than average of top-100. GW's problem is that we were not interested in NIH at the time when its budget was doubled. Now that grants go down, we are, and we get many more NIH grants. Potential problem is reliance on Biostatistics, which dominates our revenue. If that disappears, none of the other schools can counter. SEAS and other schools are going up dramatically, but SEAS absolute numbers are rounding errors relative to Biostatistics.

Q: Majority of us has grants smaller than millions of Dollars, so we are very interested in number of NSF grants etc.

LC:	FY2014	FY2015	FY2016
NSF	183, ca 20% of total	213, 21.6%	242, 23%
NIH	328, 37%	369, 37.5%	428, 40.1%

By the way, there is no such thing as a small grant for a PI.

HG: That are the numbers we look for. Could you send us these numbers?

LC: Happy to do so. Metrics by which I am judged by BoT is Dollars, but that is not the way I want to look at this. A Pulitzer Prize in English or a Guggenheim is great for everybody at GW. I want to build excellence. When I arrived, we hired Edward Jones, who received a National Book Award, by working with the chair of the English department. I also worked to establish a colaboration with the Phillips Gallery. That's a new GW connection.

3. Which fraction of applications is returned without review or rejected as "past deadline", annually? What are the most common rejection reasons?

LC: OVPR gets more than 1200 transactions per year. About 30 come back after submission to agency but prior to deadline and are then fixed and resubmitted. If they are submitted too close to deadline, we cannot fix them. That's one of the major reasons for the 5-day rule. NSF has become extremely picky, e.g. when wrong typeface is used. We had 1 such case. Last 2 years, only 3 proposals (<0.2% of applications) were returned without review. Some cases may directly be sorted out between PI and agency, we do not know about these.

HG: Sometimes, conflicts arise where OVPR advices one way but the PI understands a solicitation another way or even has more information. That's particularly bad in these last few days or hours when stress levels are already high. Is it OVPR policy to defer to PI judgment or to submit only when OVPR's version is implemented?

LC: We hope there is flexibility on both sides and we can come to an understanding, but it's easier when proposal is submitted 5 days in advance. The sooner a grant is submitted before deadline, the less possibility for conflict. Difficult to answer in a general way. Another issue is that GW is responsible for compliance with General Accounting Office rules. These overrule even NSF rules, and any private communication between PI and funding officer. Noncompliance can result in multi-million Dollar fines.

Q: Automatic rejections happen typically just one hour after submission. Would it be possible to make submissions before 2pm, so that there is time to address automatic rejections on the same day, before the typical 5pm cutoff?

LC: That was also suggested at last year's townhall meetings. Proposals submitted to OVPR 5 days in advance should be submitted to agency on the next day. We now give that instruction to everybody in the office.

Q: Pushing the button should take higher priority than vetting out difference between OVPR and PI; OVPR should defer to PI.

LC: I could not agree more.

13. Please explain to which extent the "5 day rule" is affected by the restructuring. How can OVPR provide greater transparency and flexibility?

Q: In some instances, PI obeyed 5-day rule but issues were not examined just before submission deadline.

LC: We changed that. Last year, we had 2 town halls with about 40 faculty, in January and June. We took these suggestions, not gripes, worked with HR and others to implement them. *[Note: copy of handout summarizing suggestions in appendix.]* In staff training, we say when it arrives 5 days ahead, try to get it out within 48 hrs.

Q: Were there staffing issues since June?

LC: That is always an issue, with turnover. We have training programme. Also, introduced a survey for PIs about 1.5 years ago, with link at bottom of every OVPR email. When you respond, we read that. Also, I always tell everybody: if you do run into problems, just send me an email. I do not care if it's HR or finance; I can have it taken care of. Your job is to bring in the money, which is very difficult. My staff should help you with that. We are not there yet, but we are a lot better than 3 years ago. You can see that from the comments we get.

Q: SEAS survey indicated faculty impression that staff saw as its primary responsibility that 5-day rule is obeyed. That comes across as confrontational, more compliance-oriented rather than customer-oriented.

LC: Before 5-day rule, SEAS sent 58% of proposals arrived within last 2 days. Now, only 17%. CCAS was 54%, now 26%. There are not that many proposals that are late. *[Note: statistics in appendix.]* But you need to understand that my staff does not get overtime, and they work very late. Often, I get emails from them or see them in the office after I had dinner. So their stress also gets less with the 5-day rule, and we have less turnover. Attitude is very difficult to change, but we work very hard at being customer sensitive. So use the survey, report if someone is more interested in the rules than in helping with the grant, and someone is going to talk to that person.

Q: Sometimes, weather interferes: storms etc. Shared responsibilities for delay and more flexibility on 5-day rule? We all act with good faith and due diligence.

LC: Unless agency gives dispensation, the deadline applies. So get it in early. In a survey, Jennifer Wisdom actually found the average is 7 days in our market basket.

Communication, PI Input into Decision Making

4. How does OVPR communicate with PIs and research committees on the university and school level? How are faculty informed of OVPR proposals and decisions? How does OVPR make sure all faculty are informed and can provide input in the decision making process?

LC: Direct: Emails to relevant faculty; to research deans; from research deans to faculty; monthly newsletter "Research Updates" to over 1700 recipients, opened >75% of the time; Infomails to all GW faculty and staff.
To Committees: Advisory Committee on Research, Research Leadership Council (research deans of schools). OVPR website.
Informal lunches with ~10 faculty in my office; town hall meetings last year, plan new set this Spring.

HG: Do all faculty get emails, or just PIs, not co-PIs? We want to reach everybody who may intend to write grants.

LC: Need to follow up. We want to reach everybody.

HG: How are town-hall meetings organised?

LC: Email to all faculty, plus ACR. Two dates provided, 2-3 hrs each.

HG: This committee will of course also provide input, being charged to do so by the Faculty Senate.

LC: The more input the better!

5. Please describe the role you see for the OVPR's Advisory Council on Research, how its members are selected, and what its differences or commonalities are relative to the Senate's Research Committee.

HG: We did not find a list of members on the website, but you mailed us the newest one. *[in appendix]*
LC: Approximately 40 members, including research deans and 2 nominated from Senate Research Committee. Meets 3-4 times a year. Formal obligations: chartering/rechartering centers and institutes; review and rank UFF and CDFF applications. Informal: I discuss things I am thinking about doing or am doing, whatever comes up through the pipeline. Examples: Discussion if GW should have classified research a few years ago, I related to President that faculty did not want to do that. Idea to expand CIFF grants was born there as well.
In 2011/2012, the ACR had 3 meetings. Of the 2 Senate Research Committee members, one attended zero meetings, the other one 1 out of 3. 2014/15: all 3 SRC members attended zero meetings. 2015/16: 1 attended 2 of 3, the other zero meetings. Please do not complain about input if the members of this committee do not come to the ACR.
HG: I can only talk about what happened since I became chair this May. There certainly was a lack of communication in the past between this committee and OVPR.
LC: I reject that statement. You were invited, you did not come.
HG: Let me be straightforward as well. It is the Senate Research Committee which is charged by the faculty to provide meaningful input into the decision-making process and come up with recommendations which are then sent to OVPR. It is not the charge of the ACR to vet recommendations on behalf of faculty.
LG: So how many recommendations have you provided? Zero.
HG: I started chairing this committee in May, and we are in the process of developing recommendations. The purpose of this meeting is to base them on good evidence and good information. That is why we very much appreciate your time here, providing detailed information. It will allow us to provide meaningful input. I do know that we have been lacking on that in the past.
LC: I am glad to hear that. It is very difficult to collaborate with someone who does not answer the call to come.
HG: How are the members selected?
LC: 3-year term. Message to all Deans and research deans listing present members and those whose term is expiring. We ask them for recommendations of funded faculty who are willing to serve. These people are then asked by OVPR to serve.
Q: This committee has been re-energized, with many new members who are really invested.
LC: I appreciate this. But I resent the attitude that my office somehow does not communicate with this committee. This committee was *muerto.* I asked the chair before the previous twice to be invited. Now that you have re-energized, you *[HG]* can come to my office once a month, and we talk about research.
HG: This is an excellent idea. I look forward to that, and I look forward to emails with policy proposals from you to discuss in this committee, and to send you our policy proposals. This is one positive outcome of this meeting already.
Q: I see that the email distribution list for town halls only includes the ACR, not all faculty.
LC: That can be, I do not recall. But it could also be that there were several emails to different lists.
Q: That is possible.
HG: So I ask that for the future, when you brainstorm ideas with the ACR, you also brainstorm them with this committee.
LC: You are an ACR member, are you not?
HG: No, I am not. I nominated two other people *[Kouveliotou and Roche].*
LC: Then I will send you an email invitation to the ACR. And we keep attendance records.
HG: Excellent. With that, we can skip the next question and move directly to CIFF funding.

6. In the past, faculty have been informed inadequately or with significant delays about several major changes: CIFF funding, graduate student accounting, changes in the Indirects and Fringe Rates, etc. Such decisions were reached without the advice of the Senate Research Committee. What mechanisms does OVPR suggest to adequately consult with faculty prior to decisions, and inform faculty after decisions have been made?

[skipped]

Center and Institute Funding

7. We are concerned that the proposal to limit CIFF funds to cross-school research would disproportionately hurt strong intra-disciplinary programs which have successfully used CIFF funds as "seed money" and

"matching funds" for federal grants. It would also render ineligible inter-disciplinary programs in diverse schools like the Columbian College. To which extent has such a negative impact been taken into account?

LC: This is misinformation. The announcement says: "All Center and Institute Directors are eligible to apply as well as individual faculty engaged in collaborative research involving two or more schools." A member of this committee talked to the Hatchet, saying "my center cannot apply any more". That is false and irresponsible. The Hatchet should have checked out the facts.
Before, only Center and Institute directors could apply. Now, in addition, any two faculty can apply if it's across schools. []
Q: Was funding expanded as well?
LC: Yes, despite of the 5% budget cuts annually in my office, we expanded it from 480k$ to 667k$. 19 applications from institutes and centers, 6 got funded, for total of 270k$. 61 applications not from directors shows tremendous need, but only 9 funded.
We have 112 or so centers and institutes, 1 for every 10 or 12 faculty. That is because faculty want to found centers to get access to the money. That led to an uncontrolled proliferation. When I came to GW, we had 78. The BoT already says we only approve Chartereds *[Chartered Centers and Institutes]*, we never close them. Indeed, we only close them when the director dies. Now, with the new rules, the number of Charter applications decreased dramatically. Our idea was to break down walls, to get people out of the silos. If you have a good cross-disciplinary idea, you can just apply and do not need a center.
Q: That is a great idea. I agree there are a lot of institutes. But ACR has the oversight, and they should be more skeptical. But I would wish there are separate tracks, one for Chartereds, and one for individuals. That appears to me as more healthy.
LC: We want to find the best research and use these funds to attract outside funding. We have so few large grants at GW. We need more joint, multi-PI grants.
HG: Some funding agencies strongly discourage multi-PI grants since they are harder to adjust if needed.
LC: I am talking about programme grants, like from NIH. We just have a handful. I am not talking about grants with some co-investigators, but big multi-million Dollar grants like Prof. Kouveliotou's Astrophysics grant. SEAS has not one. That is what institutes should be doing.
Q: I come from SEAS, and I find that comment disparaging. There are reasons why we do not have such grants. At U of Delaware, IGERT applications get strong institutional support. VA Tech, as a system, have an "internal IGERT", which tells them how to write and apply. We do not have this kind of support.
LC: Not true. We regularly employ grant consultants on large applications, like for ICOR. I tell Mike Plesniak *[Chair, Department of Mechanical and Aerospace Engineering, SEAS]* "find a faculty member who wants to apply for a large grant, we will do whatever it takes." So far, they tried this for 2 years and came up with one application. It says how far you have to come when someone like you says that there is no infrastructure.
Q: Well, we try to ramp it up in SEAS. At the university of a colleague, they had put together faculty from 3 schools, meeting every month, for one year, just to find out what the IGERT could be about.
LC: That part is your job!
Yongwu Rong [CCAS research dean]: Our faculty often already have problems to get the information, like when comparing benefits between institutions.
LC: I told Prof Kouveliotou: Write the grant, we will work the benefits out for you.
Prof. Merrigan [Head of Sustainability, ex officio]: This is a broader discussion we need to have as faculty. For one event on sustainability with Duke Energy at the Law School, 3 people came. For an NSF solicitation on renewable energy (50M$ annually), one of the NSF co-directors came to GW. We had 22 faculty there. When the Director and co-Directors of the National Institute for Agriculture came,
8 faculty came. I think this is not an OVPR problem but something I have heard for 2.5 years at GW. My role is to help build such large cross-institutional collaborations, and I have not found out the secret sauce to make that happen and bring faculty together. I want to have a conversation with this committee how I can be more effective in my role.

Indirect Cost Rate and Postdoc Salary Change

14. New overtime provisions in the Fair Labor Standards Act triggered GW to raise the minimum salary for Postdoctoral Researchers. How will this affect Postdocs whose salaries are below the new threshold but whose contract extends the December 1, 2016, transition date? Will they be eligible for overtime pay? Will GW support PIs whose awards cannot provide the additional funds to raise salaries for existing postdocs?

Q: Actually 3 related questions: 8, 9 and 14. IDC and postdoc salaries increase. At the information/training session on postdoc salaries, VP McLeod verbatim said: "We consulted all of the GW schools and briefed them on the law and received information from them how they would prefer to handle postdocs. All school leadership reported a preference of increasing the postdoc salaries to the threshold." When asked where the money would come from, he said "talk to OVPR". So now the PI is responsible for additional money. DoE has no additional money, no supplementals like for NIH or NSF. PI gets stuck in the middle. Shouldn't this be a consensus issue, a cooperative effort to find common ground? HR now sends out letters that the salaries will be increased to new minimum, effective Dec 1.

LC: To my knowledge, this came from a lawsuit. All universities face the same issue. I was not involved in this at all. There was no consultation with me until it was a done deal, I know about this as much as you do. This is an HR/OTC decision.
HG: Moving forward, there is a gap for some PIs. It's not large, but how can we close it when PIs do not have the necessary funds?
LC: The only thing you can do it use your REIA funds.
Q: I have 5 postdocs, and my REIA would only cover 50% of the increase.
LC: Talk to your Dean. You are in a tough spot.
HG: We need to talk at some point about a practical solution how we can find money to solve the FLSA problem where it exists, so that our postdocs are not out in the street. I think we all agree that the postdocs are the ones who actually do the research.
Q: There also was a discussion at GW and many other institutions that postdocs are actually trainees and should be totally different from employees. They should not be treated by HR in the same rigid manner. When I have to hire postdoc quickly, I should not face the same rules as for regular employees.
LC: I agree.
HG: I want to defer that discussion, in the interest of time. We need to sit down with HR to talk about background checks and similar issues.
LC: At the town hall in June, VP McLeod was asked about that point-blank, and he assured everybody that they would change the way postdocs are hired. I do not know if they did that. The problems you have with HR are exactly those my office has.

8. We are concerned about the implications of the significant Indirect Cost Rate hike for PIs on future awards. In the real world, the dollar amount of many federal awards is established by a phone call in which the funding officer gives the PI a total, gross budget number. It is then up to the PI to meet that number. The federal budget situation does in general not allow for 5% budget increases in renewal applications. A rate hike in effect translates into a corresponding decrease of available net funding and therefore of research productivity. To which extent has such a negative impact been taken into account?

LC: IDC is determined every 5 years. The finance office hires a consultant. They look at every research-related expense – custodial, everything. That's given to the GAO, and then there is a negotiation. Then I get an email what the IDC is. I was told this is an 8-month process, but I was told about it only at the end. I was not in the loop at all – and I shouldn't. When I asked why it went up so much, they talked about the cost for the new building [SEH], increased cost of labour, electricity etc.
There is a misconception that OVPR gets IDCs. We do not. It all goes to the finance office. They have a formula to distribute the money. For example, in the last 4-5 years, IDC on-campus has grown by almost 6M$ from 20M$ to 26M$. Last year, we went up 1.9M$ or 2.1M$. My budget increase was 180k$ in discretionary funds – which I put into the CDFF. But my overall budget was cut by 5%.
In many universities like Georgetown and VA Tech, the new IDC take effect in the next fiscal year, even in the middle of the grant period. We had long and hard discussions, and I argued against that. I chair the Executive Research Oversight Committee which involves the Provost, Lou Katz, Beth Nolan (OTC), Jeff Akman (Dean of Health Sciences). There, I argued we cannot do that. There is a terrible mismatch between the university which tries to get as much IDC it can, and the PIs. Our "real" IDC rate of all ICD relative to all research expenditures is 18%.
Q: Why is that?
HG: Most equipment has no IDC.
LC: And Biostat is largest grant recipient but pays only 25% since they are off-campus in Reston. Many foundational grants have 0% IDC, like at GSHED and the Elliot School. Many institutions do not process such grants. We do.

HG: That is a point where we present a united front. PIs hear about changes at the last minute or when the rules are already in effect. It appears you share that frustration. I hope you can advocate with Lou Katz that we get a heads-up about such changes like IDC or FLSA which can have an impact on PI budgets, as soon as they come up. Had we known about the FLSA change in May when it came out, PIs would have had half a year to plan and save money elsewhere. I hear that you are a champion for us here.
LC: I agree with you, and with the principle: the sooner you know, the better you can plan.

Graduate Student Accounting Changes

9. We see that the change from Graduate Research Assistantships to the new research assistantship/fellowship model was not "budget-neutral", i.e. that GRA/GRF position have become more costly for PIs than under the old model. Please comment.

[skipped]

OVPR Restructuring

10. Under the new administrative model, most of the pre- and post-award administration will be delegated to the school level. Please provide a detailed account which tasks you suggest should be retained by OVPR, and why.

11. Which mechanisms exist to ensure effective communication between OVPR and the schools on: new award guidelines from sponsors; new GW requirements; etc.

12. We already see the benefits of the subsidiary model of award administrations. However, we are concerned that the transfer in responsibilities to the school level has not been synchronized with an adequate transfer of fiscal resources from OVPR to the schools. For example, CCAS has to hire at least 4 new staff but did not receive increased funding. Please describe to which extent schools have or will receive additional compensation for the tasks which were previously under OVPR's purview.

Q: This also includes the impact of GW's new budget model.
LC: When I arrived, Deans and PIs got zero IDCs. So I started the REIA, with the President's support: 6% to PIs, 4% to Chairs, 2% to Deans. They wanted to impose that you have to spend it in a year, I said they should keep it, so that it builds up. It's a rainy-day fund for when you loose a grant. Now, it's 8% to PIs, 4% to Chairs, 0% to Deans because I think they should do development etc. I want the money for the people in the trenches. With the new model, the distribution is: in closed-budget schools like School of Public Health and Medical School, Deans keep all IDC and there is no REIA fro PIs. The new model for open-budget schools now is that 27% go back: 8% to PIs, 4% to Chairs, 15% to Deans. So now the Deans have an incentive to build research, and they responded to it. CCAS and SEAS are taking off. And now Deans like Dolling want all the REIA. There is one person between that and your REIA, and you are looking at him.
Now, the Deans get 70% of tuition. They have money for things like FLSA; some deny it, but one has 15M$ in reserve funds. You should not feel intimidated to go and ask for 20k$ for your postdocs.
HG: Moving to the other part of the question: Schools are now more involved in pre- and post-award administration. I think this is a great model because one is much closer to the administration you work with, and we already see huge improvements. But how can we make sure we do not end up with two parallel structures, where OVPR gives one kind of advice, and the school another, conflicting one? That would be very bad, especially when it comes to award submission.
LC: That is very perceptive and could happen. You PIs and we need to watch that. We need to iron that out. When it happens, send me a 2 or 3 sentence email and I will iron it out. That happens maybe 3 or 4 times a week. When there is a HR problem, I send it to Lou *[Katz]*, and it's taken care of in 24 hours because when Lou speaks, people listen. My general attitude is to help PIs as much as I can. I believe in giving to the PIs as much power as possible. I have in mind what we did at my previous institution: I told my pre-award person "I need a budget of this much, I want a postdoc and graduate student, this and that – do it." And she did, and did all communication with the office of research. I did not have to worry and concentrated on the research narrative. You should be in a position where you can concentrate on the science.

The Deans need more pre- and post-award people, and they now have the money for it.

Q: We just want a customer-centric model. Maybe it's where we are right now. But speaking for the committee, we often feel we are penalised rather than our work being facilitated.

HG: Only very few people, maybe 1 or 3, have final authority to submit on behalf of GW. That should always reside with OVPR. But we are worried about cases where OVPR and School differ on the interpretation of the solicitation. An example is a supplemental to the DoE solicitation by DoE's Office of Nuclear Science which explicitly overrules some page limits etc. Another example is a conflict-of-interest form for NSF proposal. OVPR said it has to be 1 page, but the solicitation and funding officer say it has to be complete and there is no page limit. One cannot get names and addresses of 200 people in a collaboration onto 1 page. In the future, the School is likely aware of this because they work closely with the PI, but OVPR may come back and say this is not up to specifications. Resolving this conflict is doable if we have 5 days, but only if both sides are flexible and listen – at a time when the PI is really stressed already. I do not say this is already happening, but we need to be watchful and have structures in place. So we would like to understand the balance of power between PI, School and OVPR.

LC: We train the people in the Schools, so it's our responsibility to get this right. No doubt there will be glitches, but we need to work through them. We will never have a perfect system. Last year, we processed 1326 grants; 6 years ago, it was 940. If just 1% is screwed up, you have a lot of unhappy faculty. The number of people processing grants has deceased, but the number of proposals has gone up.

Q: A model that the School is the initiator and OVPR the approver is fine, but not if OVPR becomes a customs officer who tells you that something is missing but you have to find what it is yourself.

LC: That is just bad customer service, and you should call me.

Q: You instill that positive change, the culture that this is a team effort and here is what the administrator is going do to help you. When that proposal does not go out, we all loose – faculty and staff, PI, School and OVPR alike.

HG: There could even be a model that OVPR may say: "We think this proposal does not meet this or that specification. If you really want to submit it, then that is okay, but it becomes your responsibility. We are not responsible if it's rejected." So then OVPR is not the gate-keeper.

LC: We do that right now, if the proposal does not comply with the 5-day rule.

HG: That is very interesting because we see cases where OVPR says: "We will not push the submit button unless you fix this."

LC: If it's a blatant violation of the agency regulation, we will do that. But if it's not reviewed by us, then it becomes your responsibility. But to a certain degree it's also the responsibility of faculty to educate our pre- and post-award people. Give them a heads-up, take them out for tea and talk about the proposal you want to submit – a month ahead of time!

HG: That is why we like the subsidiary model, where staff is much closer to us.

Additional Question

15. Some solicitations allow only for a limited number of GW submission (e.g. MRIs) and thus mandate an internal selection process. Please comment how OVPR makes the selection, including ensuring transparency of selection criteria.

LC: That varies on the agency. For KECK, we send all summaries to them. The program manager then tells us what he thinks of each – too clinical, too mathematical, we could fund that one, etc. For NSF MRI etc, I make the ultimate decision. That is based in part on cost to the university. Some need special equipment to be built and special staff and that does not come from the award. Then we need to ask the Provost for funds, and he may say no. We also ask the research dean when there are two from the same school. We look at the track record. Someone has not had a grant in 23 years and goes for a MacArthur – what are the chances? We also have a grant-solicitation unit of 18 people, former NSF directors etc. It costs us 250$ per proposal, but they give honest advice. So ultimately, I make the decision but let people know ahead of time so that they can talk with me.

Ultimately, I want to increase our standing. If the numbers are going up, that's good. If they go down, it's bad. I am judged by that by the President.

Q: Do you have people who review the scientific case?

LC: No, and that is a good point.

HG: We need to educate the BoT what research actually is. This committee would like to help. []

LC: Yes, we must be seen as not destroying the house but as helping to remodel it.

HG: This brings us to the end. We thank you very much for your time and effort, and look forward to a close collaboration in the future. I feel it is going to be much more active, on both sides. This was a passionate and spirited exchange, exactly what I like. Let's heed Franklin's advice to the Constitutional Convention: "We are here to consult, not to contend."

The meeting was adjourned at 16:04.

Minutes submitted by Harald Grießhammer.

Report of the Executive Committee
May 12, 2017
Sylvia A. Marotta-Walters, Chair

Today begins the first meeting of the Faculty Senate for Academic Year 2017/2018. I welcome all the new senators and look forward to working with you through the various senate committees and here in this forum. All members of the Senate should sit on at least one Senate Standing Committee each academic year, in addition to participating in Senate meetings. It is through the Senate committees that the bulk of the work of the Senate gets done.

I want to express my appreciation to Charles Garris, my predecessor as Executive Committee chair, for his excellent work with the Senate these past three years and for his generosity in helping make my learning curve a little less steep than it otherwise would be.

Annual Reports from Senate Committees

With today's agenda were reports from the Education Policy Committee (EP), the Professional Ethics and Academic Freedom Committee (PEAF), and the Research Committee. Additional reports were distributed with the April agenda. Two of the reports submitted today include the details on work that has been accomplished by a joint task force of EP and PEAF on the scope of on line programs at GW, work which began in April of this year. The Executive Committee expects to have a more definitive report by this coming fall, with a purpose of clarifying how curricular standards are met and the role of faculty in maintaining standards. I encourage you to familiarize yourself with the progress to date as the final product will probably come to the Senate floor in the fall.

If you are a committee chair, and have not yet submitted your annual report, please do so as the Executive Committee will be using these reports over the summer to develop the charge to each committee for committee agendas during 2017/2018.

Update on University Bylaws

The Faculty Code requires that the Provost must approve all school bylaws in consultation with the FSEC. The schools have been working on their bylaws and to date, SMHS and CCAS have submitted drafts to the Provost. In order to provide consultation, the FSEC in collaboration with the Provost set up a working group consisting of the Chair of FSEC, a member of FSEC who is a representative of the school, the University Parliamentarian, and the Provost. To date, the subcommittee has reviewed only the bylaws of SMHS. However, it is expected that the FSEC subcommittee will be reactivated and will review upcoming bylaws.

Update on Decanal Review Process

A committee Chaired by Vice Provost Bracey has been working on developing a survey instrument and a process for faculty to provide developmental feedback to deans and the administration. The committee is also working on a survey instrument for senior staff and a process for obtaining input from students and alumni. It is intended that the process will be conducted in each school at three-year intervals. The process will undergo continuing adjustment in accordance with experience as time continues. It is expected that the first test of the survey instrument and process will occur very soon, possibly this summer.

Report to the GW Board of Trustees

As has become customary in the last few years, the Chair of the Executive Committee presents to the Academic Affairs Committee of the Board of Trustees a summary of Senate activities, including resolutions that have passed, and issues that have arisen during the previous academic year. This report will be made next week. The Trustees' forum provides an opportunity for faculty to discuss our reasoning for the resolutions put forward, and for the Trustees to dialogue with the faculty about ways to collaboratively move the university forward to the next level of excellence. This dialogue is especially meaningful this year as we say goodbye to President Knapp, who has served us so well, and also welcome our new president, Thomas LeBlanc.

Shared Governance

The Executive Committee held meetings with the incoming university president, Thomas LeBlanc, during the spring of 2017. The agenda for these meetings included ways to move the university to excellence as a research university, while maintaining GW's traditional excellence in teaching; continued shared governance; and a foundation for fiscal responsibility. A meeting is scheduled for May 25th to continue these discussions and to help make the transition to next fall an opportunity for defining continued collaboration among trustees, administrators, and faculty.

Fall 2017 Senate Meetings

The September meeting will be held on September 8, with reports expected from the Joint Task force on Online and Off Campus Programs, and an update on the Middle States Accreditation process.

Future topics might include the deans' reports on their respective schools (CCAS, ESIA, GSEHD), a report from Student Affairs on the Care Network, a development report, and a report on space allocations at the university.

Nonconcurrences

To date, there are four nonconcurrences, one each from the Columbian College of Arts and Sciences and the Milken Institute School of Public Health, and two from the School of Engineering and Applied Science. These nonconcurrences are under review.

Grievances

There is one grievance in the School of Business that failed mediation and will proceed to a hearing once Professor Schaffner receives the formal request.

Senate Committees

The EC is still finalizing the Committee chairs for Senate Standing Committees during 2017/2018. As mentioned above, it is in the committees that resolutions are forwarded and issues are developed for presentation to the Senate. Once the Chairs have been selected, the lists of volunteer committee members will be distributed to each chair. As a reminder, one need not be a Senator to serve on committees, and both tenure and non-tenure accruing members are encouraged to participate. The EC takes preferences into account when making committee assignments, so that it is likely that each member receives her/his first or second choice of committee. Senators are encouraged to remind their faculty to volunteer if they have not already done so.

Calendar

The next meeting of the Executive Committee will be on August 25, 2017. Please submit items for consideration no later than one week before that date. The full Senate Calendar is available with the agenda distributed today.