

GEORGE WASHINGTON UNIVERSITY

**MINUTES OF THE REGULAR MEETING
OF THE FACULTY SENATE HELD ON
FEBRUARY 13, 2015 IN THE STATE ROOM**

Present: President Knapp, Provost Lerman, Registrar Andersen, (substituting for Registrar Amundson), Parliamentarian Charnovitz; Deans Dolling Goldman, and Morant; Professors Brazinsky, Castleberry, Costello, Fairfax, Galston, Garris, Gee, Harrington, Hawley, Katz, Khoury, Lantz, Marotta-Walters, McAleavey, McDonnell, Newcomer, Parsons, Price, Pulcini, Sidawy, Simon, Squires, Swaine, Swiercz, Weiner, and Williams

Absent: Deans Akman, Brown, Eskandarian, Feuer, Livingstone, and Vinson; Professors Dickinson, Downes, Jacobson, Lindahl, McAlister, Miller, Prasad, Rehman, Roddis, Sarkar, Shesser, Thompson, and Wald

CALL TO ORDER

The meeting was called to order by President Knapp at 2:10 p.m.

APPROVAL OF THE MINUTES

The Senate consented to deferring approval of the minutes of the meeting held on December 12, 2014 until the February 13, 2015 meeting because technical difficulties during the editing process did not permit incorporation of all of the edits into the version distributed at the meeting. The minutes of the December 12, 2014 meeting were approved as distributed.

The minutes of the meeting held on January 9, 2015 were approved as distributed.

UPDATE ON SUSTAINABILITY INITIATIVES

Dr. Kathleen Merrigan, Executive Director of Sustainability, began by outlining the vision for Sustainability at GW. This is something that has been vetted with the faculty, the Sustainability Committee, and is based on benchmarking what GW is doing in comparison to other universities and colleges as well as thinking about what GW's unique opportunities are.

Dr. Merrigan said she sees GW as potentially being the gateway and go-to resource for the federal government for all things related to Sustainability. This not only means making University resources available, but also includes providing referrals to colleagues at other institutions who can provide assistance when that is appropriate. There is also the opportunity to be a lead educator in sustainability governance. This is different from leadership, different from policy, and different from management. It also differs from other degrees offered elsewhere in sustainability. A small faculty committee is working on the concept of a possible offering in sustainability governance at the Master's level.

GW would also like to be known as a national model for interdisciplinary research and education. That is a very big pillar of the University's Strategic Plan, and sustainability already has the hallmarks in terms of that space. Sustainability at GW is really about being engaged in transformative teaching and research. One aspect that we hope to build out is the living laboratory. The idea is to engage in real-life problem solving where faculty and students work together in collaborative ways in situations on its own campus, in its own community, and globally. This vision of working sustainability provides opportunities to solve problems and convey knowledge that goes beyond book learning,

There is a lot going on in sustainability at the University, and GW already has a great foundation to work with; it is just wonderful. Part of the work is searching all of the University's websites to learn more about the University's efforts in this area because data has to be provided to various organizations to qualify for certain ratings. For sustainability, that place is the Association for the Advancement of Sustainability in Higher Education, or ASHE. GW submitted its data for the first time for a rating in May of 2014, received a gold rating, and is about to submit it again so as to eventually be able to do this on an annual February submission schedule.

Other areas of note in which GW has received accolades for its efforts in sustainability include GW's environment and energy law program at the Law School -- there are others involved in that as well. That program received the ABA – SEER Award this past year for Distinguished Achievement in Environmental Law and Policy. GW was also number 12 on the Sierra Club's 2014 list of "Cool Schools." While some may feel such a designation is rather meaningless it is something that prospective students are looking for in a field that is very much growing in interest.

In the process of assessing GW's current programs related to sustainability, 400 courses have been identified at both the undergraduate and Master's level with a sustainability component to them. For the ASHE ratings tool, the University has to identify what the courses are where there is a real focus on sustainability as well as related courses that have a learning module, component, or learning objective around sustainability.

170 faculty at the University are conducting sustainability research of one sort or another. In terms of assessment, the key is to figure out where there is depth and concentrations of expertise. While a bit of art and science is involved in assessing this, across the University, Public Policy looms large. In terms of issue areas, the most prominent is energy and climate change. Second would be urban sustainability, and lastly, food.

Dr. Merrigan noted that she was hired to run the Sustainability Institute – the name has already been changed to the GW Sustainability Collaborative. This is because the University has a number of pre-existing research institutes that are engaged in sustainability and a lot of these centers and institutes are small. One of the central challenges of leading the sustainability initiatives is trying to find a way to make the whole greater than the sum of its parts, and how all of these different efforts can be co-branded across the University and work in a very coordinated way under the umbrella of the Collaborative.

Component parts of the Sustainability Collaborative cover four areas of focus – teaching, research, engagement, and practice. There are ten research institutes and centers, and the Collaborative has a number of affiliated faculty members. Several degree programs are offered, including the very popular Sustainability Minor, along with certificate programs. The Office of Sustainability is working on practices to “green” the campus. Planet Forward is an innovative media platform run by Frank Sesno and others through the School of Media and Public Affairs.

With respect to curriculum and teaching, Dr. Merrigan said that Professor Lisa Benson-Short of the Geography Department has been an incredibly generous colleague in building the undergraduate minor program and the green leaf courses. There is still work to do to standardize some of the sustainability course descriptions. Sustainability is now part of the Engineering School’s accreditation process, something that will become more common in academe; it will be important going forward to integrate sustainability into departmental learning outcomes. There is also a growing focus in the field on establishing “living laboratories.” On the drawing board in the area of new course development are two new interdisciplinary courses, one on sustainability cities and another on sustainability diets [Plate]. There is also the new degree in Sustainability Governance already mentioned, and planning for a Food Policy Summer Institute.

In the area of research, GW’s Solar Institute is a really small organization that is turning out some very interesting work. They recently came out with a job census that attracted a lot of media attention – according to their data, the U.S. now has in 2014 31,000 jobs created in the sustainability area. The Institute is also putting together a resource library that will include information on sustainability not necessarily captured by regular libraries. They are also involved in drafting legislation and helping congressional staff in the developing area of low income solar. A lot of times when people think about sustainability, they only think about its environmental aspects, but there is a really strong interest in social equity in sustainability initiatives that is shared by many faculty members.

A highlight in the area of practice is the “greening GW” initiative. The Capital Partners Solar Project was developed under the leadership of Megan Chappelle in the Office of Sustainability. This is a huge partnership with GW, American University, and Duke Energy, and when it is finally up and running next year 50% of GW’s electrical use will be offset by offsite energy production on three solar farms in North Carolina. This is important not only because GW is one of the largest non-utility purchasers of solar energy in the U.S., but the program also has the potential to provide research and living laboratory experiences for students. On campus efforts in this area of practice include mixing green and solar roofs, and unifying greening with research.

In the area of engagement, GW’s real signature effort is probably Planet Forward. Developed originally by Frank Sesno in the School of Media and Public Affairs, he and his colleagues have now built a consortium of fifteen colleges and universities to engage millennials and innovators in search of sustainability solutions.

Looking forward, the Sustainability Collaborative will utilize four strategies to build upon what has already been accomplished at GW. The first is the strategy of harnessing the University’s convening power. Just last month the Food Tank Summit held an event at the

Jack Morton Auditorium. The Collaborative partnered with them, and the two day event had every seat in the auditorium taken. 400 attendees and 15,000 live stream participants were able to listen to 75 speakers, and on the second day it was the #1 trending topic on Twitter. That brought a lot of attention to GW and the work it is doing in food and sustainability. Later this fall, work is underway on convening with UNEP as the United Nations finalizes new sustainability goals for the itself. This will involve international partners as well.

A second strategy is identifying emerging research opportunities and building consortia in recognition of the importance of working with other universities when seeking competitive grants. One example of this is the Sustainable Plate Symposium held last November in cooperation with Tufts University using foundation money. This collaborative effort focused on dietary guidance and sustainability. A consortium of five schools is being organized to pursue federal grants, and all of the sustainability graduate students will be getting together to have a conversation to identify research in these areas in March.

A third strategy is increasing federal funding support. As of 2012, the federal government was awarding about \$8.2 billion a year for research and development in sustainability sciences. This is a big field, and overall, GW could be the recipient of some of these federal resources. One example is a two day event GW will host in cooperation with the National Council of Science and the Environment, which is the academic organization for sustainability programs, environmental science programs, and environmental studies programs. The event will be held in April at the Milken Institute School of Public Health. Government funding program leaders and foundation leaders will discuss opportunities on the horizon as well as how to put together a successful proposal. Because GW is hosting the event, it will receive free reserved seats, and the hope is that this event will be successful and can be repeated in the future. On the drawing board is an additional way of enhancing funding opportunities by hiring a research director to work with faculty.

The fourth strategy, that of becoming the go-to resource for the federal government, is something that was triggered by reading GW's Strategic Plan, and that is the idea of developing federal case studies, similar to case studies done at Harvard University's business school. President Obama recently said that the federal government is the largest energy user in the country – these case studies will be focused on studying what the government is doing in sustainability and sharing this information. The Sustainability Collaborative will shortly offer six grants for faculty members to work on case study development -- there will be video and multimedia components to these. This could be a great branding opportunity for GW and making the studies open access information will really help to cement the University's leadership in this field.

In conclusion, Dr. Merrigan said she knew that a GreenGov event was held at GW a few years ago. While this would probably not be done in the same way again, the Collaborative is talking with the Council on Environmental Quality about different ways of doing that where there's more virtual convening. As she was a keynote speaker and one of their judges for GreenGOV 2014, she said she hoped this partnership would continue to flourish.

Professor Weiner asked how Dr. Merrigan reconciled her position as an advocate for sustainability with the idea of heading up the program as a go-to place or resource for the federal government. He added that he would want such a person to be doubtful and skeptical about almost everything rather than being overcome by enthusiasm, so that a balanced perspective could be offered. When the solar institute started many years ago there was a real question about its funding. People also had an axe to grind raising an issue about the objectivity of the work that was being funded. Dr. Merrigan responded that as an analytical and skeptical person, she thought the University puts its best foot forward when advice is offered based on objective data and science, rather than simply cheerleading.

People also had an axe to grind about the objectivity of the work that was being funded, and that was an issue. Dr. Merrigan responded that as an analytical and skeptical person, she thought the University puts its best foot forward when advice is offered based on objective data and science, rather than simply cheerleading.

INTRODUCTION OF BLAKE D. MORANT, DEAN OF THE LAW SCHOOL

President Knapp requested and received the consent of the Senate to introduce the new Dean of the Law School, Blake Morant, who assumed the deanship at the beginning of the fall semester. Dean Morant comes to GW after a very successful deanship at Wakeforest, and he is also serving this year as President of the American Association of Law Schools.

Dean Morant said he was delighted to be present at a Senate meeting, and regretted that his schedule had not permitted him to be able to do so before. The Senate is a very important body at the University, and he assured everyone that he and the Law School are very supportive of its efforts. Dean Morant commended the efforts of four of his Law School colleagues present at the meeting, elected Senate members Roger Fairfax, Miriam Galston, and Edward Swaine, and also Arthur Wilmarth, who was there to introduce a Resolution on behalf of the Senate Committee on Professional Ethics and Academic Freedom, which he chairs.

The issues facing higher education are very much in the forefront of everything the Law School is doing in legal education, even though some think that is not the case. The various issues taken up by the Senate that affect faculty members have also been widely discussed within the Law School. Dean Morant said that he looks forward to working with the Senate and making sure that everything possible is done to contribute to the dialogue and make it as productive as possible. These are very challenging times for higher education, but at the same time they are exciting as well. Education is the hallmark of what makes a democracy a great one, and it is the various schools that do the work that really advances society. It is also something that all of the schools, whatever their specific missions, have in common.

RESOLUTION 15/1 "A RESOLUTION TO ENDORSE A REVISED EDITION OF THE FACULTY HANDBOOK OF GEORGE WASHINGTON UNIVERSITY"

Professor Garris noted that Resolution 15/1, recommending that the Senate endorse the revised edition of the Faculty Handbook, had been placed on the meeting agenda for

that day. However, within the past few days, it became clear that the revised version had not been entirely vetted by the deans and there were some additional changes that were thought to be beneficial to the Handbook. The decision was therefore made not to put the resolution up for a vote, but with the Senate's agreement, have the PEAFF Committee reintroduce the Resolution at such time as the revised Handbook has been properly vetted and the final version is complete.

The Senate agreed with this way of proceeding. Professor Garris requested and received the privilege of the floor so that Professor Wilmarth, Chair of the PEAFF Committee, could discuss any issues about the Handbook or pose any questions they might have.

Professor Wilmarth said that he would be happy to receive emails with comments or suggestions about the revised Handbook from Senate members if that was their preference. [His email address is: awilmarth@law.gwu.edu.] These comments will be presented to the PEAFF Committee, along with comments from the deans and the Provost's Office about matters that had perhaps not been fully captured during the Committee's earlier process.

Professor Squires said he had not brought the language with him, but seemed to recall a reference to "discourteous, unprofessional behavior." He said he had talked to a number of people who are concerned about the ambiguity of this language, and he was not in favor of unprofessional or discourteous behavior, but that he was worried about how this kind of language might be used in a way not to punish behavior that is unprofessional or discourteous, but to punish statements and behavior that just might not be popular at a particular time. He added that although he did not have an answer to this, he wondered if others might share this concern, and if there is anything that might be done about it.

Professor Wilmarth responded that the language originally proposed by the administration would have been placed on page 16 at the end of Handbook Section 2.7 the Senate now has. This language made reference to collegiality and respect for others. The PEAFF Committee was concerned about this because that language did not come from anything in the *Faculty Code*. What now appears in part III.C. of the *Faculty Code* on page 3 is the following: "faculty members shall make adequate preparation for their classes and conduct them in a dignified, courteous manner." Since that language was already in the *Faculty Code*, the Committee thought it was something with which the Senate has already concurred, and in fact, that language has appeared in the *Code* for a very long time. As the Committee discussed this issue, it seemed that the consensus was that the term "dignified" has to do with an issue of self control for the faculty member, and courtesy has to do with manner. One can certainly disagree very strongly in a dignified, courteous manner; dignity and courtesy does mean that one has to agree with or defer to the views of another. By contrast, the Committee thought the use of the words "respect and collegiality" raised an issue of disagreeing with someone on the merits of an issue, and still being accused of being uncollegial and/or disrespectful.

Professor Wilmarth encouraged people to look at the *Code* language that now appears in part III.C. of the *Code*, and if this is language that people do not want to have in the *Code* anymore, that can be brought forward as an amendment. Again, the language now in the Handbook draft is taken directly from the *Faculty Code*; the Committee did not

feel it was setting any new precedent and thought it more neutral, less viewpoint related and more protective of academic freedom than the language proposed by the Administration.

Professor Garris moved that Resolution 15/1 be recommitted to the PEAFC Committee and that it bring the resolution back to the Senate for a vote once the required vetting was complete. The motion was seconded, and passed by unanimous vote.

RESOLUTION 15/2, "A RESOLUTION TO ADOPT AN "OPEN ACCESS POLICY FOR RESEARCH PUBLICATIONS AT THE GEORGE WASHINGTON UNIVERSITY"

Professor McAleavey, Chair of the Senate Libraries Committee, introduced and moved the adoption of Resolution 15/2. He provided a brief history, saying that the issue of Open Access came before the Senate five or six years ago in a form that was not accepted by the Senate. Now, however, the University has a librarian who in her previous job oversaw the implementation of an Open Access policy at Rice University. The Rice University model was based on the MIT Model, so the presentation that the Libraries Committee is making to the Senate is deeply indebted to Librarian Henry's expertise as well as to the experience of these other institutions.

Professor McAleavey then requested and received the consent of the Senate so that Librarian Henry could speak to the Resolution. She presented her report in powerpoint format (the powerpoint is included in these minutes.) She began by reading what the definition of Open Access is; this definition grew out of a meeting held in 2001 in Budapest Hungary, and is therefore called the Budapest Open Access Initiative:

[Open access is] "free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited" (Budapest Open Access Initiative: <http://www.soros.org/openaccess/read>)

Open Access at GW means that anyone will have access to and be able to read scholarly works on the Internet without charge. Authors retain their copyrights unless they sign them over to a publisher, something the University does not encourage. Articles available under the Open Access Policy will identify the original publication of a work – if it is published in a journal, the citation to the journal in which it was published will be provided. The policy is intended to apply to peer reviewed articles that are published, not books.

Librarian Henry provided some context for the adoption of open access policies. Since 2005 there has been a tremendous growth in open access initiatives and policies at institutions and by funders of research. In 2005 there were a total of 152 such policies or initiatives worldwide; by the end of 2014 the official total rose to a documented 623. It is fair

to say that there is tremendous momentum at this time toward the adoption of these open access policies.

In the open access mandate environment probably the one people care most about is the NIH Mandate (2008). This initially started as a policy by NIH that suggested that authors make the results of their research openly accessible. As this did not have much impact, they then required it in 2008. Since the University receives a lot of NIH funding, that had an impact on publishers to enable open access to these articles.

Another effort to encourage open access to publicly funded research came along with the the Federal Research Public Access Act (2006, 2009). Similarly, in 2008 and 2009, the Fair Copyright in Research Works Act sought to encourage Open Access based on the idea that taxpayer dollars are paying for this research, and they therefore have a right to have access to this information. The Omnibus Appropriations Act (2009) and the OSTP Public Access Directive to federal agencies that provide research funding directed that agencies come up with plans for how results of publicly funded research would be made openly available to taxpayers. Plans have been submitted, but it has not been revealed as yet what those plans are in all cases.

Librarian Henry's report presents information on educational institutions that have adopted open access policies. There are 118 universities and research institutions alone in the US that have these policies, and a number of these are listed in the powerpoint report.

What federal funders as well as private foundations require is that research results be published and made openly available under an open access license. Many of the federal funders at this point, for example, NIH, NSF, NASA, DoEnergy, EPA, USDA, CDC, MacArthur Foundation, Howard Hughes Medical Institute, and Microsoft Research do so and it is an ever-growing list.

Questions that come up most frequently about open access policies are the impact factor and the quality of the publication. A number of studies have shown that open access articles receive the most citations and there is data to demonstrate a 2.5 to 5 times increase in citations of open access articles. Other studies show that it is about the same. The challenge has been trying to get equal data in studies that are looking at different aspects of impact factors, and to do it over a long enough period of time to assess the impact of these policies. In certain disciplines, there is no question about the results. The Physics community has had their Open Access repository archives for years now and the data is indisputable: there are clearly more citations for their open access articles. It can be said overall that citations of open access articles are higher or at least equal to those of traditionally published articles.

There is a mistaken belief that if an article is open access available, it hasn't been peer reviewed. There is a distinction between an open access policy and making articles available through GW institutional repository, just as there is a difference between that and the type of journal a faculty member is publishing in. The quality of a journal is something people pay attention to, and there are many Open Access journals that are properly vetted and properly peer reviewed. There also are many paper access journals that are not properly vetted. Open access or non-open access does not indicate one way or another the quality of

a scholarly work. Another issue around quality has to do with how many people are able to either scrutinize or verify research results. Open access makes this research more broadly available than it otherwise would be, and that leads to better research.

GW has just launched its institutional repository; a Creative Commons Open Access License allows people outside the University to download and read the works in it. The repository was developed, and will be managed and supported by the Library. Works in the repository will be preserved long term and there will be a persistent identifier associated with everything that goes into it. Articles included in the repository will be scholarly works published by faculty from the time the Open Access Policy is adopted forward, and will not include articles published before that.

Faculty members who publish in scholarly journals are required to sign agreements with their publishers. The University will provide what is known as an “author’s addendum” for faculty members to attach to the publishing agreement with a note “subject to the attached addendum.” The addendum states that GW has an Open Access Policy and will archive the paper for public access. If a faculty member is publishing in a journal that will not allow this, there is a written waiver that can be requested.

Finally, the GW Libraries will support this effort and help with compliance. Open access is a good thing that many of its peer institutions have already done; it makes scholarly work more openly available so that people know what GW is working on. This can be a real lure to graduate students when they can see on one page a faculty member’s constantly updated list of publications.

Professor Katz asked if the timeline for articles to be made accessible through open access had been considered. Librarian Henry responded that the timeline depends upon the publisher and there is no standard timeline because publishers have different models. NIH, for example, has allowed publishers to embargo articles for up to 12 months. Others will allow open access right away, while still others embargo articles for six months. A number of publishers have gone the route of allowing the placement of final peer-reviewed articles in the open access archive, but they will not allow the fully edited and laid out version that appears in the journal to be used. Other publishers specify that only the version of the article that bears their imprimatur may be archived since their reputations are on the line. Even though policies currently vary widely, the Library can work with them on these issues.

Professor Sidawy said that he has been dealing with this issue now for about six years as the editor of two of his society’s journals, and as a member of the surgical editors group. The embargo period for these journals is two years for articles, but an author has to pay \$2,500 to \$3,000 in order to make them open access. That is an undue financial burden on the departments because obviously faculty are not going to be asked to pay out of pocket. This makes the open access process difficult and prevents them from publishing.

With respect to the waiver process, Medical School faculty, especially the clinical people, publish a lot of papers that are not supported by a funded grant from NIH or other source. Therefore there is no money there to cover the cost of making the articles open access. It seems unwieldy at best if faculty need to obtain a waiver each time they submit a

paper, especially when the top journals are closed access and they only become open access if a fee is paid. Librarian Henry responded that there are two different aspects of open access which are often confused. One is publishing in an open access journal, or publishing an article that the journal makes open access. The other is having the article in a repository that would be considered self deposit for GW authors. Having the authorization to self deposit in a repository means the paper can then be made available for open access, or open to the world where it can be crawled by search engines and made openly available.

Professor Sidawy observed that this can only happen if the author owns the copyright. This is not the case with the journals he deals with. The author does not retain the copyright unless they pay the fee. They can therefore not put an article into the open access repository because that is against copyright law. Librarian Henry acknowledged that policies depend upon the publisher. Many are now giving authors self-archiving rights.

Professor Sidawy asked if this means that every member submitting a journal article would need to get a waiver every time they are going to publish in journal. Librarian Henry responded that if a faculty member is signing a publishing agreement each time they publish a paper, it is no more burdensome to submit a waiver at the same time. The Provost or the Provost's designate would sign the waiver; when a waiver is necessary, it will be approved. The Library can accommodate embargoes to delay open access to articles, but faculty will be encouraged to make their articles open access wherever possible without seeking a waiver. As the process moves forward the Library will run into different situations with different publishers, but most publishers are already having to deal with this, especially in the medical field, because of the NIH mandate.

Provost Lerman said that in his experience at MIT, which was one of the early adopters of open access, what quickly becomes clear on the waivers is that there is wide variation by discipline and publisher. The person designated by the Provost granting the waivers knows that if an article is to be published in certain journals there will be no open access to it, so the waiver is simply approved. He added that he thought the intent of this is to exert gradual and continuous pressure on the publishers, recognizing that the degree to which that will be effective will vary enormously. In some fields it has moved them to more open access in granting waivers and in some it hasn't. The waiver process itself is not *de novo*; each time a faculty member publishes in the same journal, it is very quickly clear that it will require a waiver, and it is approved. This can easily be done in a straightforward e-mail.

Professor Brazinsky asked if the waivers are necessary only for articles that involve federally funded research or every single article that GW faculty publish, even if it is a two-page book review. Librarian Henry responded that Open Access is intended to apply to peer reviewed published articles. Professor Brazinsky also asked if there was not some concern that the journals will be negatively impacted by this, since the result would be that anyone anywhere in the world would be able to access without charge what faculty members publish. Librarian Henry responded that publishers are concerned about this and it does force them to re-think the way they do business in the digital age. Academics rightfully question the model where they provide the labor, somebody is paying them to do the research, they are asked without compensation to peer review other research articles, and the result is that research libraries must spend billions of dollars a year to purchase the end

product. The open access issue has forced publishers and the academy to work together to understand what each contributes, and business models in many cases are evolving to accommodate new realities and add value.

Further discussion followed at some length. Professor Simon said that subscription dues for his own journals in *Infectious Diseases* have gone up over 100% in the past two years, and many journals now charge page charges where they did not before. Costs have been shifted to authors and others.

Professor Simon also asked about the specific process that will be used for the waivers, for example, if a waiver should be sought before the article is submitted to the publisher. Librarian Henry responded by saying the waiver would be submitted with the author's addendum that specifies that GW has an Open Access Policy, so probably the first thing that will happen is that in the example Professor Simon cited, the *New England Journal of Medicine's* policy would be reviewed.

Professor Simon asked again whether the waiver and article would be submitted to the journal, or to the University first. Librarian Henry responded that the details will be worked out; there are a number of ways that this can be done. Professor Simon reminded everyone that medical journals in general and the *NEJM* in particular own the copyright and asked again where the waiver should be sent and how long it would take to get it back. Librarian Henry said the waiver can be submitted at any time to the Provost's designee and it will be approved. The point is, faculty members will not be prevented from publishing in such journals. Professor Simon again requested that a detailed process, including a timeline for the waiver be provided. Librarian Henry responded that this process would be developed.

Professor Swaine sought clarification of the Open Access Policy. First, the FAQ's attached to the Resolution suggested that it was intended to apply to articles published by scholarly publishers, but Librarian Henry's remarks kept referring to peer-reviewed publications. (Librarian Henry confirmed that it was not limited to peer-reviewed publications.) Second, any requirement that waivers have to be sought before an article is even accepted would potentially create a huge amount of paperwork, but it was his understanding that waivers might rather be sought after acceptance. Moreover, it was his understanding that the Open Access Policy provided that waivers will be approved and the justification provided for them will not be scrutinized. Third, and finally, it would be useful to signal which version of an author's work was being retained in GW's repository by using a ready-built set of tags to distinguish among the classes of publications that are in the repository. (Librarian Henry said the Library would make sure there is a metadata field that captures whether the article in the repository is, for example, the final peer-reviewed manuscript or the published version.)

Professor Swaine questioned the scope of the Open Access Policy. The FAQ's attached to the Resolution suggested the scope of it is for articles published by scholarly publishers, but in her remarks, Librarian Henry kept referring to peer reviewed publishers. This point deserves clarification. With respect to the waiver issue, the idea that waivers must be sought before an article is even accepted will potentially create a huge amount of paperwork. On the other hand, there is a provision that waivers will be approved and the

justification provided for them will not be scrutinized. The final issue has to do with which version of an author's work will be retained in GW's repository. The classes of publishers should have a ready built set of tags that will distinguish the classes of publishers that are in the repository. Librarian Henry said the Library would make sure there is a meta data field that captures whether the article in the repository is the final peer reviewed manuscript or the published version.

Professor Garris noted that Resolution 15/2 requires faculty members to participate and states in the first Resolving Clause that each faculty member grants the GWU non-exclusive permission, however, it is not clear why this should be mandatory. Apparently the main advantage of an Open Access Policy is that people get more citations with open source, but on the other hand there is a real cost to the University and a tremendous increase in the bureaucracy for faculty members. The question is why participation cannot simply be made optional. If a faculty member wants the benefit of open source, a repository can be established by the University, and for those faculty who do not want open source or only deal with a journal that does not permit this they can do that without the need for any waiver. Librarian Henry responded that there is a cost to the University when it is completely dependent on maintaining subscriptions to the journals in which its faculty are publishing. The work that is done at the University should be archived and available. Making it voluntary has shown no impact. NIH is a great example, they tried to make it voluntary and there was no impact. So making it as a policy is the way to have some impact, make it openly available, and if it can't be, then to a waiver should be requested.

Professor Price asked if in future the University would subscribe to fewer journals as a result of an Open Access policy making scholarly works more easily available. Librarian Henry responded that will not happen soon. At present the inflation rate annually for journal subscriptions is 10%. Unless the budget for journals increases by this amount, which it doesn't, the Library can only provide fewer journal subscriptions. For Open Access availability to have a wider and longer term impact, progress must be incremental, and global.

Professor Parsons agreed with Professor Garris; he said he resented the coercion but understood why it was necessary, as faculty are key players in the struggle over making scholarly work more readily available. In his own discipline, Economics, the journals are much like those in Medicine; almost all the major journals require payment from faculty members if published scholarly work is to be posted open access. Making it harder to publish in these journals will actually impede the publication and dissemination of scholarly work, which is a key pillar of a faculty member's responsibilities. Librarian Henry responded that she thought this the wrong perspective – coercion is not the goal -- that is why the waiver process will be put in place. Open Access is not a library versus publisher initiative by any means.

President Knapp said he thought that since Resolution 15/2 was introduced by a Senate Committee and Librarian Henry made the presentation to comment on the nature and rationale of the Open Access Policy, that Professor Parsons' question should be properly addressed by Committee Chair McAleavey.

Professor McAleavey said he thought it very clear that the Open Access issue will not go anywhere if it is a voluntary policy, because people will tend to elect not to participate. That does not mean it isn't worth doing. A lot of other institutions have had fine success with such policies.

One of the things the Libraries Committee discovered in their year-long process of studying the libraries is that GW is woefully behind where it should be in terms of resources, and one of the explanations for that is the rising cost of those resources. If GW can join a swelling tide of institutions that want to do something about that rising cost, this is the time to do it. It's not like the University is being adventuresome -- hundreds of other places have already done this. Professor McAleavey underscored the point that if anybody needs a waiver for publication, it will be granted. The workflow has not been drawn out as yet, but it will be a very simple process, a matter of a few sentences at most.

Professor Newcomer asked if European universities that took the lead on open access are pretty far ahead of the U.S. at this point, as GW could probably learn from their experience. Librarian Henry responded in the affirmative, and added that research funders have more mandates requiring Open Access over there than in the U.S.

Professor Castleberry called the question and the motion was seconded. The rationale for the motion was that the discussion seemed to have become circular and focused on details that are secondary rather than on essential aspects of the Resolution. There being no debate on the motion to call the question, a vote was taken, and 19 voted in favor of it. A vote was taken on adoption of Resolution 15/2, and the Resolution was adopted by a vote of 12 in favor, and 11 opposed. (Resolution 15/2 is included with these minutes.)

INTRODUCTION OF RESOLUTIONS

No resolutions were introduced.

GENERAL BUSINESS

I. REPORT OF THE EXECUTIVE COMMITTEE

Professor Garris presented the Executive Committee Report that is included with these minutes. The Senate's Report to the Board of Trustees at its February meeting is also included.

II. PROVOSTS REMARKS

Provost Lerman provided feedback to the Senate on the five-year budget planning model the University is implementing this year for the first time.

The Senate passed a Resolution last year urging the administration to build such a model to be used as a way of understanding short- and long-term budgetary consequences. Like all first versions of a budget planning process, this is something that will undergo

further refinement, but thus far it has been an extremely valuable approach. Although it has placed a significant new burden on the divisions, schools, and other units, the Provost said he and Executive Vice President and Treasurer Louis Katz are working very closely on this and have probably had 40 or 50 budget meetings already with the various units under them.

Provost Lerman characterized this process as a great example of a recommendation coming from the Senate that has proven very helpful even in the short term. The real value as the process moves forward and the University becomes better at looking ahead and matching forecasts against actual outcomes is that the five year planning process will guide not just the annual budget is submitted to the Board of Trustees, but it will also have implications for broader university planning going forward. The new process is also something that will bring about a better structure, a better sense of how enrollment forecasts affect longer-term budgets, and provide a multi-year outlook to the budgeting process.

III. CHAIR'S REMARKS

President Knapp distributed information he promised to provide at the last meeting from the Office of the Vice President for Research concerning the University's research expenditures between fiscal years 2013 and 2014. The report indicates that there was a 1% increase in federal government expenditures, a 12.6% increase in expenditures from all sources, and a 7.5% increase in indirect cost recoveries. Also provided are figures showing what has occurred between fiscal years 2010 and 2014, along with explanatory notes. (That information is included with these minutes.)

The President said he had an opportunity to introduce to the Board of Trustees GW's new Dean of the Nursing School. Senators might recall that the search for a new Dean went into two rounds, with Dean Johnson graciously agreeing to serve as Dean for an extra year. The faculty led search committee reviewed a very strong list of candidates and ultimately selected Dr. Pamela Jeffries who is currently serving as Vice Provost for Digital Initiatives at Johns Hopkins University; she was previously the Vice Dean in the Nursing School. Before that, she was a faculty member at the School of Nursing at Indiana University. Dean Jeffries is an expert on nursing education and the application of new technologies, including simulation. She will come to GW on April 16th.

President Knapp mentioned upcoming events, including the formal opening of the Science and Engineering Hall. The building has been open since the beginning of the spring semester and about 140 faculty members have taken up residence there. It will house the departments of the School of Engineering and Applied Science along with many of the science faculty from the Columbian College of Arts and Sciences. Floors 7 and 8 will be used for research by the Milken Institute School of Public Health and Health Sciences, and the Medical School will conduct cancer research on the 8th floor once construction on these floors are complete. The SEH is a remarkable building and includes a high bay room that has a wall 30 feet high, 40 feet wide, and 4 feet thick that rests on a 6 foot concrete floor which was specially poured to support the structure. The high bay will be used to test the integrity of structures, and is larger than any within a 400 mile radius, including similar structures at Penn State and Virginia Tech. The SEH will in many ways make a huge difference to faculty and students across a wide range of disciplines.

Following the Valentine's Day weekend and the President's Day holiday, GW will have its annual celebrations of the legacy of George Washington including a lecture by a very distinguished historian of the period, Phil Morgan, who will be lecturing on the subject of George Washington and slavery. The annual bonfire will take place on February 22nd, weather permitting.

Lastly, the new museum that was built behind the Woodhull House is another spectacular piece of architecture in its own right and it will be a wonderful home for the Textile Museum, a world-class collection of textiles going back more than 2,000 years.

BRIEF STATEMENTS AND QUESTIONS

President Knapp requested and received the consent of the Senate so that Alicia Rose, Vice President for Academic Affairs of the Student Association, could provide information about online accessibility to course syllabi. Vice President Rose, who is currently a senior in the Elliott School of International Affairs, said this is an initiative that has been near and dear to her heart, and she has been working on it for the past three years. She provided the following background about this undertaking as well as progress the Student Association has been making on it.

Last year, the Faculty Senate adopted a resolution on access to course syllabi. This was a year after a resolution supporting placing syllabi online was adopted by unanimous vote in the Student Association Senate. This year, Ms. Rose said she had made a presentation to the Board of Trustees on this matter and received its support.

The Student Association has been working with both the Registrar's office as well as Academic Technologies to put together a means to make this happen. Yesterday, Ms. Rose said she met with both of those offices and the group previewed a demonstration of the way in which syllabi can be uploaded and how these uploads would be made accessible to students.

Ms. Rose said that the Student Association is hoping to launch an initiative for faculty to upload syllabi by the end of the following week.

Currently, whenever students are registering for courses there is very little information for them to base decisions on other than course descriptions -- these tend to be very brief and do not provide as much information as students would like to have. The hope is that better information will allow students to make more informed decisions whenever they are registering for courses so they will be able to craft their schedules based not only on the title of the course but also its content and structure. Hopefully, this will facilitate more student engagement in classes and there will be fewer changes made during the add/drop period following registration.

The functionality for faculty to upload syllabi will use Blackboard as a platform, so uploading should be easy to do. For the upcoming semester, syllabi do not have to be perfect; it can be one faculty that have already used if they have taught the course before or it can be an outline. If a large number of course syllabi are received, the hope is to launch this for students as a pilot by the next course registration period. Ms. Rose concluded her

remarks by expressing the hope that Senate members would support the Student Association in this initiative, upload their syllabi, and urge their colleagues to do so as well. Those with questions about this project can contact her via email at Alicia@gwu.edu .

Professor Newcomer of the Trachtenberg School of Public Policy and Public Affairs said all of the faculty syllabi are already on the School's website, and she asked if this means faculty will need to upload it to another site. Ms. Rose responded that she is aware there are some departments such as Political Science that have their syllabi available online already. The goal is to have all of the faculty's syllabi in one place easily accessible to students, so that they will be able to use one site instead of e-mailing professors directly for course information. She also said she would inquire about whether there would be a way to import such syllabi to the site about to be launched, but after that, it would very easy for faculty to just click on the submit button there.

Professor McAleavey inquired about the status of the statement on making resolutions from the Senate floor included with the Executive Committee Chair's report. The last two or three paragraphs use the first person singular pronoun "I" but the document is signed by the Executive Committee, so it is not clear if this is a letter from the Executive Committee Chair or the entire Committee. Professor Garris responded that the intent of the Executive Committee was simply to provide guidance concerning the part of the *Faculty Organization Plan* that describes the way in which resolutions may be submitted.

Professor Newcomer said she understood that there is a great deference for tradition in Senate procedures, but the document expresses a personal preference when it describes the process of introducing a resolution under the agenda item "Introduction of Resolutions" and having the Senate take up the matter immediately once it votes by a 2/3 majority to do so. At the November Senate meeting when she introduced a resolution on the reduction in tuition benefits for staff she was told this could not be done; later, she learned that it could, but only if two-thirds of the Senate members present had voted to take it up right away. Professor Newcomer said it seemed to her that the use of the word "extraordinary" is quite subjective, and can have an unnecessary and chilling effect on the use of this procedure.

A short discussion followed on the grammar of the end paragraphs, with Professor Garris agreeing to change the offending pronoun. Anyone who has suggestions for amending the document should send these to Professor Garris for the Executive Committee's consideration.

Professor Parsons distributed information he had prepared on the University's research indirect cost recoveries, which he promised to provide after the last Senate meeting where the Vice President for Research made his annual presentation. (The information is included with these minutes.)

In view of the lateness of the hour, Professor Harrington, Chair of the Committee on Appointment, Salary and Promotion Policies (including Fringe Benefits), distributed the Committee's Interim Report and promised to provide details about it at the March Senate meeting. (That report is included with these minutes.)

ADJOURNMENT

There being no further business before the Senate and upon motion made and seconded, the meeting was adjourned at 4:15 p.m.

Elizabeth A. Amundson

Elizabeth A. Amundson

Secretary

**A RESOLUTION TO ENDORSE A REVISED EDITION OF
THE FACULTY HANDBOOK OF THE GEORGE WASHINGTON UNIVERSITY (15/1)**

WHEREAS, the Faculty Senate has previously endorsed the adoption of the University’s Faculty Handbook, including the most recent revision of that Handbook in 1999; and

WHEREAS, the Faculty Handbook is a matter of great interest and concern to the faculty, as it represents a part of the contract of each faculty member with the University (subject, in the case of certain part-time faculty members, to the terms of a collective bargaining agreement between the University and Service Employees International Union Local 500); and

WHEREAS, the University Administration has proposed to adopt a revised edition of the Faculty Handbook in the form attached to this Resolution as Exhibit A; and

WHEREAS, the Faculty Senate’s Committee on Professional Ethics and Academic Freedom (PEAF) has reviewed the proposed revised edition of the Faculty Handbook for consistency with the rights, privileges and duties of faculty members as set forth in the University’s *Faculty Code* and *Faculty Organization Plan*; and

WHEREAS, the PEAF Committee has raised questions about the following new language included in Section 2.7 of the revised Handbook:

“Throughout the university there is the expectation that all regular, fulltime faculty will stay current in their field and engage in publishable scholarly and applied research or its equivalent in creative work in the arts. It is expected that special service faculty will stay current in their field and in teaching pedagogy.”

WHEREAS, in response to those questions, the President and the Provost have assured the Executive Committee and the PEAF Committee that the new language in Section 2.7 will not provide a basis for any form of post-tenure review of the performance of tenure-accruing faculty, except for the existing customary annual review of faculty performance for the purpose of determining merit increases in faculty salaries; and

WHEREAS, based in part on the President’s and the Provost’s foregoing assurances, the PEAF Committee has endorsed the revised Faculty Handbook in the form attached to this Resolution as Exhibit A, and the Faculty Senate believes that the revised Handbook is consistent with the best interests of the University and its faculty; **NOW THEREFORE**

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:

- (1) That the Faculty Senate hereby endorses the University’s revised Faculty Handbook in the form attached to this Resolution as Exhibit A; and

- (2) That the Faculty Senate's endorsement in Paragraph (1) of this resolution is based in part on assurances given by the President and the Provost that the new language included in Section 2.7 of the revised Faculty Handbook will not provide a basis for any form of post-tenure review of the performance of tenure-accruing faculty, except for the existing customary annual review of faculty performance for the purpose of determining merit increases in faculty salaries; and
- (3) That the Faculty Senate understands and expects that future proposed revisions to the Faculty Handbook will be presented to the Faculty Senate for its review and recommendations in accordance with the procedures followed in connection with the adoption of this Resolution.

Faculty Senate Committee on Professional Ethics and Academic Freedom
January 14, 2015

Recommitted to the PEAFF Committee, February 13, 2015

A RESOLUTION TO ADOPT AN “OPEN ACCESS” POLICY FOR RESEARCH PUBLICATIONS AT THE GEORGE WASHINGTON UNIVERSITY (15/2)

Whereas, the Faculty is committed to disseminating the fruits of its research and scholarship as widely as possible; and

Whereas, Federal agencies either already require (as in the case of NIH) or are expected soon to require the results of taxpayer-funded research to be made freely available; and

Whereas, the startling rise in the costs of for-profit scholarly publication over the past decade or more, a trend that shows little signs of diminishing, has put tremendous pressure on the budgets of all higher-education libraries, and has directly limited the ability of GW Libraries to provide as wide a wealth of scholarly resources as the University community now needs, making it necessary for GW to join with other research libraries to develop viable alternatives to for-profit publishing; and

Whereas, the movement toward “open access” publishing has been embraced by many of the most prestigious universities in this country and abroad, and that movement has been growing rapidly; and

Whereas, the so-called “open access” model of publication offers researchers and universities an opportunity to begin to redress that startling rise in costs; and

Whereas, at those institutions that have adopted “open access” policies, the use and frequency of citation of faculty research have risen sharply as a result of the availability of those publications, raising the impact of faculty research and enhancing the institutions’ overall reputation; therefore,

Be it resolved by the Faculty Senate that an “open access” policy be established at GW, as follows:

1. Each faculty member grants to George Washington University nonexclusive permission to make available his or her scholarly articles and to exercise the copyright in those articles for the purpose of open dissemination. In legal terms, each faculty member grants to GW a nonexclusive, irrevocable, paid-up, worldwide license to exercise any and all right under copyright relating to each of his or her scholarly articles, in any medium, and to authorize others to do the same.
2. The policy will apply to all scholarly articles written while the person is a member of the Faculty except for any articles completed before the adoption of this policy and any articles for which the faculty member entered into an incompatible licensing or assignment agreement before the adoption of this policy.
3. The Provost or Provost’s designate (normally the Vice Provost for Libraries) will waive application of this policy for a particular article upon written notification by the author, who informs GW of the reason.

4. To assist GW in distributing the scholarly articles, as of the date of publication, each faculty member will make available an electronic copy of the article at no charge to GW Libraries in an appropriate format (such as PDF) specified by the University Librarian/Vice Provost.

5. GW Libraries will make the scholarly article available to the public in a permanent and freely accessible repository. The Vice Provost for Libraries, in consultation with the Senate's Libraries Committee, will be responsible for insuring that compliance with the policy is as convenient for the Faculty as possible, for resolving disputes concerning the interpretation and application of the policy, and for recommending changes to the Faculty.

6. The attached list of FAQs is understood to supplement this resolution.

7. The policy is to take effect immediately upon approval of the Administration and the Board of Trustees.

8. The policy is to be reviewed by the Faculty Senate after five years.

Adopted (7-0) by the Libraries Committee, Dec. 12, 2014:

Karen Ahlquist, Music
Elise Friedland, Classics
Valentina Harizanov, Mathematics (on leave, Fall 2014)
Beverly Lunsford, Nursing
David McAleavey, English (Chair)
Edward Robinson, Forensic Science
Richard Stott, History
Ayanna Thompson, English

non-voting:

Miriam Galston, Law (Executive Committee Liaison)
Geneva Henry, Vice Provost for Libraries
Anne Linton, Himmelfarb Health Sciences Library
Ann McCorvey, EVPT
Scott Pagel, Burns Law Library
Jerry Wei, SA (Student Representative)

Adopted by the Faculty Senate, February 13, 2015



GW Sustainability Collaborative

Kathleen Merrigan

Executive Director of Sustainability
Professor, Trachtenberg School of Public Policy and Political Administration

Faculty Senate, 2/13/15



THE GEORGE
WASHINGTON
UNIVERSITY
WASHINGTON, DC



Our VISION

To be the gateway and go-to resource for the Federal government on all things related to sustainability

To be the lead educator in sustainability governance

To be a national model for interdisciplinary research and education

To engage in transformative teaching and research through living laboratories

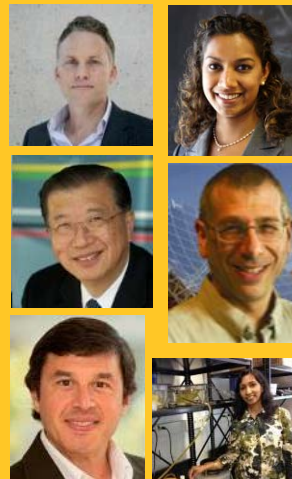
2014 *Sustainability* ACCOLADES

- #12 on Sierra Club's 2014 list of "Cool Schools" (↑ 82 spots since 2009).
- ABA – SEER Award for Distinguished Achievement in Environmental Law and Policy.
- Gold rating awarded by the Association for the Advancement of Sustainability in Higher Education (AASHE) STARS program



Sustainability *by the Numbers*

- **400** GW courses with sustainability content
- **170** faculty conducting sustainability research
- Concentrations of expertise
 - **PUBLIC POLICY**
 - Climate/energy
 - Urban sustainability
 - Food



GW Sustainability COLLABORATIVE

Four areas of focus:

- Teaching
- Research
- Engagement
- Practice

Component Parts:

- 10 institutes
- Degree programs, certificates, and Sustainability Minor
- Office of Sustainability
- Planet Forward
- Affiliated faculty



Research



Resource library, jobs census, tax policy papers, drafting legislation, low income solar experts





Curriculum

- Standardizing sustainability course designation
- Integrating sustainability in department learning outcomes
- Growing focus on “living laboratories”

On the drawing board...

- New course development
Sustainable Cities, Plate
- New degree: Governance
- Food Policy Summer institute

Practice: Greening GW

Capital Partners Solar Project

- Innovative partnership – GW, Hospital, AU, Duke Energy
- 3 NC solar farms for offsite energy production
- GW one of largest non-utility purchasers of solar in U.S.



On Campus Efforts

- Mixing green and solar roofs
- Unifying greening with research

Engagement

Planet Forward

- Platform developed by Frank Sesno to engage Millennials and innovators in search of sustainability solutions
- Consortium of 15 colleges and universities

Feeding the Planet Summit

- April 23-25, 2015
- Stories of innovation to combat climate change



User-generated media + journalistic tools = **innovations that can change the world.**

Strategy: Harness Convening Power

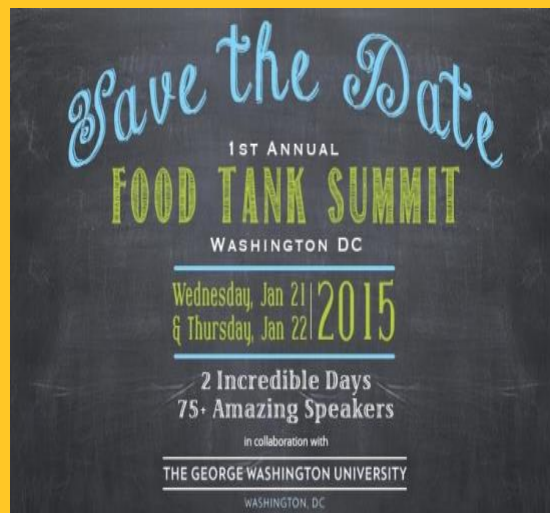
example:

Food Tank Summit

- Jan. 21-22, 2015
- 400 attendees
- 75 speakers
- 15,000 live stream viewers
- #1 trending topic on Twitter
- Topics included food waste, urban agriculture, and farm workers

On the drawing board...

- UNEP-GW convening on new sustainable development goals



Strategy: Identify Emerging Research Opportunities & Build Consortia

example:
Sustainable Plate Symposium

- Nov. 14, 2014
- GW-Tufts Collaboration on dietary guidance and sustainability
- Article submission; pending grant application

On the drawing board...

- March 22, 2015: 5 school student salon on symposium topics (GW + Tufts + Hopkins + Michigan State + UDC)



Strategy: Increase Federal Funding Support

example:
NCSE Academic Dialogue

- April 13-14, 2015, Milken Institute School of Public Health
- Partnership with National Council for Science and the Environment
- Environmental research and energy funding strategies
- Dialogue with federal agency and foundation grant administrators

on the drawing board...

- Research director hire

The National Council for Science and the Environment
in Partnership with
The George Washington University
Sustainability Collaborative

Academic-Federal-Foundation Dialogue
On Environment and Energy Research
April 13-14, 2015

National Science Foundation
Department of Energy
EPA
USDA (NIFA, Forest Service)
Department of Education
NOAA
NASA
Department of the Interior (USGS, Fish and Wildlife and others)
Department of State
Department of Defense
Natl. Endowment - Humanities

Strategy: Go-To University for Federal Government

example:

Developing Federal Case Studies

- 6 grants available to faculty for case development
- Multimedia components
- Branding opportunity
- Consistent with strategic plan

on the drawing board...

- GreenGov

An aerial photograph of a university campus, showing a large crowd of people gathered on a central lawn area. The surrounding buildings are brick and multi-story. The scene is vibrant with greenery and people.

Thank you

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making HISTORY
THE CAMPAIGN FOR GW

THE GEORGE WASHINGTON UNIVERSITY
WASHINGTON, DC

GEORGE WASHINGTON UNIVERSITY OPEN ACCESS POLICY

PROPOSED OPEN ACCESS RESOLUTION FROM THE
FACULTY SENATE LIBRARIES COMMITTEE

GW Faculty Senate

13 February 2015

Geneva Henry, University Librarian and Vice Provost for Libraries

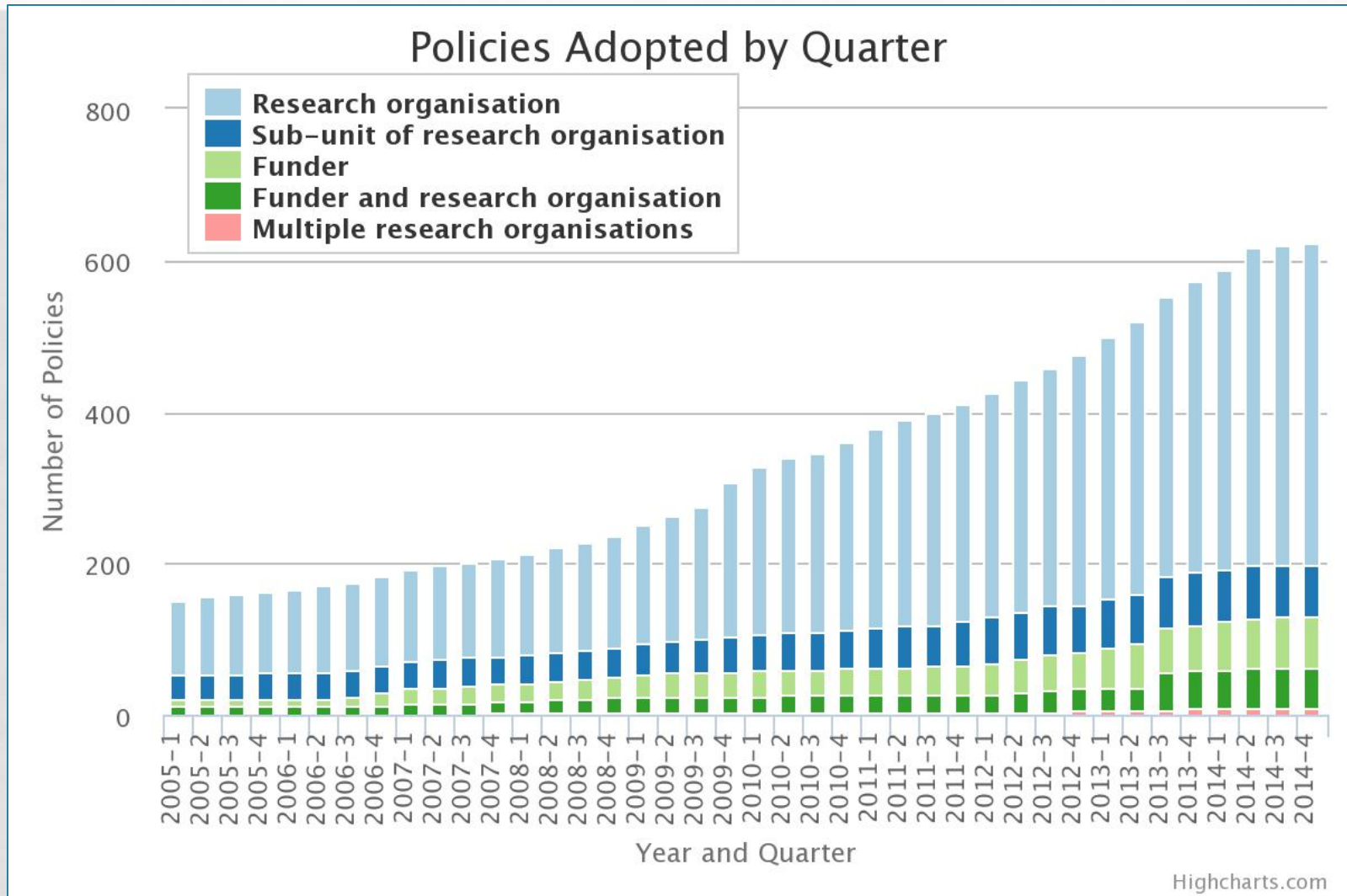
OPEN ACCESS DEFINITION

“free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited” (Budapest Open Access Initiative: <http://www.soros.org/openaccess/read>)

OVERVIEW OF PROPOSED POLICY

- Open access to GW's scholarly works allows anyone to access and read the works on the Internet without charge.
 - Authors retain copyright
 - Original publication of the work is identified
 - Intended to be the peer reviewed publications
- Worldwide, open access policies have grown from 152 in 2005 to 623 at the end of 2014.
 - 2005: 9 funders, 98 research organizations
 - 2014: 69 funders, 424 research organizations

GROWTH OF OPEN ACCESS POLICIES



OPEN ACCESS MANDATE ENVIRONMENT

- NIH Mandate (2008)
- Federal Research Public Access Act (2006, 2009)
- Fair Copyright in Research Works Act (2008, 2009)
- Omnibus Appropriations Act (2009)
- OSTP Public Access Directive (2013)

WHAT OTHER US INSTITUTIONS HAVE OPEN ACCESS POLICIES?

- 118 universities and research institutions in the US have open access policies.
 - Examples: Brandeis U., BYU, Cal Tech, University of California, Columbia, Cornell, Duke, Emory, Harvard, MIT, Princeton, Rice, Smithsonian, Stanford, Texas A&M, U. Maryland College Park, U. Pennsylvania, U. Virginia
- Many US federal funders as well as private foundations require that research results be published under an open access license.
 - Examples: NIH, NSF, NASA, DoE, EPA, USDA, CDC, MacArthur Foundation, Howard Hughes Medical Institute, Microsoft Research

WHAT ABOUT...

- Citations

- Many studies have been done to evaluate impact factors of open access articles vs. traditionally published pay-for-access publications. Overall conclusions: citations of open access articles are higher or at least equal to traditionally published articles.

- Quality

- Open access articles are peer reviewed.
- Increased visibility leads to more scrutiny of findings, as well as increased validation.

WHAT IS REQUIRED?

- A digital version of the author's final peer-reviewed manuscript or final publication is deposited in GW's institutional repository with a Creative Commons open access license.
- The policy applies to faculty member publications from the time the policy is adopted, forward. Articles will be provided for public access in GW's institutional repository.

PUBLISHING AGREEMENTS

- When signing a publishing agreement, attach the GWU Addendum to Publication Agreement, noting on the publisher's form, "subject to attached Addendum."
- This requirement can be waived upon written notification by the author.

GW Libraries will help with compliance

REPORT OF THE EXECUTIVE COMMITTEE
Charles A. Garris, Chair
February 13, 2015

ACTIONS OF THE EXECUTIVE COMMITTEE

- **Faculty Governance**

On January 13, 2015, on behalf of the Committee on Academic Affairs of the GW Board of Trustees, Committee Chair Dr. Madeleine Jacobs, transmitted DRAFT RECOMMENDATIONS for revisions of the GW Faculty Code and Faculty Organization Plan for comment by the Faculty Senate. The DRAFT RECOMMENDATIONS were based on the reports of four Working Groups, whose members included Board Members, administrators, and faculty (including members of the Executive Committee.) It was made very clear by Dr. Jacobs that these DRAFT RECOMMENDATIONS are works in progress and subject to further revisions based on Faculty recommendations and analysis by the Working Groups.

In doing their analyses, the Working Groups did not attempt to completely revise the *Faculty Code*. If the Working Groups deemed that the current *Faculty Code* Section adequately met the needs of the GW Strategic Plan, *Vision 2021*, they did not attempt to make any changes. Thus, the DRAFT RECOMMENDATIONS address only the following issues:

1. Amendment of the *Faculty Organization Plan* to broaden participation in the Faculty Senate to non-tenured full-time faculty members and revise the election process.
2. Amend portions of Section IV on Appointment, Promotion, and Tenure and amend portions of Section B on *Procedures for the Implementation of the Faculty Code*, Section B.
3. Amend portions of Section C.2.b and C.2.c of *Procedures for the Implementation of the Faculty Code*, Section C.2 on appointment of Deans, Associate Deans, and similar academic officers. New sections addressing the evaluation and review of deans and no-confidence votes are included.
4. Section I of the *Faculty Code*: Grades of Academic Personnel has redefined classifications of academic personnel in a manner to broaden participation in faculty governance.
5. Section A. of *Procedures for the Implementation of the Faculty Code* has been expanded to require all school, department, or comparable education

divisions to establish written procedures, rules and criteria for governance of that unit having a minimal set of specific requirements.

Following receipt on January 13, the Executive Committee distributed the DRAFT RECOMMENDATIONS to the Senate Committee on Professional Ethics and Academic Freedom (PEAF) and to the Senate Committee on Appointment, Salary, and Promotion Policies (ASPP). PEAF, ASPP, and EC each took the lead on different portions of the DRAFT RECOMMENDATIONS and provided preliminary comments on amended versions and commentary according to their findings. The work was combined into a MASTER Faculty Senate RESPONSE DOCUMENT, which was delivered to Dr. Jacobs on January 27, 2015. This RESPONSE DOCUMENT included detailed modifications to the DRAFT RECOMMENDATIONS which the Senate committees felt strongly merit consideration for adoption by the Board. This RESPONSE DOCUMENT articulated in detail the rationale for each amendment to the DRAFT RECOMMENDATIONS.

Because these recommendations are considered works in progress, we did not circulate either the DRAFT RECOMMENDATIONS or the RESPONSE DOCUMENT to any members of the Faculty Senate or to the faculty at-large who are not members of the Executive Committee, ASPP Committee, or PEAF Committee. Accordingly, we made it very clear to the Board that the RESPONSE DOCUMENT does not reflect the views of many members of the Faculty Senate or the faculty at-large. It should therefore be viewed as representing only a “first cut” by the three committees and preliminary in nature. We emphasized that it does not constitute the final recommendations of the Faculty Senate or its committees, which can only occur after further vetting.

I would like to add that over the past year and a half, we have been very pleased with the collaborative effort between the Faculty and the Board. We have been very impressed by the efforts of the Board to understand the inner workings of our university to an unprecedented degree and the enormous amounts of time they have devoted to this exercise. We are also very impressed with their dedication to GW and their sincere effort to enhance the role of the faculty in shared governance. From the many meetings that we participated in with Chair

Carbonell, Dr. Jacobs, and the Working Groups, we have a good understanding of the concerns of the Board. In arriving at the RESPONSE DOCUMENT, we were very sensitive to the Board concerns and believe that we can address them and work towards enhancing the quality of our faculty and the quality of the University's decision-making. This has been the spirit of our collaborative effort over the past year and one half. We have always believed that there is congruence between the goals of the Board and the goals of the Faculty. After we receive the Board's response to our RESPONSE DOCUMENT, we will put in the hard work necessary to align to our common goals. This will include thoroughly vetting our agreed recommendations by our respective committees before we can put forward resolutions of support to the Faculty Senate. We appreciate that every change to the faculty governance documents has meaning and unintended consequences for various schools that will require a careful review. While we plan on moving expeditiously, there is agreement with the Board that we will take the time needed. Dr. Jacobs is in agreement and has stated on numerous occasions that *"It is better to do something right than to do it fast."*

The following describes our past activities and the planned activities:

- January 13 – RECEIVED DRAFT RECOMMENDATIONS
- January 27: Senate RESPONSE DOCUMENT distributed to the Academic Affairs Committee of the Board.
- February 2 – Professors Garris and Wilmarth met with Chair Carbonell, Dr. Jacobs, and Mr. Ryan to discuss in detail RESPONSE DOCUMENT.
- February 5, Professor Garris gave a presentation to the Academic Affairs Committee of the Board on the overview of where we stand on Faculty Governance.
- February 6, Professor Garris gave presentation to Board of Trustees on Senate activities.
- February 13 - Faculty Senate meeting
- February 12-18 - Board Working groups will be reconvened to study the Senate RESPONSE DOCUMENT and formulate their response.
- February 27 - EC Meeting, Dr. Jacobs will report on the next round of responses.
 - On areas of agreement, we will probably return to committees to prepare resolutions for Senate consideration.

- On areas that are not agreed upon, we will continue negotiations, possibly into the next academic year.
- March 20 Faculty Senate meeting - present resolutions on areas of agreement.
- May 15 - Board Meeting - Resolutions on certain changes to Faculty Code and *Faculty Organization Plan*.

Please note that while we hope to resolve several specific issues this year, there may be some issues which will require continuation into the next academic year.

We have established an excellent working relationship with the Board and our concerns will be heard and given substantial weight. While some changes may be better received by the Faculty than others, I am confident that shared governance will be strengthened by this process and overall, the Faculty will be pleased. Be assured that many of your Senate and Faculty colleagues are working very hard to achieve that end. The ultimate desired outcome is a set of enhancements to Faculty Governance that Faculty, administration, and Board can applaud.

- **Benefits Advisory Task Force**

The Executive Committee discussed with President Knapp and Provost Lerman the status of the newly formed Benefits Advisory Task Force. The Executive Committee made recommendations for Faculty participants. These will include Professors Sara Rosenbaum (co-chair), Benjamin Hopkins, Paula Lantz, Joseph Cordes, Shawneequa Callier, and Suzanne Jackson. The Benefits Task Force will also include 5 staff members. The Task Force is charged with reviewing the three major categories of GW benefits – health, retirement, and tuition – and comparing the university’s benefits in each of those categories with those offered by peer institutions. In addition to the trade-offs among different kinds of benefits, the task force will also consider the trade-offs between the salary and benefit components of compensation in light of national trends and available resources. The Task Force will develop short-term recommendations focused on next fall’s open enrollment period by May 1 and multi-year recommendations by December 1. The Benefits Task Force will also deal with the issue of employee tuition benefits as described in our Senate resolution entitled: A RESOLUTION TO ADDRESS THE BURDEN PLACED ON CURRENT UNIVERSITY EMPLOYEES WITH REGARD TO PROPOSED CHANGES IN TUITION BENEFITS (14/4).

- **Video Taping at Faculty Senate Meetings**

At the December 12 Faculty Senate meeting, concerns were expressed on whether or not videotaping should be permitted at Faculty Senate meetings. While there is a desire to be open in sharing our deliberations with the university community at-large, concerns were raised that videotaping can be inhibiting of discussion for various reasons. The Executive Committee is working on a resolution to suggest a policy with guidelines for when videotaping would be allowed and when it would not. The policy would consider the purpose of the videotape and how it might be used.

- **Upcoming Faculty Senate Activities**

March Faculty Senate Meeting: In March, we anticipate:

- Annual Core Indicators of Academic Excellence report by the Provost.
- Further discussion on faculty governance including resolutions.

April Faculty Senate Meeting:

- Report of Dean Livingstone on the Status, Vision, and new initiatives in the School of Business.
- Mr. Patrick Nero, Director of Athletics and Recreation, will report on the status of GW athletics programs.
- Discussion of faculty governance issues and possible resolutions is expected.

GRIEVANCES

- A grievance from the Graduate School of Education and Human Development has been filed.
- A grievance for the School of Engineering and Applied Science has been received. The grievance is in the mediation stage.
- A grievance from the School of Medicine and Health Sciences has been filed.

GENERAL COMMENTS

Several Senators have expressed interest in submitting resolutions to the Faculty Senate and queried about our norms and practices, and so the Executive Committee wishes to provide guidance. With the excellent help of Professor Steven Charnovitz, Senate Parliamentarian, the following guidelines were prepared.

The GWU Faculty Organization plan assigns the role of arranging the Senate's agenda to the elected Executive Committee. Each month's agenda may include resolutions reported by the Executive Committee or by one of the Standing or Special Committees. Having resolutions reported by a Senate Committee serves the interest of the Faculty in assuring that resolutions are properly vetted. This process also ensures that the best possible work product is presented to the Faculty Senate for their consideration since the concern has been discussed by an appropriate Committee. Absent such vetting, resolutions emerging from the floor are often not representative of the quality of work the Senate seeks to put forward.

A Member of the Senate (or for that matter, any Faculty Member) who sees a problem at the University for which Senate action may be useful should communicate that concern to a member of the Executive Committee. Under our rules, the Executive Committee serves as the channel for such faculty concerns. For many issues, a Senate Committee can work with the University Administration to address the problem without the need for a Resolution. For other issues, Senate Committees will find it desirable to use the mechanism of a Resolution to recommend precise policies to University administrators or to the Board of Trustees. Such Resolutions would be voted on by the Senate.

When a Member of the Senate, a Faculty member, or group of Faculty sees a problem and a solution, such Member is always free to draft up a Resolution or a detailed memorandum expressing a concern and offer it to the Executive Committee or to the Senate Committee of jurisdiction. This informal procedure can be done at any time and there is no need to wait for the monthly meetings of the Senate to do so. The Senate Committee can assist in exploring the concern, possibly broadening it to be more pertinent to a wider spectrum of Schools, and in the final development of a Resolution.

A more formal procedure exists to enable a Senate member to officially introduce a Resolution at a Senate meeting. Under our rules, when seconded, such a Resolution would be read aloud and then automatically referred to the Senate

Executive Committee for action subsequent to the Senate meeting. Because a resolution introduced in this way needs to be in proper form in order to be in order, I would ask any Senator contemplating introducing a Resolution in this way to consult with both the Executive Committee and the Parliamentarian well before the Senate meeting. This process is best done only when an issue is highly time-sensitive. A recent example of such a case was Senate Resolution 14/4 (A RESOLUTION TO ADDRESS THE BURDEN PLACED ON CURRENT UNIVERSITY EMPLOYEES WITH REGARD TO PROPOSED CHANGES IN TUITION BENEFITS) which was introduced on the floor of the November 2014 Faculty Senate meeting. This Resolution was highly time-sensitive because the benefits were scheduled to be reduced in January 2015 and action needed to be taken immediately. Resolution 14/4 was then referred to the Executive Committee for consideration and amendment and then put on the Senate agenda for the December Faculty Senate meeting. The Resolution was then voted on and carried unanimously.

An extraordinary procedure exists for a Member to introduce a resolution at a Senate meeting and then seek to suspend the rules of the Senate in order to consider that resolution immediately. This procedure has not been invoked in recent years and in my view should be reserved for true emergencies where Senate action cannot be postponed to the next regular meeting or to a special meeting called for the purpose of considering that resolution. Any invocation of this extraordinary procedure, in my view, would be in tension with our principles of due process under which Senate Members and the Faculty normally get seven days notice on matters to be considered in the upcoming Senate meeting. Such advance notice also ensures that each Senate member has ample time to study the proposed resolution and consult with constituents in order to enable the Senator to vote in a fully informed manner. In addition, in my view, a motion by a Senate member to suspend the rules to immediately consider an individually-drafted resolution would also be in tension with our norms which assign the role of crafting resolutions to the Executive Committee and to the Standing Committees. Any resolution that blindsides the Executive Committee is also undesirable because such actions can delay a Senate meeting with a tight agenda and because the Executive Committee may not have the opportunity to invite the appropriate administrators to attend the Senate meeting. Also, the self-initiator of a Resolution may not be aware of important factors that have a bearing on the Resolution.

I am happy to answer any questions about these time-tested practices.

Thank you.

ANNOUNCEMENTS

The next meeting of the Executive Committee will be on February 27, 2015. Please forward resolutions and reports to the Senate Office before that time.

Report of the Faculty Senate

Charles A. Garris, Jr. Chair
Faculty Senate Executive Committee

1. Good morning ladies and gentlemen. It is a pleasure to have this opportunity to address you on the activities of the Faculty Senate.
2. The Faculty Senate is very active this year. Our Senate Committees do the heavy lifting. I am happy to report that we have very strong committees this year with an abundance of dedicated faculty. We have also been very fortunate in having some highly qualified and motivated people step forward to chair our committees and provide leadership. As a result, the Faculty Senate has accomplished a lot this year and we expect to accomplish much more by the end of the academic year.

3. **RESOLUTIONS:**

Voted on:

- a. COPYRIGHT POLICY – unanimous.
- b. A RESOLUTION TO ADDRESS THE BURDEN PLACED ON CURRENT UNIVERSITY EMPLOYEES WITH REGARD TO PROPOSED CHANGES IN TUITION BENEFITS. – unanimous.
 - i. It is important to note that GW faces a very tough labor market for staff in the Washington DC area. We compete with law firms, lobbying firms, etc who pay top dollar. GW has been able to compete to some degree by virtue of our tuition benefit for staff. The recent cut in staff tuition benefits in mid-year without warning was not well-received by the staff. The Faculty Senate was concerned that this cut had a negative effect on staff morale and could have a negative impact on our ability to compete in the DC labor market for high quality staff.
 - ii.

Pending:

- c. Resolution on Open Access to Research Publications
- d. Resolution in Support of new Faculty Handbook.

4. **ONGOING ACTIVITIES**

- a. Benefits Advisory Task Force (will address tuition benefit issues)
- b. Development of new conflict of interest policy.
- c. Development of new patent policy.

- d. Survey of the Research Community – Provide positive feedback on ways of improving research environment.
- e. Templates for nonconcurrences – guidance to streamline the nonconcurrency process.
- f. Sexual Assault Survey – Assigned to Joint Committee of Faculty and Students to report on problem and make recommendations.
- g. Faculty Governance.

5. FACULTY GOVERNANCE

You will recall that following the Board of Trustees resolution in May 2013, the Board developed a very constructive relationship with the Faculty Senate. Together, the Academic Freedom provisions of the *Faculty Code* were amended with solid support from both the Faculty Senate and the Board of Trustees. We are successfully continuing with that collaboration model to improve the *Faculty Code* and the *Faculty Organization Plan*. This model for collaboration is very fruitful in that the wisdom and experience of the Board of Trustees can be melded with that of the Faculty. The Faculty is very grateful for the time and effort of the Board of Trustees in this endeavor. We very much appreciate the leadership of Chair Nelson Carbonell and Academic Affairs Committee Chair Madeleine Jacobs as well as the many Board members who led and participated in the working groups. To date, we have made substantial progress and expect an excellent outcome. Recent developments are:

- a) The Faculty Governance Working Groups provided the Senate with DRAFT RECOMMENDATIONS and the Executive Committee of the Faculty Senate provided a detailed response including amendments and new thoughts on achieving our goals.
- b) The Faculty Senate is fully committed to improving the *Faculty Code* and the *Faculty Organization Plan* to better facilitate achieving the goals of Vision 2021 as stated in the Board of Trustees Resolution of May 13, 2013.
- c) The Faculty and the Board of Trustees share the same goals; e.g.,
 - a. Expand participation in faculty governance to better engage all segments of the GW faculty in the governance of the university.
 - b. Improve appointment, tenure and promotion processes so as to recruit and retain the best and brightest faculty through a strong tenure/tenure track system.
 - c. Improve administrator search processes and administrator review processes so that we can attract and retain the best.
 - d. Improve the engagement of the Faculty in university decision-making by means of improved shared governance policies and procedures.
- d) Much work remains to be done to achieve our shared goals. As expected, there is considerable debate on certain issues and provisions. Nevertheless, our collaboration is

strong and the process we are following will lead to convergence on policies and procedures that are good for the University. Last week, Professor Wilmarth, Chair of the Professional Ethics and Academic Freedom Committee, and I met with Chair Carbonell, Dr. Jacobs, and Mr. Ryan Evans to explain in detail the recommendations and the thinking behind our response. The discussions were very productive. Discussions will continue until we converge on excellent improvements to the *Faculty Code* and *Faculty Organization Plan* that will be applauded by all. We hope to have resolutions moving forward to the Board this year.

6. Other Matters

There is much excitement about the opening of the SEH and the Corcoran. The opening of these facilities will enable faculty to accomplish more and will promote new opportunities for the GW community. They will also enhance our ability to attract outstanding faculty and students to GW.

This is a very exciting year to be in the Faculty Senate. Thank you for this wonderful opportunity to inform you about our activities.

Research Expenditures

Source of Funds	FY10	FY11	FY12	FY13	FY14	% Difference between FY14 & FY13
*US Federal Government Expenditures	\$122,357,000	\$116,611,000	\$112,109,871	\$120,857,000	\$141,551,985	17.1%
*All Sources Expenditures	\$196,917,000	\$197,621,000	\$196,447,896	\$202,428,000	\$227,996,106	12.6%
Indirect Costs	\$20,716,255	\$21,640,892	\$21,026,093	\$21,171,172	\$22,767,538	7.5%

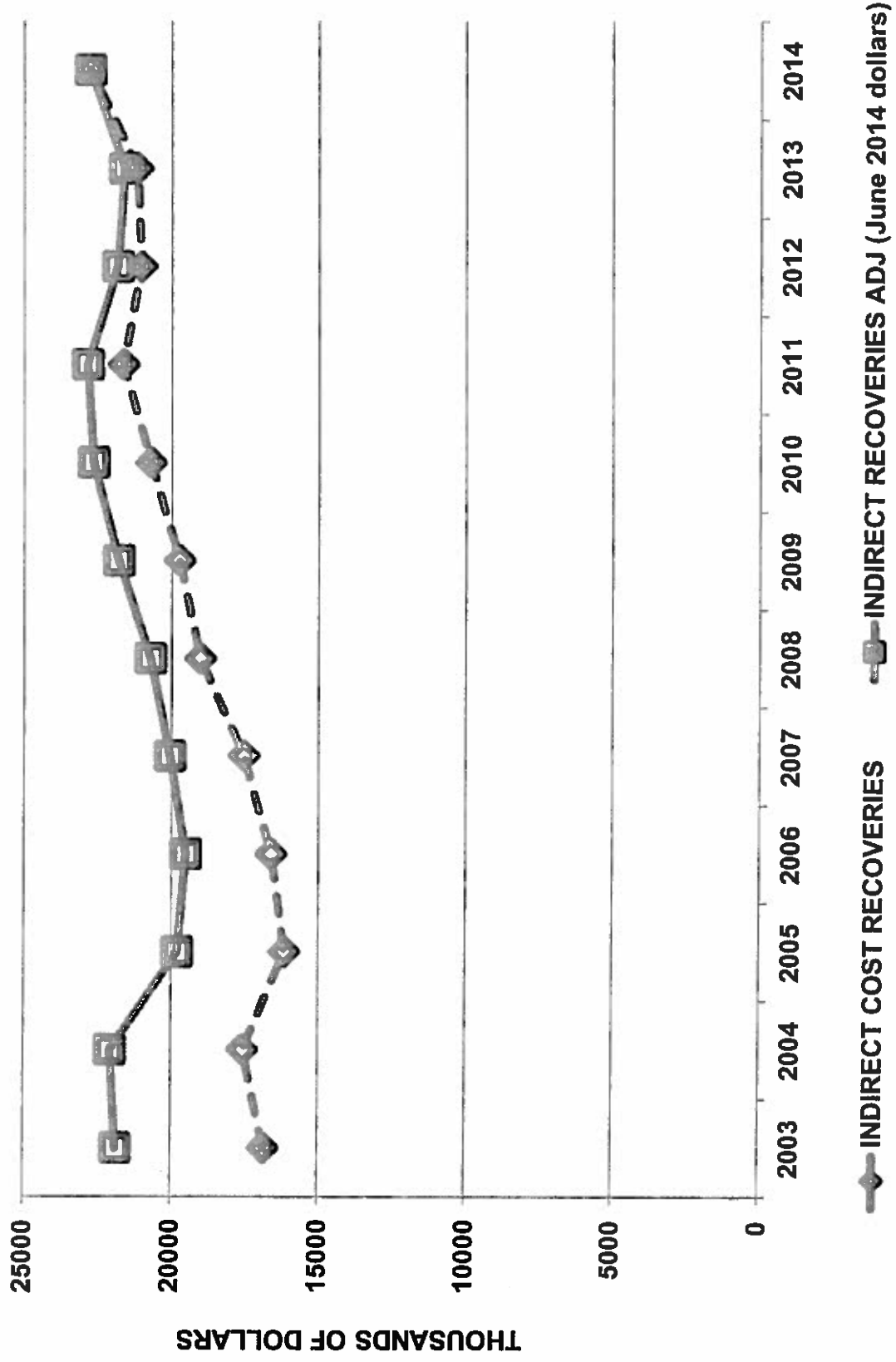
*As submitted to the NSF Higher Education Research & Development Survey

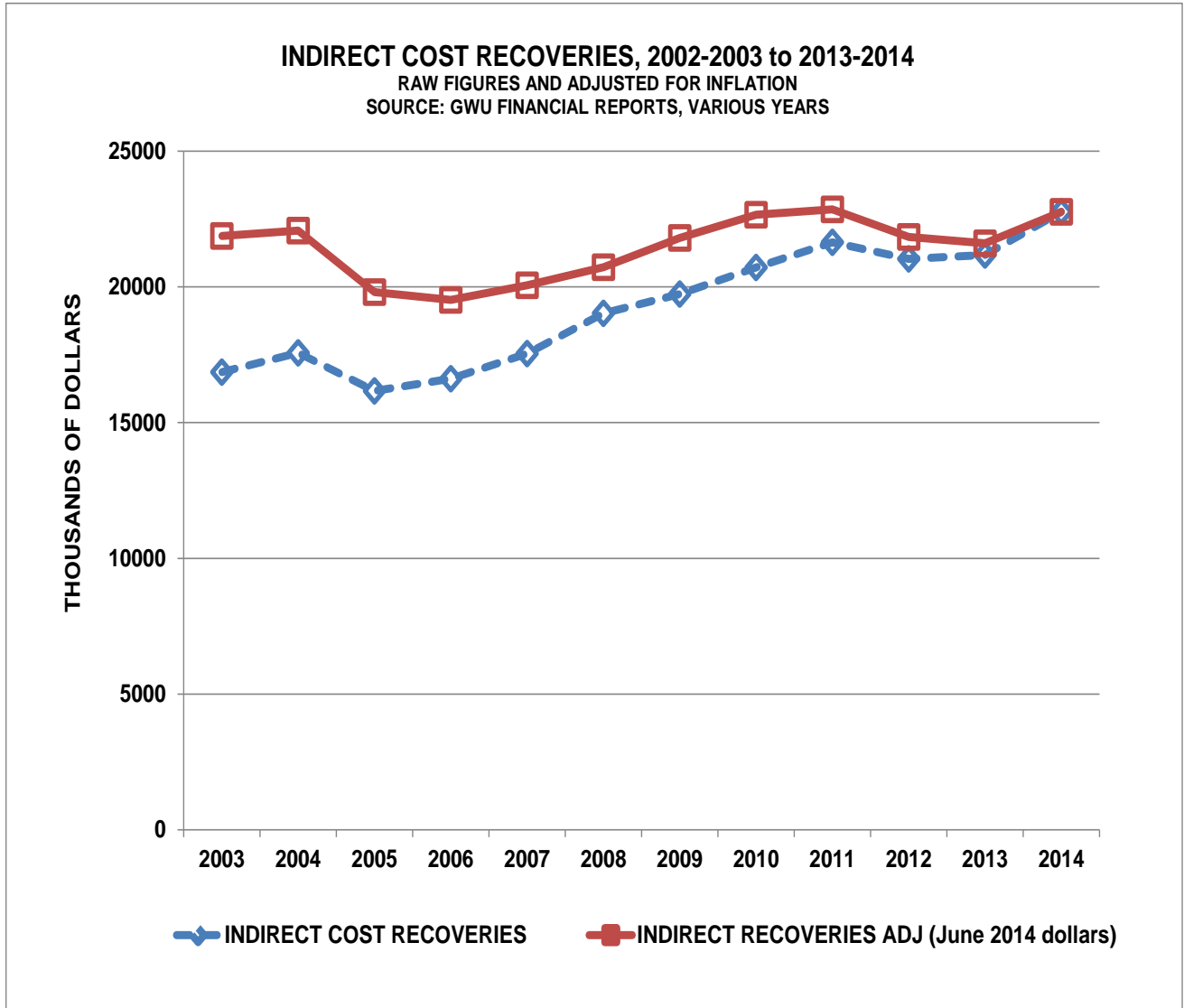
Notes:

1. FY13 and FY14 include \$4.7M and \$8.9M in expenditures on an NIH funded Capital Project award which provided no IDC.
2. Biostatistics Center grants account for ~ 25% - 30% of all funding with an IDC rate of 26% rather than the full IDC of 52.5%
3. The IDC has increased 13.2% in the first half of FY15 compared to the first half of FY14; our greatest increase ever for this period of time.

INDIRECT COST RECOVERIES, 2002-2003 to 2013-2014

RAW FIGURES AND ADJUSTED FOR INFLATION
SOURCE: GWU FINANCIAL REPORTS, VARIOUS YEARS





The George Washington University
Faculty Senate Committee on
Appointment, Salary, and Promotion Policies
(including Fringe Benefits)
Friday, February 13, 2015

Interim Report

The Appointments, Salary and Promotion Policies (Including Fringe Benefits) Committee (ASPP) of the Faculty Senate has had four meetings during the Fall 2014 semester and three so far during the Spring 2015 semester.

This report is comprised of edited minutes from those seven meetings.

Meeting #1, September 5, 2014

Vice President Ellis confirmed that the following faculty had been nominated for election at the next meeting of the Faculty Senate to serve on the Benefits Advisory Committee: Professors Anbinder, Castleberry, Gupta, Harrington, Rice & Thorpe. This would comprise a committee of twelve once the administration had appointed their members.

Vice President Ellis gave an update on the presentation the Human Resources department was preparing to give to the Faculty Senate at its meeting on September 12. The highlights were that the overall increase by the faculty of around 3% was budgeted for accounted to a 4% increase in the monthly premiums but counteracted by no increase in the deductible or prescription charges. This applied to the two major plans used by the faculty. The premium plan was to be replaced by a low premium high deductible plan with a special long term savings account.

Vice Provost Martin was able to give the ASPP Committee an update on the state on nonconcurrences which amounted to 3 cases out of a total of 42 faculty recommendations for tenure and/or promotion during the AY 2013/2014. One of these cases had been referred to President who had decided it. On the other two, issues arising from the departmental and school by-laws, required a decision to be made at a later date. The issue of the precise meaning of ‘compelling reasons’ was under review by the Executive Committee in conjunction with the administration.

The Board of Trustees had established four working groups, each chaired by a member of the Board with faculty representation from most of the schools. Their charge was to report their findings to the Board during the Spring semester 2015.

The Faculty Salary Equity committee, on which Professor Galston and Vice Provost Martin had both served, had produced a report on the situation as of AY 2010/2011. Professor Tuch of the Sociology Department was the co-chair of this committee which was currently looking at salaries in the AY 2012/2013 and would be available to discuss this with the ASPP Committee. It was agreed to invite Professor Tuch to the next meeting of the ASPP in October.

Meeting #2, October 10, 2014

Further discussion on the Health Benefits was addressed. It was generally agreed that these had been well presented by Vice President Ellis at the September meeting of the Faculty Senate and the Health Benefits were therefore in place for the coming year. Questions concerning other issues covered by the Benefits Advisory Committee would be addressed at the next meeting.

Meeting #3, November 7, 2014

The Faculty Salary Equity Committee discussion was the first item of business. The committee understood that there was still an ongoing activity within the Equity Committee and a report was due soon on the salaries for the Academic Year 2013/2014. Professor Tuch, chair of the Faculty Salary Equity Committee (FSEC) and Associate Provost Annie Wooldridge gave a detailed explanation of the work of the FSEC and provided relevant data. Further discussion then followed on the general principles applied by the FSEC especially in identifying those faculty lying outside a specific norm. The Deans of the schools in which these outliers were identified were contacted and in some cases salary adjustment was made, depending on the specific school's criteria. Of the 81 outliers from the 2013 report, 13 faculty identified in 2011 were in this category. If the school did not have sufficient funds to make the necessary adjustment, the Provost was able to do so.

Further discussion on the Health Benefits was then addressed. Vice President Ellis gave the committee an update on the enrollment of the faculty and staff. There was a total of 3112 enrollments of which 114 were for the High Deductible option. The increase in overall costs to the individuals on aggregate was 3%.

Health Coverage for Faculty traveling abroad whether on University Business or on privately was then discussed. The University does provide such coverage for faculty traveling on business with faculty are recommended to register with abroad services. Vice President Ellis would look into coverage for those faculty traveling abroad on private business.

The Tuition Remission Benefit reduction applied to all staff and faculty without 'grandfathering' in existing members did comprise a specific loss. Vice President Ellis stated that the \$750k savings with this benefit reduction had to be made to keep the overall benefits within the margins as laid out by the Board of Trustees. It was a question of trade-offs, and GW did not appear to be out of line with our peer institutions. This particularly

affected the Graduate Assistants in GSEHD and would have a major impact on recruiting GA's. The committee felt that more data on this benefit reduction was needed.

The question of the overall effect of applying the Board of Trustees 3% increase in the University Budget was raised. After much discussion, it was agreed that Professors Anbinder & Rau would serve on a Task Force together with two members of the Fiscal Planning & Budgeting Committee to look into this and to report back to their relevant committees.

Meeting #4, December 12, 2014

The issue of traveling faculty had been raised at a previous meeting and it was discovered that the particular faculty who had asked for this to be discussed had been billed as out-of-network. This was being looked into by HR.

Professor Anbinder had met with the Provost regarding Faculty Salaries and compared these with the Market Basket Schools salaries on a total compensation basis. Further discussions with the administration are on-going. The Task Force for which he was the convener was still in discussions and would be reporting to the ASPP Committee at its next meeting.

It was agreed to meet again in the New Year when a room could be reserved in the Science & Engineering Hall, probably on January 16. It was expected that the ASPP Committee would be discussing the Board of Trustees proposals to modify the Faculty Code.

Meeting #5, January 16, 2015

Professor Anbinder, presently leading a Joint Task Force (JTF) with the Fiscal Planning & Budgeting Committee informed the committee that the JTF had not completed their deliberations and would be reporting to the ASPP Committee at its next meeting.

There then followed a lengthy discussion on the various aspects of the amendments to the Faculty Code which had been proposed by the Board of Trustees. The document circulated to the committee and titled 'Faculty Governance – Draft Recommendations' was drafted by the Executive Committee and presented by Professor Marotta-Walters.

It was suggested by the committee that Section E. School-Wide Personnel Committees on Page 5 should allow for exceptions for the School of Medicine and Health Sciences (SMHS), the School of Nursing (SON) and the Millikan Institute and School of Public Health (MISPH).

The ASPP committee also recommended that subsection 3 be amended to read

'The recommendation of a school-wide personnel committee shall be construed as a faculty recommendation as defined by Section B.3 of the Procedures for Implementation of the Faculty Code however the recommendation of the department shall remain the primary faculty recommendation'.

Much of the rest of the Executive Committee's amendments to the Draft Recommendations were accepted. In the case of Section I Academic Personnel on pages 17 & 18, the SON was added in with the SMHS.

Meeting #6, January 23, 2015

Professor Anbinder had met with the Provost regarding Faculty Salaries and compared these with the Market Basket Schools salaries on a total compensation basis. Further discussions with the administration are on-going. He is presently leading a Joint Task Force with the Fiscal Planning & Budgeting Committee which had not completed their deliberations and would be reporting to the ASPP Committee at its next meeting.

There then followed a lengthy discussion on the various aspects of the new Faculty Code proposed by the Board of Trustees. These had been selected by the Faculty Senate Executive Committee as being especially applicable to the ASPP Committee. The specific details of this discussion were in an accompanying document. As there was still further activity by the Executive Committee on these proposals relevant to the ASPP Committee, the next meeting of the ASPP Committee on February 6 would be especially important. In particular, the proposed establishment of a Provost Advisory Committee with regard to the granting of Tenure and Promotion had already been criticized by a significant faction of the GW Faculty at large. Other issues were around the role of the School Appointments, Tenure & Promotion committees advisory to the Dean.

Meeting #7, February 6, 2015

Ms. Hayton gave an update on the recent meetings of the Benefits Advisory Committee and President Knapp's new Task Force also on benefits. A company entitled 'Advisory Board' had been engaged to determine the best Medical Plans for the University keeping in mind the total cost and a presentation was made to highlight the areas in which the University could reduce expenditures while maintaining the same level of benefit.

Avoiding emergency room visits were possible and accepting generic drugs in place of named varieties were examples of significant savings to the University. In both these cases, no loss of benefit would result.

Professor Anbinder, who was the convener of the Joint Task Force (JTF) with the Fiscal Planning & Budgeting Committee, presented the JTF's report. It is attached to this report as Annex 1. The ASPP committee welcomed the report and after considerable discussion agreed to forward the report with recommendations to the Executive committee as follows:

Conclusions and Recommendations (ASPP)

- 1) The data indicate that the overall level of fringe benefits provided to GW faculty is lower than almost all of the market basket schools at almost all faculty ranks both in percentage terms and in dollar terms. Even comparable schools outside the market basket with lower endowment-per-student resources than GW typically pay significantly more than GW in benefits.**

- 2) We recommend that the Senate Executive Committee ask the administration to address GW's low spending on faculty benefits as compared to similar universities, and that the administration increase spending on benefits in 2016 above and beyond the normal 3% increase to "catch up" to the benefits paid by other comparable universities.
- 3) We urge the administration not to cut one benefit to pay for an increase in another benefit, because that will not solve the main problem – that GW's overall benefits compensation to faculty is far below that of comparable universities.
- 4) We recommend that the administration not reduce the merit pool to fund an increase in the benefits pool – paying for an increase in benefits through a cut in the merit pool would only mask the problem rather than fix it.

The ASPP Committee requests the Faculty Senate Executive Committee to ask the administration for a written response to these recommendations prior to the end of academic year 2014-2015 (Commencement).

Members of the ASPP Committee:

R.J. Harrington (Chair)

Professors: Anbinder, Abravanel, Briggs, Galston (Executive Committee Liaison), Gupta, LeLacheur, Marotta-Walters, Plack, Rau, Schanfield, Williams

VP Ellis, Exec VP & Treasurer Katz, Provost Lerman, Vice Provost Martin,

M. Shea (Gelman Library)

Respectfully submitted,

R.J. Harrington

February 13, 2015.

ANNEX 1

**Report of the Joint Task Force of the
Faculty Senate Appointments, Salaries, and Promotion Policies Committee
and
The Fiscal Planning and Budgeting Committee
Charged With Investigating Faculty Benefit Levels**

Prepared by Prof. Tyler Anbinder, Columbian College of Art and Sciences; Prof. Theresa Gabaldon, School of Law; Prof. Benjamin Hopkins, Elliott School of International Affairs; Prof. Pradeep Rau, School of Business

The charge given to this task force was to examine GW's relative standing in faculty benefits and to examine, if GW's benefits lag behind those of other institutions, why this is the case. The task force began by considering published fringe benefits rates. In 2014, VP for Human Resources Sabrina Ellis distributed to the Benefits Advisory Committee a list of faculty fringe benefits rates that showed that GW ranked next to last:

**Published Fringe Rate of GW, Market-Basket Competitors,
And Other Comparable Universities**

Institution	Fringe Rate
Syracuse U.	40.9%
NYU	35.4%
Georgetown	35%
Johns Hopkins	34.5%
Columbia	33.7%
USC	33.5%
Northeastern	31.9%
U. of Chicago	29.6%
Boston U.	29.2%
Tufts	28.8%
U. of Rochester	28.6%
SMU	28%
Tulane	28%
Northwestern	27.2%
U. of Miami	26.8%
Washington U.	26.7%
American U.	26%
Emory	25.8%
Duke	25%
GWU	25%
Vanderbilt	21.9%

When members of the GW Benefits Advisory Committee recently suggested that GW's low fringe rate explained why we seem to pay more and get less health coverage than faculty at comparable schools, Ellis responded that published fringe rates do not always reflect the true amount that universities spent on benefits. She asserted that some of the universities above GW on this list actually do not spend as much on benefits as this list indicates.

We investigated the assertion that GW may rank better in actual fringe benefits paid than in its published fringe rate suggests by locating the actual amount schools spent on faculty benefits in 2013-14 in the *Chronicle of Higher Education*. These data show that published fringe rates do closely correlate with the amount universities spend on benefits:

**Average Faculty Fringe Benefits, By Faculty Rank,
Paid By GW and Its "Market-Basket" Competitors**

University	Avg. Fringe Benefits per Assistant Professor
USC	\$36,900
Boston U.	\$36,600
NYU	\$36,000
Northwestern	\$33,000
Tufts	\$26,200
Duke	\$24,900
SMU	\$24,500
Georgetown	\$24,100
U. of Miami	\$22,000
Emory	\$21,300
Tulane	\$20,400
Vanderbilt	\$19,100
American	\$18,900
GWU	\$18,500
Washington U.	\$16,600

University	Avg. Fringe Benefits per Associate Professor
USC	\$41,500
Duke	\$39,900
NYU	\$36,600
Northwestern	\$36,200
Tufts	\$33,000
Boston U.	\$29,800
U. of Miami	\$29,800
SMU	\$28,700
Georgetown	\$28,200
Emory	\$26,800
Washington U.	\$26,500
American	\$25,700
Tulane	\$23,300
Vanderbilt	\$22,800
GWU	\$22,800

University	Avg. Benefits Paid to Each Full Professor
NYU	\$64,000
Duke	\$53,900
USC	\$51,100
Boston U.	\$49,100
Northwestern	\$48,100
Tufts	\$45,000
Washington U.	\$44,100
Georgetown	\$40,500
U. of Miami	\$39,800
SMU	\$38,300
Emory	\$35,400
American	\$34,300
Tulane	\$33,400
GWU	\$32,900
Vanderbilt	\$29,800

In defending GW's benefits package, the Provost has argued in the past that what really matters is total compensation. If GW is especially generous in salaries, then that fact would compensate for a benefits package that is less generous. GW fares only slightly better in this metric, below both the median and the mean at all ranks:

**Total Compensation (Salary and Benefits) for GW Faculty
and Their Market-Basket Competitors, by Rank**

University	Avg. Total Compensation for Assistant Professors
NYU	\$146,000
Northwestern	\$135,700
USC	\$132,500
Boston U	\$129,800
Duke	\$128,400
Georgetown	\$125,300
SMU	\$122,400
Washington U.	\$114,900
Tufts	\$112,600
Vanderbilt	\$108,000
Emory	\$107,200
GWU	\$106,000
U. of Miami	\$105,500
Tulane	\$100,200
American	\$99,000

University	Avg. Total Compensation for Associate Professors
Duke	\$160,700
USC	\$151,500
Northwestern	\$151,300
NYU	\$148,700
Boston U.	\$140,000
Georgetown	\$139,500
Washington U.	\$137,100
Tufts	\$135,300
GWU	\$132,200
Emory	\$131,600
American	\$131,400
Vanderbilt	\$130,300
U. of Miami	\$129,200
SMU	\$129,000
Tulane	\$115,300

University	Avg. Total Compensation for Full Professors
NYU	\$259,700
Duke	\$240,300
Northwestern	\$230,100
Washington U.	\$227,700
Georgetown	\$218,400
USC	\$215,700
Boston U.	\$210,700
Vanderbilt	\$204,600
American	\$195,700
GWU	\$194,300
Emory	\$193,800
U. of Miami	\$190,900
Tufts (has no law school)	\$188,200
SMU	\$184,300
Tulane	\$180,500

These data show that GW ranks especially low in its total compensation for assistant professors, something confirmed when looking outside the market basket as well.

Total Compensation for GW Faculty Compared to AAUP 80th Percentile, 2013-14

	GW	AAUP 80th Percentile
Assistant Professors	\$106,000	\$114,900
Associate Professors	\$132,200	\$131,600
Full Professors	\$194,300	\$187,300

Source: <http://www.aaup.org/sites/default/files/files/2014%20salary%20report/table9b.pdf>

GW assistant professors fall below the 70th percentile in total compensation, even though by salary alone they rank at exactly the 80th percentile. The only possible explanation for this disparity is that GW does not provide benefits to lower-paid faculty members at the same rate as other institutions that pay the same salaries.

One might imagine that the solution to this problem would be to add to the compensation of assistant professors, but our analysis suggests that the issue is not one of rank but of how benefits relate to salary level. Some universities in our market basket have vesting periods before the employer matches employee retirement contributions, which lowers the compensation for the newest (typically lowest ranked) faculty members, but GW does not have a vesting period. Other schools in our market basket pay retirement benefits at a lower rate to younger employees, which also reduces the benefits paid to assistant professors, but GW does not do that either. So it seems most likely that GW's benefits package is undercompensating lower-paid faculty in general, not younger or pre-tenure faculty in particular.

We recognize that the “market-basket” schools may not in all cases be the best institutions with which to compare GW. Only three schools on the list (American, Boston University, and the University of Miami) have an endowment-per-student at or below GW's (NYU's is slightly higher but comparable). While we may aspire to compete with the other schools on the list, perhaps we do not have the financial wherewithal to do so.

But a number of schools not in our “market basket,” with smaller endowments per student than GW, pay significantly more in benefits and total compensation than GW. Northeastern University in Boston, for example, pays more than GW in total compensation at every faculty rank, even though it has a much lower endowment per student than GW. Fordham University also pays far higher total compensation at the assistant and associate faculty levels than GW, even after adjusting for New York's higher cost of living, and despite the fact that Fordham has no medical school to boost its salary pool. Within the market basket, too, schools with much lower endowment-per-student levels than GW, such as Boston University, manage to pay far more than GW in benefits, and therefore more in total compensation. While endowment clearly affects how much a university can afford to pay its faculty, the data we have collected indicates that endowment is not the decisive factor that explains why GW's benefits lag behind almost all comparable schools.

What we also found striking in the total compensation figures is that other than American University, every school that ranked below GW in total compensation is located in a place with a far lower cost of living than Washington. When adjusting total compensation for cost of living in the city in which each university is located, GW again falls to the bottom of the rankings.

**Total Compensation for GW Faculty and Their Market-Basket Competitors,
Adjusted for Cost of Living¹**

University	Avg. Total Compensation for Asst. Profs. Adjusted to Reflect What That Compensation Equates to in the Washington Metropolitan Area
Duke	\$194,911
SMU	\$177,113
Washington U.	\$170,397
Vanderbilt	\$169,668
Northwestern	\$162,297
Emory	\$153,189
Tulane	\$144,088
USC	\$140,318
U. of Miami	\$134,618
Boston U.	\$132,266
NYU	\$127,020
Georgetown	\$125,300
Tufts	\$114,739
GWU	\$106,000
American	\$99,000

University	Avg. Total Compensation for Assoc. Profs. Adjusted to Reflect What That Compensation Equates to in the Washington Metropolitan Area
Duke	\$243,943
Vanderbilt	\$204,701
Washington U.	\$203,319
Emory	\$188,056
SMU	\$186,663
Northwestern	\$180,955
Tulane	\$165,801
U. of Miami	\$164,859
USC	\$160,439
Boston U.	\$142,660
Georgetown	\$139,500
Tufts	\$137,871
GWU	\$132,200
American	\$131,400
NYU	\$129,369

¹ We used Money/CNN.com's cost-of-living calculator, which is based on federal cost-of-living data, to determine the buying power of each school's total compensation in comparison to the buying power of compensation in Washington. That meant that pay for the New York City school in our market basket was adjusted downward (to reflect New York's higher cost of living) and those for all other cities were adjusted upward, because those other cities, according to federal data, have lower costs of living than Washington (the "Washington" cost-of-living figure combines the cost of living in D.C. and its inner suburbs). For the New York cost of living, we used an average of the cost of living for Manhattan, Brooklyn, Queens, and the inner suburbs.

University	Avg. Total Compensation for Full Professors Adjusted to Reflect What That Compensation Equates to in the Washington Metropolitan Area
Duke	\$364,775
Washington U.	\$337,679
Vanderbilt	\$321,427
Emory	\$276,940
Northwestern	\$275,200
SMU	\$266,682
Tulane	\$259,559
U. of Miami	\$243,398
USC	\$228,426
NYU	\$225,939
Georgetown	\$218,400
Boston U.	\$214,703
American	\$195,700
GWU	\$194,300
Tufts*	\$191,776
* has no law school	

When adjusted for cost of living, GW ranks poorly in total compensation, beating only American University at the assistant professor level, only AU and NYU at the associate professor level, and only Tufts (a university with no law school, which drives down its average full-professor compensation) at the full professor level. Washington did not always have such a high cost of living, but now ranks only behind New York and San Francisco in this category.

Conclusions and Recommendations

1) The data indicates that the overall level of fringe benefits provided to GW faculty is lower than almost all of the market basket schools at almost all faculty ranks both in percentage terms and in dollar terms. Even comparable schools outside the market basket with lower endowment-per-student resources than GW typically pay significantly more than GW in benefits.

2) We recommend that the Senate Executive Committee ask the administration to explain why GW's spending on faculty benefits is so low compared to comparable universities.

3) We recommend that the university increase spending on benefits in 2016 to "catch up" to the benefits paid by other comparable universities.

4) We urge the university not to cut one benefit to pay for an increase in another benefit, because that will not solve the main problem—that GW's overall benefits compensation to faculty is far below that of comparable universities.

5) We recommend that the university not reduce the salary pool to fund an increase in the benefits pool—paying for an increase in benefits through a cut in the salary pool would only mask the problem rather than fix it.