

THE GEORGE WASHINGTON UNIVERSITY  
Washington, D.C.

The Faculty Senate

November 5, 2015

The Faculty Senate will meet on Friday, November 13, 2015 at 2:10 p.m. in the State Room, 1957 E Street, 7<sup>th</sup> Floor

AGENDA

1. Call to order
2. Approval of minutes of the meeting of September 11, 2015.
3. Introduction of Resolutions
4. **Report from FISAC (Faculty Information System Advisory Committee):  
Status of Lyterati 3.0 and the Faculty Expert Finder:** (Vice Provost Martin)
5. **Faculty Senate Membership: Discussion of Outcome of Faculty Assembly** (Prof. Garris).
6. **GENERAL BUSINESS**
  - a) Nominations for election of faculty members to Senate Standing Committees:
  - b) Reports of Senate Standing Committees
  - c) Report of the Executive Committee: Professor C. A. Garris, Chair
  - d) Provost's Remarks
  - e) Chair's Remarks
7. Brief Statements (and questions)
8. Adjournment

*Elizabeth A. Amundson*  
Elizabeth A. Amundson, Secretary

**THE GEORGE WASHINGTON UNIVERSITY  
Washington, D.C.**

**MINUTES OF THE REGULAR FACULTY SENATE MEETING  
HELD ON SEPTEMBER 11, 2015  
IN THE STATE ROOM**

Present: President Knapp, Provost Lerman, Registrar Amundson, and Parliamentarian Charnovitz; Deans Feuer, Goldman, Executive Committee Chair Garris; Professors Brazinsky, Costello, Dickinson, Galston, Griesshammer, Harrington, Hawley, Hopkins, Katz, Khourey, Marotta-Walters, McAleavey, McDonnell, McHugh, Newcomer, Packer, Perry, Price, Pulcini, Rehman, Roddis, Rohrbeck, Sarkar, Swaine, Williams, Wilmarth, and Wirtz.

Absent: Deans Akman, Dolling, Eskandarian, Jeffries, Livingstone, Morant, and Vinson; Professors Barnhill, Downes, Jacobson, McDonnell, Miller, Rice, Rimal, Shesser, Sidawy, Squires, Swiercz, Thompson, Wald, and Zeman.

CALL TO ORDER:

The meeting was called to order at 2:13 p.m.

IN MEMORIAM

A moment of silence was held in honor of Linda Sue Campbell, Faculty Senate Coordinator, who passed away on June 3, 2015. She served the Senate for over twenty-one years.

APPROVAL OF THE MINUTES

Minutes of the meeting held on May 8, 2015 will be approved at the October 9, 2015 meeting.

INTRODUCTION OF NEWLY-ELECTED AND RE-ELECTED MEMBERS OF THE SENATE

President Knapp acknowledged new members of the University Senate in administrative positions, and Andie Dowd, the new Student Association President.

INTRODUCTION OF RESOLUTIONS

No new resolutions were introduced.

REPORT OF THE BOARD OF TRUSTEES ACTIVITIES ON FACULTY GOVERNANCE

Chair Carbonell gave a brief overview of the faculty governance review process at GW that has taken place over the past two years. He said that on June 18, 2015, the Committee on Academic Affairs and the Board of Trustees unanimously approved three resolutions on faculty

governance.

The first resolution discussed by the Chair directs President Knapp to introduce a resolution that will amend the *Faculty Organization Plan* in regards to participation of the Faculty Senate for full-time faculty members. The procedures governing this resolution are outlined in the *Faculty Organization Plan*.

The second resolution consists of recommendations from the Board's Subcommittee on Faculty Governance. This resolution amends the *Faculty Code* in the following areas:

- Establishes standards for the selection of deans;
- Codifies existing standards of excellence currently used by the various departments;
- Permits greater participation of personnel from school-wide committees to assist with the review of tenured cases;
- Streamlines faculty grades of academic personnel; and,
- Identifies a common set of university rules that each school must maintain in conjunction with departmental and school rules already established.

The third resolution calls for Board of Trustees member Madeleine Jacobs (Chair of the Committee on Academic Affairs and Subcommittee on Faculty Governance) to study the ratios of tenured and tenure-track faculty to non-tenure track faculty within departments and schools, and to further study the role of a university-wide personnel committee in the tenure and promotion process.

Note: See attached report from Ms. Jacobs.

#### REPORT ON EXECUTIVE COMMITTEE ACTIVITIES ON FACULTY GOVERNANCE

Professor Packer noted that the university's Chief Administrative Officer (President Knapp) chaired meetings of the Faculty Senate. He inquired as to whether Chair Carbonell would review this arrangement. Chair Carbonell responded by stating that President Knapp's attendance at the Faculty Senate hearings is a strength. President Knapp stated that he enjoyed meeting with the Faculty Senate but would be open to the idea of reviewing his role.

Professor Rice inquired into whether the full Board of Trustees reviewed the three resolutions passed on May 8, 2015. Chairman Carbonell responded that the entire Board of Trustees received all of the resolutions passed in May. Mr. Carbonell also noted that the Academic Affairs Committee was diligently working to review the resolutions.

Chair Carbonell mentioned that a website was established to allow comments on the resolutions to be submitted anonymously. Professor Griesshammer inquired as to whether the comments could be shared publicly, since they were provided anonymously. Chair Carbonell noted that information has been shared with the Faculty Senate Executive Committee and the Faculty Senate throughout the two-year review of faculty governance at GW. Chair Carbonell noted that comments may be shared publicly, where appropriate.

Professor Garris conducted a brief overview of the shared governance process at GW during the last two years. Professor Garris noted that in October 2013, the Board of Trustees established a

Task Force on faculty governance. The Task Force identified the following five areas for investigation:

- 1) Academic freedom;
- 2) Promotion and tenure processes;
- 3) Dean search and review process;
- 4) School rules and procedures; and,
- 5) Participation in the Faculty Senate.

In October 2013, the Board of Trustees encouraged the adoption of a common set of rules for faculty members at the various educational departments at GW. The Board also encouraged non-tenured faculty to participate in Faculty Senate meetings.

Initially, there was resistance to creating a common set of faculty governing rules. There was also some contention over the Board's ability to make revisions to the *Faculty Code*. Many members of the Faculty Senate expressed dismay in the Board's ability to make unilateral changes to the *Faculty Code*, without any input or suggestions from faculty.

In an effort to alleviate faculty concerns about unilateral changes, the Faculty Senate introduced Resolution 13/3 entitled, *A Resolution on Established Procedures for Approving Any Changes to the Faculty Code or Faculty Policies That May Be Recommended By the Board of Trustees Governance Task Force*. The resolution required that proposed changes to the *Faculty Code* must first be submitted to the Faculty Senate. The Senate passed the resolution unanimously.

Professor Garris also noted that Resolution 14/2 was put forth in order to amend the *Faculty Code* with respect to academic freedom. After an amendment was made, the Faculty Senate passed the resolution.

Professor Garris also noted that the Board identified three pending issues that must be explored by the committees. The three issues are listed as the following:

- 1) The 75%/25% rule for the schools at GW (these percentages are the ratios of tenured and tenured-track faculty compared to the regular contract faculty for the schools, respectively);
- 2) The 50% rule (which requires a ratio for tenured and tenured-track faculty as a proportion of regular contract faculty for the departments); and,
- 3) The issue of the university-wide personnel committee.

Professor Garris noted that the 75%/25% rule is still stated within the *Faculty Code*, and the 50% rule is also stated in the *Faculty Code*. He also mentioned that the university-wide personnel committee is essentially the present Executive Committee. Additionally, he anticipates that there will be further collaboration between the Board, the PEAFC Committee, and the Faculty Senate on the remaining three issues. He also plans to have resolutions on the three pending issues available for the October meeting.

Professor Garris also entertained questions about specialized faculty. Professor Garris stated that specialized faculty was one of the subsets of the three pending issues. He noted that there have not been any changes in the treatment of specialized faculty. (He defined specialized faculty as any faculty member who engages in no more than two of the following: teaching, research, and service. Specialized faculty also includes the following individuals: research faculty, clinical faculty, teaching faculty, and any variations of the aforementioned faculty).

Professor Garris mentioned a past discussion during a prior Faculty Senate meeting in which the Senate suggested imposing a cap on specialized faculty at twenty-five percent (25%) across all schools at GW. As of today's meeting, there is no cap on specialized faculty within any division.

Professor Hopkins inquired into whether the Senate was required to approve agreements between the Executive Committee and the Board of Trustees. Professor Garris recommended that resolutions between the Executive Committee and the Board of Trustees be brought to the Senate for review. He indicated that the Board did not take resolutions to the Senate, and they are not required to do so. Professor Hopkins also inquired as to whether the changes enacted by the Board in June 2015 are currently part of the *Faculty Code*. Professor Garris noted that the new changes are a part of the *Faculty Code*. He also noted that the first resolution that the Board enacted is entitled, *Amendments to the Faculty Code*, and this amendment is contained in the *Faculty Code*.

Professor Griesshammer expressed concern about the new phase of a stronger and more collaborative process. He found an apparent inconsistency in which the Board presumably should have collaborated with the Senate over resolutions it created and developed. However, he noted that the Board chose to pass the resolution without the Senate's review, and thus contradicted the notion of increased shared governance. He questioned how increased governance was being encouraged, when the Board moved forward on a resolution without the Senate's input or approval.

Professor Garris explained that the Board works within its own timetable. He also noted that there was extensive collaboration between the Board and the Faculty Senate in determining the resolutions. He suggested that the Board might have believed that the faculty would have approved the changes within the resolution. Nonetheless, the Board made the final determination to not submit the proposed resolution to the Senate. Professor Garris noted that his committee (the Executive Committee) recommended that the Board share the resolution with the Senate before approving it. However, he again noted that the Board worked within their own timetable,

In a slight change of topic, Professor McAleavey stated that the Senate should have confidence in the Executive Committee to perform essential work when the Senate is unable to meet. Professor McAleavey supported Professor Garris's contention that the Executive Committee could reasonably believe that the faculty would find resolutions appropriate, although they lacked the consent of the Senate. Professor McAleavey also noted that the language in the revisions of the *Code* is often superior to the language in the Faculty Senate resolution.

Professor Garris noted that although the Executive Committee was not privy to the confidential discussions the Board held during the Academic Affairs Committee, he believed that the Executive Committee was given a good opportunity to express its point of view. Professor Garris noted that the Executive Committee and the faculty were both given the opportunity to voice their opinions, first in June 2015 and then again at the town hall meeting.

Professor Garris noted that the Board believes they possess the fiduciary duty to make decisions that are in the best interest of the University. He also noted that the Board seeks to ensure that the best decisions for the University are made, and this occurs when the various committees are given an equal opportunity to voice their opinion. Professor Garris also noted that the Board contends that the notion of shared governance means that no one party has veto power over the other, including the faculty.

Professor Garris also reiterated that the current shared governance system is not one in which the faculty has a right to vote and veto whatever resolution the Board puts forward. He further clarified by stating the Executive Committee has the ability to express its thoughts and opinions, and the Board will take their ideas and concerns into account. However, the Board will not allow the Executive Committee to veto its ideas. He noted that he was content with this approach.

Professor Wirtz expressed concern over the current governance system and lack of veto power. He remembered that there was some contention on how one portion of the Faculty Code could be interpreted. He cited a provision in the first sentence of the Faculty Code. He then stated that some believed that since the Board of Trustees had created that particular Faculty Code provision, that the Board had final determination on all matters. It was his understanding that questions arose as to whether that provision should be interpreted broadly to say that the Board of Trustees could abolish the Faculty Code, or make changes to the Faculty Code as they felt were appropriate, and could also make random alterations to the Faculty Code simply based on that one provision alone. Professor Wirtz stated that this was a point of contention that needed to be discussed within the Senate.

Professor Garris noted that the *Faculty Code* essentially states that the Board of Trustees establishes the *Faculty Code* in accordance with the University Charter. He then explained that the University Charter validates the assertion that the Board has very extensive powers to perform the governance procedures it currently executes. He further stated that the University Charter elaborates on the numerous powers of the Board of Trustees, without any mention of the powers of the faculty.

Professor Garris noted that there are only two documents that contain power to change the *Faculty Code*. The first is the *Faculty Code* itself, and the second document is University Charter. He explained that there is no provision in the *Faculty Code* for an amendment to be made with the advice and input of the committees outside of the Board of Trustees. The only discussion about the Board of Trustees and its ability to modify the *Code* was based on the provision previously cited by Professor Wirtz. Professor Garris also explained that within the University Charter, there is very little to support the contention that the Board of Trustees must work through the faculty.

Professor Wirtz said there was some ambiguity in the interpretation of the provision, and appropriate positions for the Board to take on non-controversial issues is to simply send the item or issues to the Senate for discussion, and seek to find a solution based on compromise. Professor Wirtz further explained that the message communicated to non-Board Members was confrontational in essence, and essentially informed non-Board Members that the Board was solely in charge, and “called the shots” on all matters of issues.

President Knapp responded to Professor Wirtz’s remarks regarding the Board of Trustees’ role in the governance review process. He noted that while the *Faculty Code* does not contain any procedures for amendment, there is an explicit amendment procedure for the *Faculty Organization Plan*. President Knapp made clear that the Board of Trustees intends to follow those procedures. He explained that any modification to the *Faculty Organization Plan* required the approval of the Faculty Assembly.

President Knapp explained that the Board of Trustees explicitly “tied its own hands” by not providing the Board with the right to amend the *Faculty Organization Plan* without the approval of the Faculty Assembly. However, the Board did not restrict itself in regards to the *Faculty Code*. This suggests that there was an intention not to require any particular procedure for amending the *Faculty Code* outside of the Board’s own approval authority. President Knapp also provided a brief overview of the history of the process to amend the *Faculty Code*. He highlighted the fact that the process was triggered by the Strategic Plan that was adopted by the Board of Trustees in 2012.

President Knapp endorsed Professor Garris’ statement about the governance process. He then noted that his endorsement of Professor Garris’ view did not preclude the faculty or the Faculty Senate from asking questions on the points that Professor Wirtz raised.

Professor Griesshammer noted that the D.C. Courts interpreted some portions of the *Faculty Code* as a binding contract between the university and individual faculty members. Professor Griesshammer noted that there was still no answer as to whether unilateral changes in a contract that adversely impacted individual rights, would actually make it to the courts. For those faculty members involved within the tenure-track systems, the change in the system would affect their current standing. He also expressed disappointment in the lack of unanimous consent around the issues than what were voiced.

President Knapp addressed Professor Griesshammer’s concerns. He stated that whatever process had been followed in terms of engagement between the Board and the Faculty Senate would not have changed the contractual issues mentioned by Professor Griesshammer. He explained that if there were contractual implementations, those contracts are between the university and individual members of the faculty. President Knapp mentioned that former Interim Dean Maggs had previously clarified this point at a Faculty Senate meeting, and that his comments were noted in the minutes from the meeting that he attended.

President Knapp stated that there needs to be a consideration of contractual implementation as noted by Professor Griesshammer’s concerns, and such consideration would be taken seriously by the Administration and the Board.

## A SUBSTITUTE RESOLUTION ON RECOMMENDED CHANGES TO THE FACULTY ORGANIZATION PLAN REGARDING FACULTY PARTICIPATION IN THE FACULTY SENATE

Professor Wilmarth, on behalf of the PEAFC Committee, introduced Revised Substitute Resolution 16/4. He mentioned that this resolution was originally discussed at the Senate's meeting in May; however, the Senate decided to postpone further discussion of the resolution until the present meeting. He noted that the Board of Trustees made two very important decisions when they approved amendments to the Faculty Code on June 15th. First, while the Board did not eliminate the 75%/25% rule governing the composition of the regular faculty, the Board did change the schools that were exempt from the rule. The Board exempted three schools from the 75%/25% rule: the School of Medicine and Health Sciences (SMHS), the School of Nursing (SON), and the Milken Institute of School of Public Health.

The Board of Trustees also decided on June 15th to reject the 25% cap on specialized faculty that the Senate had recommended. The Senate recommended that SMHS and SON should be exempted from the proposed 25% cap on specialized faculty because of their intensive clinical teaching programs, which require a very low student-to-teacher ratio. The Senate recommended a 25% cap on specialized faculty for all other schools, but the Board did not adopt that recommendation. When the issue of the 25% cap was discussed during the Senate's previous meeting in May, Professor Wilmarth explained that three Senate committees (ASPP, PEAFC, and the Executive Committee) recommended the 25% cap as an important element in the Senate's resolution.

Professor Wilmarth identified continuing concerns about the lack of input from specialized faculty as to their preferences regarding service in the Senate, especially given the potential adverse impact of eligibility for service in the Senate on possible collective bargaining rights that specialized faculty may currently possess due to their very limited governance rights.

Professor Wilmarth stated that, following the Board's actions in June, the Executive Committee and the PEAFC Committee reviewed the Senate representation issue again, and both Committees reaffirmed their prior decisions on three basic points. The first point is that all faculty members who serve in the Senate should have a minimum of three years of full-time service to the university. The purpose behind this requirement is to ensure that individuals who serve in the Senate have an understanding of the culture, traditions and governance of the university and their school before they become eligible for service in the Senate. The second point is that service in the Senate should be open to tenured faculty members and also to regular faculty members without tenure who have achieved the rank of associate professor or higher. The third point is that at least half of the members of the Senate from each school should hold tenured appointments.

Professor Wilmarth stated that many specialized faculty are on year-to-year contracts, and many of them are also on soft-money contracts. Specialized faculty do not engage in all three areas of core faculty activity (teaching, research, and service). Therefore, the Executive and PEAFC Committees continue to have significant concerns about the independence of specialized faculty and whether they have the necessary breadth of experience and academic involvement to represent their schools effectively within the Senate. Professor Wilmarth also noted that the



question of whether specialized faculty should be eligible to serve in the Senate could be revisited in the future, after the Senate has gained experience regarding the effects of including regular, non-tenured faculty in its membership.

While Professor Wilmarth supports the proposal to allow regular, non-tenured faculty to serve in the Senate, he emphasized the great importance of ensuring that tenured faculty members will continue to constitute a majority of the Senate. He noted the following benefits of including a requirement that at least half of the Senate members from each school must hold tenured appointments:

- 1) Faculty members with tenure have a long-term investment in the university;
- 2) Tenured faculty members have the economic independence and security that is needed to encourage them to engage in robust dialogue with the administration about the University's academic programs and future direction; and,
- 3) Tenured faculty members have the ability to disagree with the administration without fearing that they could lose their jobs.

In response to an inquiry from Professor McAleavey, Professor Wilmarth noted that specialized faculty who are in full-time service would retain the right to vote in elections for Senators from their schools. Professor Wilmarth also noted that, while specialized faculty could not serve as senators under Revised Substitute Resolution 16/4, they could continue to serve on Senate committees.

Professor McAleavey followed up with another question about the definition of the term "in full-time service." He inquired as to whether this term was not synonymous with the term "regular full-time faculty." Professor Wilmarth explained that the two terms are not synonymous. Professor Wilmarth stated that there are full-time specialized faculty members who are not considered to be regular faculty members because they do not have responsibility for all three areas of core faculty activity. He further noted that not all specialized faculty are in full-time service, and only those who are in full-time service are entitled to vote in elections for Senators from their schools.

Professor Swaine inquired about the eligibility requirements for faculty members wanting to serve in the Senate. He noted that eligibility requirements for tenured faculty members were becoming more stringent. He asked if the eligibility rules were also designed to impose restrictions on the tenured faculty, since the three-year service requirement was also mandatory for them. Additionally, he stated that the requirement mandated that faculty members must be tenured at the time of the election as opposed to the following year. Professor Wilmarth confirmed that the rules contained in Revised Substitute Resolution 16/4 were intentionally designed to require at least three years of full-time service as well as the holding of a tenured faculty position or a regular, non-tenured faculty position (at the rank of associate professor or higher) for all faculty who wish to serve in the Senate.

Professor McDonnell commenced a new conversation on the composition of faculty, and the representation of the Faculty Senate in schools in general. She acknowledged that in Senate Resolution 16/2, the Faculty Senate sought to impose university-wide quotas on research faculty. She noted that the policy of excluding research faculty from participating in the Senate precluded

the School of Public Health from having representation that best promotes its public health mission.

Professor Roddis asked Professor Wilmarth about the “whereas clause,” stating that Senate committees and the Faculty Senate are concerned that specialized faculty members have not had an adequate opportunity to consider and express their views. Professor Roddis noted that the clause might impair the existing labor rights of the specialized faculty. She inquired as to whether the bargaining rights of contract faculty members would remain intact, since in essence it appeared as though they were losing their bargaining rights. Professor Roddis further noted that there was confusion about the role of research faculty. She said that, some research faculty are entirely funded by soft money with restrictions that would forbid them from participating in any service at the university.

Professor Wilmarth responded to both inquiries from Professor Roddis. Professor Wilmarth noted that he had discussed this matter with Professor Charles Craver, his Law School colleague who specializes in labor law. Professor Craver advised that expanding the governance participation rights of specialized faculty could potentially reduce their right to engage in collective bargaining. Professor Wilmarth noted that the Executive Committee has invited specialized faculty to express their views about service in the Senate on gw.hoopla; however, the Executive Committee has received few if any responses from specialized faculty as to whether they consider eligibility for Senate service to be a matter of concern for them.

With regard to the inquiry about collective bargaining rights, Professor Wilmarth noted that regular, non-tenured faculty already have substantial rights to participate in governance. He noted that numerous provisions in the Faculty Code provide them with rights of governance, although they have not had the right to serve in the Senate. Professor Wilmarth noted that, after speaking with members on the Executive Committee and the PEAFC Committee, there appeared to be a fairly strong interest among regular, non-tenured faculty in serving on the Senate. In contrast, the Executive Committee has received virtually no feedback from the specialized faculty, other than information communicated by their Senate representatives from the Milken Institute School of Public Health. Professor Wilmarth agreed that there could potentially be a serious problem with the ability of soft-money research faculty to serve in the Faculty Senate.

Professor Rebecca Katz inquired about the maximum amount of “hard money” to which research faculty are entitled, that figure is currently capped at approximately 30-35% depending on the department. She also noted there is no minimum amount. Dean Goldman confirmed that this figure is the university’s rule. President Knapp asked whether it would be possible for an individual to be funded by 100% soft money. Dean Goldman clarified that if an individual was part of the research faculty, some of their salary may be funded by hard money; however, the amount of the funding was limited by constraints imposed by Human Resources.

In response, President Knapp asked what happens when someone is receiving 100% of their funding from soft money. President Knapp also mentioned that he believed this was the question Professor Roddis had previously asked. Dean Goldman replied to President Knapp saying that most research faculty receive their funding from approximately 100% soft money, with only 5% of hard money support.

Professor Katz noted that there is an opportunity for an individual who is performing service to receive funding from hard money. She explained that this could be done if the faculty member receives approval for the service activities from their department or respective school. Dean Goldman confirmed that this statement was correct.

Professor Wilmarth responded to a question about collective bargaining rights posed by Professor Swaine. Professor Wilmarth explained that if specialized faculty are given the right to serve in the Faculty Senate, that change would give them a much greater right to participate in university governance and could potentially impair any collective bargaining rights that they may currently have.

President Knapp asked whether the Senate was ready to vote on the resolution. President Knapp asked Professor Katz and Professor McDonnell if they wanted to make a motion to amend the resolution. Professor Katz indicated that she and Professor McDonnell did not wish to do so.

President Knapp called for a vote for the resolution. The results were nineteen (19) votes in favor and three (3) votes in opposition.

President Knapp confirmed that the resolution passed.

#### STATUS OF HEALTH CARE BENEFITS; REPORT ON DEVELOPMENT SINCE MAY 8 SENATE MEETING AND OPEN ENROLLMENT FOR FALL 2015

Vice President Sabrina Ellis and John Kosky, Associate Vice President, HR Talent Management, reported on the status of health care benefits; including developments since the May 8, 2015 Senate meeting. Vice President Ellis also spoke on enrollment for fall 2015 and explained changes to the 2016 benefit plans.

Vice President Ellis explained the process in identifying adequate healthcare plans. She outlined the process as follows:

- Human Resources identifies trends;
- Human Resources reviews utilization with the benefit vendors and partners;
- Options for consideration are identified in the regular engagement with the BAC (Benefits Advisory Committee); and,
- Initial recommendations are constructed.

Mr. Kosky noted that there are four major plan enhancements and modifications for this coming year. Effective January 2016, the Benefits Office will issue what is known as benefits W-2. Mr. Kosky explained that when taxes forms are disseminated in January, a new form entitled Form 1095-C will be given to every employee. The form is required by the Affordable Health Care Act (ACA), and employees are required to file the form with their taxes. Mr. Kosky stated in 2015, GW will pay about \$480,000 in fees that are associated with the ACA. He also mentioned other taxes that the university must pay including the excise tax (also known as the Cadillac tax).

The first plan enhancement for 2016 is a contribution to a health savings account for those employees that will enroll in the high-deductible health plan. For individuals involved in this plan, GW will provide a matching contribution starting on January 1, 2016 for those individuals

that enroll in the high-deductible plan. If they cover themselves, GW will provide for a one-for-one match up to \$300. Therefore, for every dollar that an individual contributes, GW will contribute and match that up to \$300. And if there are independents, GW will match the plan for up to \$600.

Mr. Kosky then moved on to discuss the pharmacy benefit plan. Effective January 1, 2016, employees in the basic and medium plan will no longer have to pay a separate deductible for brand-name drugs. There is no separate deductible for pharmacy. Mr. Kosky mentioned that there was going to be a new program implemented called the pharmacy advisory counseling. This new program is an optional service. This program will allow individuals with chronic medical conditions to have access to clinical advice with a pharmacist. This program will also assist them in ensuring that they are taking their medication properly.

Plan enhancement is a telemedicine option that will also be introduced in 2016. This program involved a network of physicians that employees can either call or phone or go through some kind of videoconferencing, and talk to physicians for minor conditions. This is another optional service. The physicians participating in this plan also have the ability to write prescriptions.

Mr. Kosky moved on to discuss plan modifications. Effective January 1, of 2016, employees earning less than \$120,000 per year would see a three percent increase. The last change that was discussed was a change in the pharmacy plan from a copay structure, which is fixed in payment, to a coinsurance, which is a fixed percentage. Mr. Kosky disseminated a handout that contains the information contained in his presentation.

Vice President Ellis stated that the amount from the increase to the benefit pool is approximately \$880,000.

#### REPORT ON THE RECOMMENDATIONS OF THE BENEFITS TASKFORCE

Professor Hopkins presented the recommendations of the Benefits Task Force. He explained that President Knapp assembled this taskforce in January 2015 following the Senate resolution about the restoration of tuition rates.

Professor Hopkins said that one of the purposes of the taskforce was to research health benefits in comparison to peer universities and to study the categories of health, retirement, and tuition. There was also a plan to develop recommendations around funding priorities within the University's health benefits. Professor Hopkins noted that the taskforce began working in January 2015, and it delivered a short-term report to President Knapp in May 2015. The report was then forwarded to the Executive Committee, and subsequently to the Senate. In June, Professor Rosenbaum subsequently presented a summary of the report to the Benefits Advisory Committee. Presently, the Benefits Taskforce is now working on a long-term report and recommendations with the aim of delivering the long-term report to the President on December 1, 2015. The eventual goal is to share the report with the school community at-large.

Professor Hopkins discussed research regarding peer institutions such as American University, Boston University, Columbia, Georgetown, New York University, University of Maryland and

Tufts. Information was compared from publicly available data. Actuarial value was used as the key benchmark between the plans. The actuarial value is the percentage of covered benefits paid by an insurer or health plan for a standard population once all patient cost-sharing obligations have been met. Professor Hopkins indicated that it was essentially a measure of the relative richness of a plan.

Professor Hopkins discussed the methodology of the Mercer report, a comparison between GW's most popular plan, so PPO could be compared to a high-deductible health plan, which can lead to a skewed outcome. Professor Hopkins mentioned that the health benefits offered at GW are not competitive with peer institutions based on actuarial value. He also mentioned that of the three plans offered by GW, none of them were found to be above middle ranking, even by the Mercer report. He also stated that two of the plans were low on competitiveness. In regards to retirement benefits, GW's contribution is competitive with peer institutions. However the service requirement is also longer than most peer institutions.

The reduction in tuition remission made the program considerably less competitive. In regards to wages and salaries, Professor Hopkins referenced a publicly stated goal that GW pay near the eightieth percentile of the AAUP salary survey. This goal seems to be met for senior faculty and less so for junior faculty. He spoke about the fringe rate, which is essentially the benefits rate. GW has the lowest fringe rate of the benchmark peer institutions.

Professor Hopkins discussed recommendations on short-term reports. In the event of a cost increase in health care expenses that exceeds the increase to the merit pool, the university should bear the difference. Its second recommendation is that the tuition remission change should be grandfathered for those who were enrolled in a course of study as of January 1, 2015, rather than having an immediate impact on individuals. Thirdly, as part of the five-year budget model currently being implemented, benefits should be a set cost for fiscal planning in the future.

Professor Hopkins stated that the administration rejected the first two ideas, and their response to the third idea was unclear. Professor Hopkins noted that pay banding was adopted by the administration. He explained that pay banding could be used to fund the recommendations in the short-term report. However, he stated that none of the recommendations in the short-term report required the use of pay banding as a source of funding. The short-term report recommends that the benefit pool be commensurate with the increase in health care cost, and that the University absorb any remaining costs.

Professor Hopkins noted that the Board of Trustees approved \$887,000 in the face of an 8% overall increase in the cost of benefits. He explained that the Board of Trustees is leaving about 75% of the cost increase to be picked up through efficiencies in plan and cost-shifting to employees. He also mentioned that one of the items, which has been adopted, is the funding of associated health savings accounts with high-deductible plans. Professor Hopkins then said that there was an exploration of an EPO option, which was very similar to an HMO. The drawback to this option would be having less choices, but the advantage would be a cheaper rate overall.

Professor Hopkins said that for retiree health benefits, the goal was to equalize benefits between faculty and staff. He also mentioned that there was most likely going to be a move towards a

defined contribution model, in term of retiree health benefits. For retirement benefits, he mentioned that they were looking at a revision of contribution structured toward long-term service, as is done with most peer institutions. In regards to the fringe calculation, the goal of the committee is to establish clear guidelines on how fringe benefits are calculated, and also define what it means to be competitive with a peer institution.

Professor Hopkins also expressed a desire to explore options for receiving employee feedback on benefits. In response to an inquiry from Professor Newcomer, Professor Hopkins stated that GW was essentially the lowest ranked institution, when compared to peer institutions in measures of their health insurance benefits.

## GENERAL BUSINESS

### I. NOMINATIONS FOR ELECTION OF FACULTY MEMBERS TO THE SENATE STANDING COMMITTEES:

Professor Garris noted that there are several nominations for the election of faculty members to the Senate. He also mentioned that there are nominations for ASPP to add Cynthia Rohrbeck to the ASPP from the Columbian College of Arts and Sciences (CCAS) and Brian Biles from the School of Public Health as members.

Professor McDonnell noted that Brian Biles formally retired from the university. Provost Lerman clarified that Brian Biles could serve on a committee, although he would be ineligible to serve as a senator.

The nominees were approved by unanimous vote.

### II. CHANGE OF SENATE CALENDAR

Professor Garris noted that the second issue is that several faculty members mentioned that the Faculty Senate calendar had scheduled a Senate meeting on January 8, 2016. However, that date was immediately after winter break and problematic because many people would be away attending conferences. A motion was made to postpone the date of the meeting to January 15, 2016, and the motion was approved by a unanimous vote.

### III. NOMINATIONS OF FACULTY MEMBERS FOR THE BENEFITS ADVISORY COMMITTEE

Professor Garris presented nominations of faculty members to the Dispute Resolution Committee. The nominees were:

- Sylvia Marotta-Walters
- Robert Harrington
- Edward Swaine

Professor Garris made a motion for these nominees to be appointed to that committee. Professor Wilmarth seconded the motion, and the motion was granted unanimously.

#### IV. REPORT OF THE EXECUTIVE COMMITTEE

Report of the Executive Committee is attached.

#### REMARKS FROM THE PROVOST

Provost Lerman thanked members of the Faculty Senate for their kind words and warm sentiments after his departure was announced. He said that he would remain in his position until the end of the Fall 2015 semester.

#### ADJOURNMENT

Meeting adjourned at 5:16 p.m.

## REPORT OF THE EXECUTIVE COMMITTEE

Charles A. Garris, Chair

September 11, 2015

I want to begin by welcoming all of the newly-elected and re-elected Senate members and extend a special welcome to Dean Pamela Jeffries of the School of Nursing and Dean Reuben Brigety of the Elliott School. We look forward very much to working with all of you.

This summer, we experienced a terrible loss with the passing of Linda Sue Campbell who has been the indomitable spirit of the Senate for the past 20 years. Her knowledge and understanding of shared governance and the processes and people of the Senate and GW made her indispensable to many generations of Senators. Her acerbic wit, strong opinions, high integrity, and intelligent conversation will also be greatly missed by those who worked closely with her. Her absence has been very strongly felt by all of us and it will take a while for us to get back to normal operations. As a token of our appreciation of Sue's absence, we have a rose placed where she normally would have sat here at the table.

Provost Lerman has very kindly made his home available for a memorial for Sue on October 9 immediately following the Faculty Senate meeting. Details will be announced. For those who cannot attend, please feel free to send me a letter of tribute or a Sue story that will be shared with others and Sue's family.

I would also like to announce that Jim Miller, Professor of English, American Studies, and Africana Studies passed away in June. There will be a celebration of his life and work today, from 2-6 p.m. in the Jack Morton Auditorium for those who would like to attend after this meeting.

### ACTIONS OF THE EXECUTIVE COMMITTEE

**Faculty Governance:** As described previously in my presentation on Faculty Governance, the Executive Committee teleconferenced with the Academic Affairs Committee of the Board of Trustees on June 10, and had a very productive and robust discussion on the recommendations of the Governance Working Groups and the recommendations embodied in Faculty Senate resolutions 16/1, 16/2, and 16/3. After the Board met on June 18 and 19 and passed its three resolutions, the Executive Committee prepared a detailed mailing to the Faculty on July 15 which included the Board's resolutions, a spreadsheet comparing the 2004 Faculty Code, the amended provisions of the Faculty Code approved by the Board, and the Senate resolutions. To facilitate identifying variations, key segments of the various documents were highlighted and comments by the Executive Committee were included. A cover letter was provided to assist in understanding the results of the changes and which emphasized that we have engaged in a highly collaborative process that has resulted in improvements in our shared governance system. However, as stated by Chair Carbonell, it is a new era where the Board actively engages with the Faculty and Administration that is new to GW.



Health Care Benefits: The Executive Committee has been keeping in communication with the Benefits Task Force and the Benefits Advisory Counsel. There is much concern about the rising cost of health insurance premiums.

Faculty Assembly Planning: The Executive Committee has been working with the Administration and Parliamentarian Charnovitz to plan for the upcoming Faculty Assembly which may prove challenging from a voting perspective.

Faculty Senate Calendar: The Executive Committee has been inquiring about the interest and logistics of changing the January 8, 2016 meeting of the Faculty Senate to January 15.

Dependent Eligibility Validation Program for GW Health Insurance: The Executive Committee has discussed concerns expressed by faculty over the bureaucratic burden incurred in complying with this program. We have been informed that by eliminating ineligible participants, there are savings which will be passed on to eligible participants.

## FACULTY PERSONNEL MATTERS

### *Grievances*

There are currently two grievances. One in the School of Engineering and Applied Science and the other in the School of Medicine and Health Sciences.

### *Nonconcurrences*

In my report to you on May 8, I said there were no nonconcurrences. I spoke too soon. Shortly after our last Senate meeting, two nonconcurrences from the Columbian College of Arts & Sciences arrived. Since the Board did not change the mechanisms described in the Faculty Code charging the Executive Committee with administering nonconcurrences, we proceeded as always. However, the nonconcurrences went much more smoothly this year since the dean had the benefit of the templates for nonconcurrency that the Executive Committee created last year. As a result, the compelling reasons for nonconcurrency were clearly articulated and commensurate with Faculty Senate Resolution 03/10. The recommendations of the Executive Committee supported the dean in one case, and provided an alternative means of resolving the issue in the other case. In both cases, the actions taken by the Administration were supported by the Executive Committee recommendations.

## ANY OTHER MATTERS

The Faculty Senate Coordinator position has not been filled yet. I had hoped to fill it before July 1 – boy was I naïve to think that possible. The good news is that there is a highly qualified pool of people with extensive experience at GW who are interested in the job. I am hopeful that we will be able start the interviewing process soon and introduce you to our new coordinator.

In the meantime, I have survived thanks to the marvelous support of Jennifer Siecks and Cassandra Wiseman who have been delightful to work with and have helped me with

financial issues, scheduling issues, committee issues, catering, helping me navigate the HR process and a variety of other matters. We all owe Jennifer and Cassandra our thanks. Let's give them a round of applause!!!

I also must thank Provost Steve Lerman and Vice Provost Dianne Martin for facilitating this difficult time and freeing Jennifer from her many duties to help the Senate. This excellent support was very much appreciated.

An updated list of the Senate Standing Committee membership will be prepared shortly and posted to the Senate website. In the meantime, please work with last year's list of committee members plus the new members that appear in the Senate minutes. The forthcoming list will reflect changes in the elected and the appointed ex-officio, non-voting membership since the May 8, 2015 Senate meeting.

GW has a wonderful tradition of shared governance between faculty and administration. The Faculty Senate contributes to this process through its standing committees. The stronger our committees, the more useful and credible our advice will be in the shared governance process. The better the contributions to the welfare of the university, the more exciting work on our committees will be, further engendering faculty participation. It is therefore an essential role of all Senators to contribute to strengthening our committees. This can be done by your direct participation in at least one committee, and by encouraging colleagues to join Senate committees. I therefore strongly encourage any Senator who is not currently a member of a Senate standing committee to join one as soon as possible, and to encourage colleagues to join committees. Please direct any requests to join committees to me and I will put your name forward on your chosen committee. As stated previously, a list of the standing committees and the current membership will be posted on the Senate website soon.

## ANNOUNCEMENTS

### *Annual Faculty Assembly*

The Faculty Assembly will meet on October 6, 2015 at 2:00 PM this year in the Grand Ballroom of the Marvin Center. There may be two competing resolutions on participation in the Faculty Senate requiring votes of the Faculty Assembly. This will be a complicated process as eligibility to vote must be ascertained, and it is likely that there will be a large turnout of faculty. We are working out a voting process which may involve preregistration and voting by means of electronic clickers, although efforts are being made to simplify the process. In addition to the important votes on participation resolutions, this is the event at which new faculty members are introduced. This is likely to be a very important meeting which will have a large impact on shared governance at GW. Please remind your colleagues that this will be a historic Faculty Assembly meeting that all faculty should attend as their voices, as expressed by their votes, will have a strong impact on the future of shared governance at GW. All full-time academic faculty with titles of professor, associate professor, assistant professor, or instructor can vote. This includes contract faculty, research faculty, clinical faculty, teaching faculty, as well as tenured and tenure-track faculty.

The next meeting of the Executive Committee is scheduled for Friday, September 25<sup>th</sup>. Resolutions, reports and any other items of business for the October 9<sup>th</sup> Senate agenda should be received by the Senate Office before September 25<sup>th</sup>.

IN CONCLUSION, the 2016 Academic Year will be very active for the Senate. Faculty governance and benefits issues will continue to occupy our attention. I expect Faculty Senate committees will be very busy and contribute greatly to a better GW. The Executive Committee looks forward to working with you.

# Faculty Governance Review

## History of the Process

Charles A. Garris, Jr.

Chair, Faculty Senate Executive Committee



# Board of Trustees Actions

- **May 17, 2013** Board of Trustees Resolution charge Chair Carbonell to form a committee of trustees, faculty, and administrators to review faculty governance and to consider appropriate revisions to the Faculty Code and related governance documents.
- **September 13, 2013** Chair Carbonell addresses Faculty Senate on need to insure compatibility of governance documents with Vision 2121.
- **October 2013** – Board of Trustees Task Force on Faculty Governance Established – Task Force Identifies Five areas for investigation: (1) academic freedom; (2) Promotion and Tenure Processes; (3) Dean Search and Review Processes; (4) School Rules and Procedures; (5) Participation in Faculty Senate
- **Fall 2013** – Board has series of Town Hall meetings, visits to school faculty meetings, conducts a survey.

# Primary Goals of the Board

- Codify high standards of excellence for promotion and tenure.
- Improve the process for the selection and review of deans.
- Streamline faculty grades of academic personnel.
- Identify a common set of rules that each school should follow.
- Broaden participation in the Faculty Senate to non-tenured faculty.

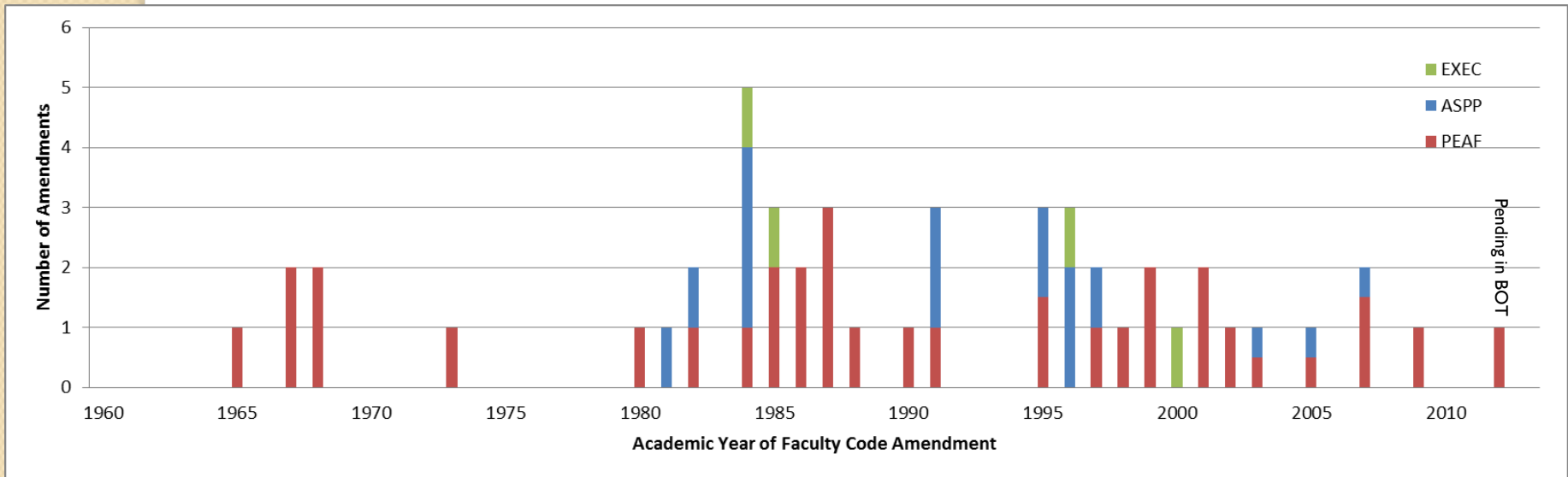
# Senate Concerns about Process

- **November 8, 2013 Faculty Senate Resolution 13/3:** “A Resolution on the Established Procedures for Approving any Changes to the Faculty Code or Faculty Policies that may be Recommended by the Board of Trustees Governance Task Force.” The resolution passed unanimously.

*“The Faculty Senate expects that any changes to the Faculty Code or Faculty Policies recommended by the Board of Trustees Governance Task Force will adhere to the University’s long-established and unbroken tradition and procedures of shared governance, which require the Faculty Senate, as the elected representative and authorized agent of the Faculty, to consider and act on changes to the Faculty Code or Faculty Policies that are proposed by the Administration, the Board of Trustees or other members of the University community before such changes are submitted to the Board of Trustees for final action.”*

# History of GW Faculty Code Amendments

**WHEREAS**, There is no precedent during the University's history since the adoption of the *Faculty Code* in which the *Faculty Code* has been modified without satisfying the above-described procedures of review, recommendation and approval by the Faculty Senate on behalf of the Faculty before such modification was approved by the Board of Trustees;





# Academic Freedom Resolution

- **Spring Semester 2014** PEAFF works collaboratively with Board on Amending Faculty Code on Academic Freedom
- **May 9, 2014** – Faculty Senate Resolution 14/2 :“A Resolution to Amend the Faculty Code with Respect to Academic Freedom”, Resolution adopted by Faculty Senate.

# Working Group Formation

- **June 2014** – Board of Trustees  
RESOLUTION TO PROVIDE A PROCESS  
TO FURTHER REVIEW GOVERNANCE AS  
REFLECTED IN THE FACULTY CODE  
(Establishes four working groups under  
Chair of Academic Affairs Committee on (1)  
Participation; (2) Appointment, Promotion,  
and Tenure; (3) Dean Searches and Review;  
(4) School Rules & Procedures.
- **Fall 2014** Working Groups Formed (Two  
trustees including Chair, administrators, and  
faculty including one rep from EC)

# Interaction between Working Groups and Faculty Senate

- **January 11, 2015** Working Groups produce draft recommendations for changes in Faculty Code and Faculty Organization Plan.
- **January 27, 2015** Executive Committee, in collaboration with PEAFF and ASPP provide response to Draft Recommendations.
- **March 9, 2015** Working Groups respond to Senate with Revised Recommendations.
- **March 2015** – Faculty Senate establishes on-line forum [gw.hoop.la](http://gw.hoop.la) to get faculty input.

# Board Actions

- **March 31 – April 9, 2015**

Board of Trustees Town Hall Meetings, presentations by Dr. Madeleine Jacobs on Working Group recommendations.

- **April 7 – April 21, 2015** Board of Trustees Questionnaire on Faculty Governance

# Faculty Senate Actions

- **May 8, 2015**

- Faculty Senate Debates Resolutions 16/1, 16/2, and 16/3 and passes all with strong majority.
- Resolution 16/4 on Participation is tabled to September.

# Interaction between Working Groups and Faculty Senate

- June 10, 2015 Executive Committee has teleconference with the Academic Affairs Committee of the Board.
  - Working Group Recommendations vs. Faculty Senate Recommendations are discussed. Further discussions are exchanged the following week.
  - EC emphasizes it cannot speak for the Faculty and recommended deferring changes until Senate can vote, as per Senate resolution 13/3.
  - Board wanted to proceed with issues that are likely to be agreed to by the Faculty.
  - EC identified provisions that were deemed to be reasonable by the Faculty, and those that would not be.

# Board Actions

- June 18 & June 19, 2015 – Board Passes three resolutions:
  1. Resolution to amend *Faculty Code*; - Amendments to *Faculty Code* are generally consistent with Senate Resolutions, but defer certain recommendations of the Working groups that were considered problematic.
  2. Resolution for Further Study and Further Input from the Faculty; (75%/25% rule for schools; 50% rule for departments; University-Wide Personnel Committee.)
  3. Resolution for Faculty Assembly Consideration of Proposed Amendment to Faculty Organization Plan (on Participation in Faculty Senate). Resolution to Amend Faculty Code reflects strong Faculty Concerns but includes features strongly supported by Working Groups.

# Recent Senate Activities

- August 2015 PEAFF Revises Senate Resolution 16/4 on participation in view of Board actions & prepares draft resolutions on unresolved issues.
- September 11, 2015 Revised Senate Resolution 16/4 on Participation.
- September – We hope to collaborate with the Board on the three outstanding issues. We may have resolutions for Faculty consideration at October Senate meeting.



# Conclusions

- Goals of the Board of Trustees have been addressed with substantial improvements.
  - Excellence in Promotion & Tenure processes
  - Better dean search & review processes
  - More uniformity in school rules & regs.
- Shared governance remains strong.
  - We are in a new era of vigorous engagement between Faculty, Board, and Administration.
  - The Faculty Senate remains strong and influential in University affairs.

# Conclusions

- There is still some work to do. Some difficult issues remain.
  - 75%/25% ratio for T/TT to regular contract faculty in schools.
  - 50% rule for T/TT to regular contract faculty in departments
  - University-Wide Personnel Committee vs. Executive Committee
- It is likely that the bulk of the work will be completed this academic year.



**Thank you.**

# The President's Benefits Task Force

Benjamin D. Hopkins  
Associate Professor of History (ESIA)  
[bhopkins@gwu.edu](mailto:bhopkins@gwu.edu)

# Membership

Sara Rosenbaum (Chair)

- Faculty

- Shawneequa Callier (School of Medicine)
- Joseph Cordes (Trachtenburg School)
- Benjamin Hopkins (ESIA)
- Suzanne Jackson (School of Law)
- Paula Lantz\* (Milken School)
- Gregg Brazinsky\* (ESIA)

- Advisory

- Kara Musselman, Forrest Maltzman, Jennifer Lopez

John Kosky (Chair)

- Staff

- Linda Brown (Colonial Central)
- Pallavi Rai Gullo (School of Law)
- Deanah McLeod (School of Engineering)
- Shaneka Smith (Development and Alumni Relations)
- Alan Thompson (Facilities Services)
- Pooja Lakshmin\* (Medical Resident)

# Charge

- Review the three major categories of GW benefits – health, retirement and tuition – and compare the University’s benefits in each category with those offered by peer institutions.
- Review the balance between the salary and benefit components of total compensation in light of national trends and available resources.
- Develop recommendations around funding priorities within the University’s benefits, and between benefits and salary.

# Chronology

- January - Formation
- May 1 - Delivered Short Term Report to President Knapp
  - Subsequently presented a summary of the report to the BAC in June
- June-December – Work on Long Term Report and Recommendations
- December 1 – Deliver Long Term Report to President Knapp

# Short Term Report: Methodology

- Selected subset of BOT-approved market basket of schools
  - Focused on schools in major metropolitan areas with similar costs of living/healthcare costs
  - Expanded local basket to include UMD as competitive option for staff employees
  - Schools included: AU, BU, Columbia, Georgetown, UMD, NYU, Tufts
- Compared publicly available data
- For health benefits, used Actuarial Value (AV)\* as key benchmark
  - AV is the percentage of covered benefits paid by an insurer or health plan for a standard population, once all patient cost-sharing obligations (premiums, deductibles, copays, HSA and FSA contributions and coinsurance) have been met.



# Short Term Report: Findings

- Health Benefits – **Not competitive** with Peer Institutions based on Actuarial Value
- Retirement – GW's contribution is **competitive** with Peer Institutions, but the service requirement is longer than most
- Tuition Remission – Reduction in remission rate to 90% **lessened competitiveness** of GW plan
- Wages/Salaries
  - Staff – Unclear
  - Faculty – University aim is 80<sup>th</sup> Percentile of AAUP Annual Salary Survey; Met for senior faculty, though not for junior faculty
- Fringe Rate – GW has **the lowest fringe rate** of benchmarked peer institutions

# Short Term Report: Recommendations

1. In the event the cost increase for healthcare plans exceeds the merit pool, the University should, for calendar year 2016, bear the cost of any increase in health insurance premiums that exceeds the funding to the fringe account.
  - **REJECTED**
2. Effective beginning in the 2015 summer semester, GW should restore tuition benefits to 2014 levels for employees enrolled in a formal degree or certificate program prior to January 1, 2015.
  - **REJECTED**
3. As part of the new 5 year budget model currently being implemented, the University should benchmark the funding of its fringe benefits pool (or at least the healthcare part of its fringe pool) to align with medical care inflation estimates.
  - **UNCLEAR**

# Short Term Report: Cost Sharing

- The Benefits Task Force called for the University to bear the brunt of benefits cost increases rather than continuing to shift these onto employees.
- Recognizing the current financial exigency, the Task Force identified potential funding sources to cover the costs of holding the percentage increase in the cost of benefits to the percentage increase in wages and salaries in the merit pool (e.g. 3%). These included:
  - Salary Banding in relation to University contributions to employee health benefits
  - Freezing of Discretionary Bonuses
  - Forgoing Supplemental 457(f) Retirement Contributions by the University

# Benefits: Current Status

- The Short Term Report was substantively rejected by the administration.
- Increase in healthcare cost for 2016 is projected at **\$4.2 million**, but the BOT-approved a funding increase of only **\$887,000**. The balance (**\$3.3 million**) is being made up through salary banding and plan efficiencies.
- The University continues the practice of shifting the rising costs of health insurance onto employees.



# BTF Current Work

- **Healthcare**: Possible modification of plan offerings to active employees
  - Ensure high deductible plan offerings are linked to **funded** health savings accounts
  - Exploring EPO option – Tightly managed network which trades off lower deductibles and cost-sharing in exchange for a more tightly controlled network
  - Better plan management
- **Retiree Health Benefits**:
  - Equalizing benefits between faculty and staff
  - Move towards a defined contribution model
- **Retirement**: Revision of contribution structure to reward long-term service
- **Fringe Calculation**:
  - Establish clear guidelines on how fringe is calculated
  - Define what it means to be competitive with peer institutions

# Next Steps

- Guidance Sought from President Knapp
  - Student Health Coverage
  - Tuition Benefits
  - Leave Programs
- Exploring Options for Employee Feedback (i.e. – focus groups, town halls, survey monkey)
- Continue to gather information to better understand GW's position relative to:
  - Peer Institutions
  - Publicly stated goals/ambitions (Vision 2021)

**THE GEORGE WASHINGTON UNIVERSITY**  
Washington, D.C.

The Faculty Senate

September 3, 2015

The Faculty Senate will meet on Friday, September 11, 2015 at 2:10 p.m. in the State Room, 1957 E Street, 7<sup>th</sup> Floor

**AGENDA**

1. Call to order
2. Moment of Silence for Ms. Linda Sue Campbell, Senate Coordinator for 21 years, who passed away on June 3, 2015. A Memorial and Tribute will be held at the home of Provost Lerman on October 9 following the Senate meeting.
3. Approval of the minutes of the meeting held on May 8, 2015 will be postponed to October meeting. (Draft minutes to be distributed)
4. Introduction of new Administrative Staff and the Student Association President
5. Introduction of Resolutions
6. Report of the Board of Trustees Activities on Faculty Governance (Chair Nelson Carbonell)
7. Report on Executive Committee Activities on Faculty Governance (Professor Garris)
8. **A SUBSTITUTE RESOLUTION ON RECOMMENDED CHANGES TO THE FACULTY ORGANIZATION PLAN REGARDING FACULTY PARTICIPATION IN THE FACULTY SENATE (Substitute 16/4).** (PEAF, Arthur Wilmarth).
9. Status of Health Care Benefits; report on developments since the May 8 Senate meeting and Open Enrollment for Fall 2015 (Vice President Sabrina Ellis).
10. Report on the Recommendations of the Benefits Task Force/Sara Rosenbaum [Sara will not be able to attend due to travel], Joseph Cordes, and Ben Hopkins)
11. **GENERAL BUSINESS**
  - a) Nominations for election of faculty members to Senate Standing Committees:  
Appointment, Salary and Promotion Policies: Phillip Wirtz, Eugene Abravanel; Sylvia Marotta, Miriam Galston  
Educational Policy: Phillip Wirtz as Chair; Lilien F. Robinson and Peng Peng as members;  
Fiscal Planning and Budgeting: Joseph Cordes as Acting Chair, Roger Lang, Neil Buchanan, Theresa Gabaldon and Benjamin Hopkins as members;

Research: Kausik Sarkar as Chair; Randy Packer, William Briscoe, Christopher Cahill, Andrew Cutler, and Stephen Hsu as members.  
Joint Committee of Faculty and Students: David McAleavey.

- b) **Change of Senate Calendar: Reschedule January 8 Senate meeting to January 15.**
  - c) **Nomination for election of faculty members to the Dispute Resolution Committee: Sylvia Marotta (GSEHD), Robert Harrington (SEAS), Edward Swaine (Law).**
  - d) **Nominations of faculty members for the Benefits Advisory Committee: Brian Biles, Murli Gupta; Tyler Anbinder, Robert Harrington (ASPP Chair). Shaista Khilji, Lisa Rice, and Jane Thorpe**
  - e) **Reports of Senate Standing Committees**
  - f) **Report of the Executive Committee: Charles A. Garris, Chair**
  - g) **Provost's Remarks**
  - h) **Chair's Remarks**
12. **Brief Statements (and questions)**
13. **Adjournment**

*Elizabeth A. Amundson*  
Elizabeth A. Amundson  
Secretary



**A REVISED SUBSTITUTE RESOLUTION ON RECOMMENDED CHANGES TO THE  
FACULTY ORGANIZATION PLAN REGARDING  
FACULTY PARTICIPATION IN THE FACULTY SENATE (Revised Substitute 16/4)**

- WHEREAS,** In 2014, the University’s Board of Trustees established four working groups on university governance, and the working group on faculty participation (“Working Group”) recommended changes to the *Faculty Organization Plan* regarding faculty participation in the Faculty Senate;
- WHEREAS,** The Faculty Senate’s Executive Committee, Committee on Professional Ethics and Academic Freedom, and Committee on Appointment, Salary and Promotion Policies (collectively, the “Senate Committees”) carefully reviewed the proposals by the Working Group for changes in the *Faculty Organization Plan* with regard to faculty participation in the Faculty Senate;
- WHEREAS,** In May 2015, the Senate Committees proposed Substitute Resolution 16/4, which would expand the categories of faculty members eligible for service in the Faculty Senate to include the following categories of faculty with at least three years of full-time service at the University: (1) tenured faculty members and (2) Regular, full-time faculty members without tenure who have attained the rank of associate professor or higher;
- WHEREAS,** Substitute Resolution 16/4 also provided that, in order to ensure the independence of the Faculty Senate from undue influence by the Administration, at least half of the Senators from each school would be required to hold tenured appointments, because tenured faculty members are more likely to engage in robust dialogue with senior members of the Administration and to disagree with the policy preferences of the Administration without fearing for their future job security;
- WHEREAS,** At the Faculty Senate’s meeting on May 8, 2015, the Faculty Senate postponed Substitute Resolution 16/4 for further consideration at its meeting on September 11, 2015;
- WHEREAS,** On June 18, 2015, the Board of Trustees adopted a resolution proposing amendments to the *Faculty Organization Plan* (the "Proposed Board Amendments") with regard to the participation of faculty in the Faculty Senate;
- WHEREAS,** The Proposed Board Amendments incorporate the recommendations of the Working Group that (1) all non-tenured, full-time faculty members who have attained the rank of associate professor or higher, including Specialized faculty, should be eligible to serve in the Faculty Senate, and (2) there should not be any limitation on the number of non-tenured, full-time faculty members who may represent their respective schools in the Faculty Senate;
- WHEREAS,** In a separate resolution adopted on June 18, 2015, the Board of Trustees approved numerous amendments to the *Faculty Code*;

**WHEREAS,** The amendments to Article I of the *Faculty Code* approved by the Board of Trustees did not place any limitation on the number or percentage of Specialized faculty in any school;

**WHEREAS,** The amendments to Article I of the *Faculty Code* approved by the Board of Trustees did not follow the recommendation made by the Faculty Senate in Substitute Resolution 16/2 adopted on May 8, 2015, which proposed that the number of Specialized faculty within a school should not exceed 25% of the total full-time faculty of that school (with exceptions for the School of Medicine and Health Sciences and the School of Nursing, in view of their special clinical teaching models, and the College of Professional Studies, in view of its different academic model and unique status under the *Faculty Code*);

**WHEREAS,** Under Article I.C. of the *Faculty Code*, as amended by the Board of Trustees, Specialized faculty do not engage in all of the three core faculty activities of research, teaching, and service, and instead are responsible for only one or two of those activities;

**WHEREAS,** Many Specialized faculty are appointed on year-to-year contracts, and many Specialized faculty receive "soft money" appointments supported by external grants (with the result that their positions are not renewed if supporting external grants are not renewed);

**WHEREAS,** Many Specialized faculty with "soft money" appointments are contractually obligated under external grants to dedicate all of their working time and effort to grant-related activities and are therefore prohibited from devoting time and effort to the Faculty Senate or other University service;

**WHEREAS,** Due to the short-term and highly contingent nature of many of their appointments, Specialized faculty are significantly more vulnerable to pressure from administrative officials of the University in comparison with Regular full-time faculty, who hold tenured, tenure-accruing, or longer-term, non-tenured appointments and therefore have greater job security and stronger protections under their contracts of appointment and the *Faculty Code*;

**WHEREAS,** The Faculty Senate believes that it is unlikely that most Specialized faculty would feel able, if they were members of the Faculty Senate, to engage in robust dialogue with senior members of the Administration or to disagree with the policy preferences of the Administration without fearing for their future job security;

**WHEREAS,** The Proposed Board Amendments will be presented by the President to the Faculty Assembly for consideration at the Faculty Assembly's meeting on October 6, 2015;

**WHEREAS,** The Faculty Senate believes it is essential that the Faculty Assembly receive the advice and recommendations of the Faculty Senate before the Faculty Assembly votes on the Proposed Board Amendments;

**WHEREAS,** The Faculty Senate is greatly concerned that the Proposed Board Amendments, if adopted by the Faculty Assembly, would severely undermine the independence of the Faculty Senate as well as the Senate's ability to carry out its vital role in the shared governance of the University without undue influence by the Administration, in view of (1) the limited scope, short terms and highly contingent nature of the appointments of many Specialized faculty and their greater vulnerability to pressure from administrative officials, (2) the absence of any limitation on the number of Specialized faculty in any school under Article I of the *Faculty Code* as recently amended by the Board of Trustees, and (3) the absence of any limitation on the number of Specialized faculty or non-tenured Regular faculty who could serve in the Faculty Senate under the Proposed Board Amendments;

**WHEREAS,** The Senate Committees and the Faculty Senate are concerned that Specialized Faculty members have not had an adequate opportunity to consider and express their views on the question of whether they would favor an amendment to the *Faculty Organization Plan* granting them eligibility to serve in the Faculty Senate even if such an amendment might impair their existing potential rights to engage in collective bargaining under the National Labor Relations Act;

**WHEREAS,** The Faculty Senate has carefully considered the amendments to the *Faculty Organization Plan* originally proposed in Substitute Resolution 16/4, and the Senate strongly believes that those amendments are consistent with the best interests of the Faculty and the University by (1) granting the right to serve in the Faculty Senate to faculty who have completed at least three years of full-time service at the University and who hold either tenured appointments or Regular, full-time appointments at the rank of associate professor or higher, and (2) requiring that at least half of the members of the Faculty Senate representing each school must hold tenured appointments, thereby ensuring the independence of the Faculty Senate from undue influence by the Administration; and

**WHEREAS,** The Faculty Senate therefore strongly believes that the amendments to the *Faculty Organization Plan* set forth on Exhibit A attached to this Resolution should be adopted by the Faculty Assembly because they are consistent with the best interests of the University and all of its constituencies and stakeholders (including the Faculty) and would help to maintain an effective system of shared governance at the University;

**WHEREAS,** The Faculty Senate also strongly believes that the Proposed Board Amendments should be rejected by the Faculty Assembly;

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

- (1) That the *Faculty Organization Plan* be amended as set forth on Exhibit A attached to this Resolution, conditional upon the adoption of such amendments by the Faculty Assembly pursuant to Article IV of the *Faculty Organizational Plan*.
- (2) That the Faculty Senate recommends that the Faculty Assembly reject the amendments to the *Faculty Organization Plan* proposed by the Board of Trustees in its resolution of June 18, 2015.
- (3) That the Chairman of the Faculty Senate Executive Committee is hereby directed, at the next meeting of the Faculty Assembly, to move the adoption of the amendments to the *Faculty Organization Plan* set forth on Exhibit A attached to this Resolution as alternatives for the amendments to the *Faculty Organization Plan* proposed by the Board of Trustees in its resolution of June 18, 2015.
- (4) That, if the amendments to the *Faculty Organization Plan* set forth on Exhibit A attached to this Resolution are adopted by the Faculty Assembly, the President is requested to forward those amendments to the *Faculty Organization Plan* for final approval by the Board of Trustees.

Faculty Senate Executive Committee  
Faculty Senate Committee on Professional Ethics and Academic Freedom  
August 31, 2015

**EXHIBIT A to “A Revised Substitute Resolution to Recommend Changes to the Faculty Organization Plan Regarding Faculty Participation in the Faculty Senate”(Revised Substitute 16/4)**

1. **Membership in Faculty Senate**

*Faculty Organization Plan*, Article III, Section 2(a)(3) [final two sentences]:

"...The faculty members of the Faculty Senate shall have completed at least three years of full-time academic service at the University and shall be either (1) tenured faculty members or (2) regular, full-time faculty members without tenure who have attained the rank of associate professor or higher. Vice presidents, associate vice presidents, assistant vice presidents, vice provosts, associate vice provosts, deans, associate deans and assistant deans shall be ineligible for election as faculty members of the Senate. At least half of the faculty members of the Senate from each school shall be tenured faculty members.

2. **Election of Faculty Members**

*Faculty Organization Plan*, Article III, Section 3(3):

“All members of the faculty in full-time service shall be eligible to vote with the exception of visiting faculty.”

# The Faculty Senate of The George Washington University

July 15, 2015

Dear Faculty Colleagues,

You will recall that the Board of Trustees commissioned four Working Groups to make recommendations on four areas of University governance. Thanks to an outstanding Faculty response, the Board received considerable feedback on the Working Groups' recommendations from Town Hall meetings that they held in March and from faculty responses to the Board's survey instrument. Three Committees of the Faculty Senate (the Executive Committee, the Appointment, Salary and Promotion Policies Committee, and the Professional Ethics and Academic Freedom Committee) responded by putting forward Resolutions 16/1, 16/2, 16/3, and 16/4 at the May 8 Faculty Senate meeting. Those Resolutions responded to the goals of the Board, but they also addressed many of the concerns expressed by the Faculty with regard to the Working Group's recommendations. Resolutions 16/1 (Dean Searches & Reviews), 16/2 (School Faculty Composition and Governance), and 16/3 (Tenure and Promotion Standards and Procedures) were passed by wide margins at the May 8 Faculty Senate meeting. Resolution 16/4 (representation in the Faculty Senate) was tabled and postponed for further consideration at the Senate's meeting on September 11th.

The Board recognized the concerns expressed by the Faculty, and there were extensive discussions between the Executive Committee and the Board following the Senate's approval of the three Resolutions. On June 10, the Executive Committee held a teleconference meeting with the Academic Affairs Committee of the Board. During that meeting, the Executive Committee discussed line-by-line the Faculty's concerns as well as the Board's goals, and the Executive Committee urged the Board to accept the Senate's Resolutions. The Executive Committee and the Board were in general agreement on the overarching goals for changes to the Faculty Code: (a) Improve procedures for selection and review of deans, (b) Strengthen standards of excellence for tenure and promotion decisions by departments and schools, (c) clarify categories of full-time and part-time faculty, and (d) establish basic standards to promote greater consistency in the governing rules for the various schools and departments.

On June 18, the Board of Trustees passed three resolutions on Faculty governance, all of which included changes to the *Faculty Code*. The Board's resolutions were similar but not identical to the Senate Resolutions. Attached, please find the three resolutions passed by the Board of Trustees as well as a Comparison Table that presents the original Faculty Code, the corresponding Faculty Senate Resolution, and the Board of Trustee Resolution, and also comments on various areas where the Board Resolutions differ from the Senate Resolutions. Key language is highlighted in the Comparison Table. As indicated above, the Executive Committee urged the Board not to depart from the language of Faculty Code amendments contained in the Senate Resolutions, but the Board chose to exercise its prerogative to do so. Nevertheless, due to the Executive Committee's efforts, the final Board Resolutions were closer to the language of the Senate Resolutions than the Working Group's earlier recommendations.

The Comparison Table reflects the views of Executive Committee members as gathered via email exchanges.

In our discussions with the Board, there were some issues that could not be resolved, and the Executive Committee emphasized the importance of seeking further input from the Faculty Senate. The Board agreed to defer those issues until October 15. We expect that the Senate Committees will work on these areas and bring forward resolutions for consideration by the Faculty Senate at its meetings on September 11 and October 9. The unresolved questions are:

- Should the Faculty Code retain the existing requirement that at least 75% of the regular full-time faculty in a school must hold tenured or tenure-track appointments? Should the School of Medicine and Health Sciences, the School of Nursing, and the Milken Institute School of Public Health be exempted from the 75% requirement? Should any other exemptions be granted?
- Should the Faculty Code retain the existing requirement that at least 50% of the regular full-time faculty in each department must hold tenured or tenure-track appointments? Should the three schools listed above be exempted from that requirement? Should departments in the School of Medicine and Health Sciences, the School of Nursing, and the Milken Institute School of Public Health be exempted from the 50% requirement? Should any other exemptions be granted?
- Should the current system of having the Executive Committee of the Faculty Senate provide advice to the Administration on nonconcurrences be replaced by a University-Wide Personnel Committee or a University-Wide Nonconcurrency Committee? Should such a committee be empowered to make the final decision on all promotion & tenure decisions, or on decisions involving administrative nonconcurrences, subject to Presidential veto in extraordinary circumstances?

The second Resolution adopted by the Board of Trustees on June 18 charges the Board's Faculty Governance Subcommittee with obtaining further input from the Faculty and Administration on the above unresolved issues by October 15, 2015.

The third Resolution adopted by the Board charges President Knapp with introducing a Resolution at GW's Faculty Assembly next meeting on October 6, 2015. The Board's Resolution proposes an amendment to the Faculty Organization Plan that would allow all full-time faculty members (regular or specialized) who have attained the rank of associate professor or higher, to be eligible for election to the Faculty Senate. (Currently, only tenured, full-time faculty members are eligible to serve in the Faculty Senate.) In order to be adopted, the proposed amendment to the Faculty Organization Plan would have to be approved by a 2/3 vote of those voting members who are present at the Faculty Assembly's meeting. The Faculty Senate will consider a resolution on that issue at the September 11 Faculty Senate meeting in order to allow the Faculty Senate to provide its recommendation to the Faculty Assembly.

To summarize, the Executive Committee believes that the actions taken by the Faculty Senate and the Board of Trustees should be viewed in the following context:

- Due to the strong expression of Faculty concerns on governance and the determined efforts of the Faculty Senate and its Committees, the Faculty has been largely successful in preserving GW's system of shared governance and the continuing role of the Faculty in the University's decision-making processes. At the same time, significant changes have already been made to the Faculty Code, and the Faculty and the Faculty Senate will need to be active participants in future deliberations about additional proposed changes to the University's governance procedures.
- There has been productive collaboration and dialogue throughout the entire two year period between the Faculty, the Board of Trustees, and Administration. To maintain an effective system of shared governance, this type of negotiation and amending of perspectives coming from each group should continue. The remaining areas to be considered in the fall will especially require that the Faculty Senate, through its committees, arrive at language that will protect the rights while extending governance privileges, to those portions of the faculty that can best serve the university as it implements its strategic plan.

The GW On-Line Forum, [gw.hoop.la](http://gw.hoop.la) is ACTIVE and the Executive Committee solicits input from the Faculty to help us prepare to deal with the unresolved issues in the fall. Please help us by reading the attached material carefully and providing your thoughts.

## The Executive Committee of the Faculty Senate.

Gregg A. Brazinsky (ESIA)  
Charles A. Garris (SEAS), Chair  
Sylvia Marotta-Walters (GSEHD)  
Karen McDonnell (MISPH)  
Marie Price (CCAS)  
Joyce Pulcini (SON)  
Anton Sidawy (SMHS)  
Paul Swiercz (SB)  
Professors Arthur Wilmarth (GWLS)



# Comparison Spreadsheet

July 15, 2015

# Appointment and Review of Academic Administrators

<p style="text-align: center;"><b>Current Language of <i>Faculty Code and Faculty Organization Plan</i></b></p>	<p style="text-align: center;"><b>Faculty Senate Resolution 16/1</b>                      “A Resolution on Recommending Changes to the Faculty Code with Respect to Dean Searches and Reviews”                      (Approved by Faculty Senate May 8, 2015)</p>	<p style="text-align: center;"><b>Board of Trustees Resolutions</b>                      (Approved by Board of Trustees, June 18, 2015)</p>	<p style="text-align: center;"><b>COMMENTS Of Executive Committee Faculty Senate</b></p>
<p><u><i>Procedures of the Implementation of the Faculty Code, Section C.2.b – Appointment of Deans, Associate Deans, Assistant Deans and Similar Academic Officers</i></u></p> <p>b. Appointments to such positions shall be made only after a special or standing committee, elected by the regular, active-status faculty involved from among the faculty's tenured members, has established criteria (subject to the approval of that faculty as a whole), considered nominations, and reported its recommendations in accordance with the procedures established under Section A, above, to the faculty that elected it or to the appropriate academic administrative officer. In the College of Professional Studies, the special faculty committee performing this function shall be appointed jointly by the Vice President for Academic Affairs and the deans of the schools whose programs are most directly affected by the College of Professional Studies.</p>	<p><u><i>Procedures of the Implementation of the Faculty Code, Section C.2.b – Appointment of Deans, Associate Deans, Assistant Deans and Similar Academic Officers</i></u></p> <p><b>b. Deans</b></p> <p><b>i. Selection</b></p> <p>1. <b>Search Committee Composition.</b> When a vacancy in a school’s deanship arises, the regular, full-time faculty of the school shall establish a search committee. The regular, full-time faculty of the school shall approve procedures to govern the composition of the search committee, subject to the following requirements:</p> <p style="padding-left: 40px;">i. The search committee shall include (a) at least five and not more than <b>nine</b> regular, full-time faculty members elected by the regular, full-time faculty of the school, <b>of whom not more than one may hold an appointment without tenure</b>, (b) the Provost or a representative designated by the Provost, (c) one or two current students, and (d) one or two alumni. The search committee may include other members in accordance with procedures approved by the school’s regular, full-time faculty. The elected faculty members of the search committee shall select one of their group (who must hold a tenured appointment with the rank of professor) as the chair of the search</p>	<p><u><i>Procedures of the Implementation of the Faculty Code, Section C.2.b – Appointment of Deans, Associate Deans, Assistant Deans and Similar Academic Officers</i></u></p> <p><b>b. Deans</b></p> <p><b>i. Selection</b></p> <p>1. <b>Search Committee Composition.</b> When a vacancy in a school’s deanship arises, the full-time faculty of the school will form a search committee. The full-time faculty of the school has discretion to determine the composition of the search committee, subject to these requirements:</p> <p style="padding-left: 40px;">i. The search committee shall include (a) at least five and at most <b>ten</b> full-time faculty members elected by the full-time faculty of the school, (b) the Provost or a representative designated by the Provost, (c) one or two current students, and (d) one or two alumni. The search committee may include other members, in accordance with procedures approved by a school's full-time faculty. The elected members of the search committee shall select one of their group (who must hold a tenured appointment with the rank of professor) as the chair of the search committee.</p> <p style="padding-left: 40px;">ii. The Chair of the Board of Trustees shall appoint trustees to serve as members of</p>	<p>EC Considered changes to be reasonable.</p>

**COMPARISON OF BOARD OF TRUSTEES RESOLUTIONS TO CHANGE THE GW FACULTY CODE AND FACULTY ORGANIZATION PLAN WITH THE CURRENT DOCUMENTS AND WITH FACULTY SENATE RESOLUTIONS 16/1, 16/2, 16/3 (Passed May 8, 2015) and Resolution 16/4 (Tabled )**

July 15, 2015

<b>Current Language of <i>Faculty Code and Faculty Organization Plan</i></b>	<b>Faculty Senate Resolution 16/1 “A Resolution on Recommending Changes to the Faculty Code with Respect to Dean Searches and Reviews” (Approved by Faculty Senate May 8, 2015)</b>	<b>Board of Trustees Resolutions (Approved by Board of Trustees, June 18, 2015)</b>	<b>COMMENTS Of Executive Committee Faculty Senate</b>
	<p>committee.</p> <p>ii. The Chair of the Board of Trustees will appoint one or more trustees (ordinarily one or two) to serve as members of the search committee.</p> <p>iii. The elected faculty members and the appointed trustee(s) shall be voting members of the search committee. In accordance with procedures approved by a school’s regular, full-time faculty, voting rights may be extended to other members, but the composition of the search committee must ensure that the elected faculty members with tenured appointments constitute at least <b>two-thirds</b> of the voting members of the search committee.</p> <p>iv. Each search committee shall establish criteria for the dean search, including a position description, and those criteria shall be approved by the school’s regular, full-time faculty and the Provost prior to the official public announcement of the search.</p>	<p>the search committee, the number of which shall ordinarily be one or two.</p> <p>iii. The elected faculty members and appointed trustees shall be voting members. In accordance with procedures approved by a school's full-time faculty, voting rights may be extended to other members, but, except for the School of Medicine and Health Sciences and the School of Nursing, the composition of the search committee must ensure that faculty members with tenured appointments constitute at least <b>a majority</b> of the voting members of the search committee.</p> <p>iv. Each search committee shall establish criteria for the dean search, including a position description, and those criteria shall be approved by the school's full-time faculty and the Provost.</p>	
	<p><b>2. Search Committee Recommendations.</b> The search committee shall recommend candidates for the deanship in a non-prioritized list to the President and Provost. The President and Provost may specify how many candidates the search committee will recommend, but the <b>maximum number of recommended candidates shall not exceed three without the approval of</b></p>	<p><b>2. Search Committee Recommendations.</b> The search committee shall recommend candidates for the deanship in a non-prioritized list to the President and Provost. The President and Provost may specify how many candidates the search committee will recommend, which shall <b>ordinarily be three</b>. When required by a school's accreditation standards, the search committee</p>	<p><b>EC Considered Board change reasonable.</b></p>

**COMPARISON OF BOARD OF TRUSTEES RESOLUTIONS TO CHANGE THE GW FACULTY CODE AND FACULTY ORGANIZATION PLAN WITH THE CURRENT DOCUMENTS AND WITH FACULTY SENATE RESOLUTIONS 16/1, 16/2, 16/3 (Passed May 8, 2015) and Resolution 16/4 (Tabled )**

July 15, 2015

<b>Current Language of <i>Faculty Code and Faculty Organization Plan</i></b>	<b>Faculty Senate Resolution 16/1 “A Resolution on Recommending Changes to the Faculty Code with Respect to Dean Searches and Reviews” (Approved by Faculty Senate May 8, 2015)</b>	<b>Board of Trustees Resolutions (Approved by Board of Trustees, June 18, 2015)</b>	<b>COMMENTS Of Executive Committee Faculty Senate</b>
	<p><b>the school’s regular, full-time faculty.</b> When required by the school’s accreditation standards, the search committee shall obtain the approval of the regular, full-time faculty before recommending any candidate.</p>	<p>shall obtain the approval of the relevant faculty in the school as identified in the accreditation standards before recommending any candidate.</p>	
	<p>ii. <b>Continuance.</b> The Provost will meet with each dean annually to discuss the dean’s past performance and future goals. The Provost shall periodically initiate a comprehensive review of each dean that systematically solicits input from the school’s constituencies, including but not limited to the faculty, senior staff, alumni, and students. The comprehensive review shall include the following steps:</p> <ol style="list-style-type: none"> <li>1. The Provost will discuss with each Dean, at the time of the Dean’s appointment or reappointment, the criteria by which the Provost will review the Dean.</li> <li>2. The comprehensive review shall occur at least once every three years.</li> <li>3. The process for the comprehensive review, established by the Provost, shall generally be consistent across schools, subject to adjustment for the differing conditions of each school.</li> <li>4. After completing a comprehensive review, the Provost shall provide to the school’s full-time faculty a summary that describes the conclusions of the review with respect to each of the established criteria for the dean’s performance. <b>After receiving the written request of 60 percent or more of the school’s full-time faculty, the Provost shall meet with the full-time faculty for the purpose of</b></li> </ol>	<p>ii. <b>Continuance.</b> The Provost shall meet with each dean annually to discuss the dean’s past performance and future goals. The Provost shall also periodically initiate a comprehensive review of each dean that systematically solicits input from the school’s constituents, including but not limited to faculty, senior staff of the school, alumni, and students. A comprehensive review shall include the following steps:</p> <ol style="list-style-type: none"> <li>1. The Provost shall discuss with each Dean, at the time of the Dean’s appointment or reappointment, the criteria by which the Provost will review the Dean.</li> <li>2. The comprehensive review shall occur at least every three years.</li> <li>3. The process for the comprehensive review, established by the Provost, shall generally be consistent across schools, subject to adjustment for the differing conditions of each school.</li> <li>4. The Provost shall provide to the school’s full-time faculty a summary of the general conclusion of the review with respect to the established criteria. The details of the final evaluation shall be conveyed only to the Dean, Provost, President, and the Board of Trustees.</li> </ol>	<p><b>EC Considered Board change reasonable.</b></p>

**COMPARISON OF BOARD OF TRUSTEES RESOLUTIONS TO CHANGE THE GW FACULTY CODE AND FACULTY ORGANIZATION PLAN WITH THE CURRENT DOCUMENTS AND WITH FACULTY SENATE RESOLUTIONS 16/1, 16/2, 16/3 (Passed May 8, 2015) and Resolution 16/4 (Tabled )**

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	<p>answering questions and addressing concerns the full-time faculty may have with respect to the dean’s performance. The details of the final evaluation shall be conveyed only to the Dean, Provost, President, and the Board of Trustees.</p>		
	<p><b>c. Associate Deans, Assistant Deans, and Similar Academic Administrative Officers.</b> The Dean shall appoint associate deans, assistant deans, and similar officers having responsibility for administering academic programs after receiving the affirmative recommendation of the school’s regular, full-time faculty (acting either through an elected committee or a committee of the whole) in accordance with procedures approved by the school’s regular, full-time faculty, and after receiving the Provost’s approval.</p>	<p><b>c. Associate Deans, Assistant Deans, and Similar Academic Administrative Officers.</b> The Dean shall appoint associate deans, assistant deans, and similar academic administrative officers in accordance with procedures approved by the school’s full-time faculty and with the Provost’s final approval.</p>	<p>EC Considered Board change reasonable.</p>
	<p><b>d. College of Professional Studies</b> In the case of a vacancy for the position of Dean, a special faculty committee shall be appointed jointly by the Provost and the deans of the schools whose programs are most directly affected by the College of Professional Studies unless the Provost determines, after consultation with such deans, that a search is not required for the position.</p>	<p><b>d. College of Professional Studies.</b> In the case of a vacancy for the position of Dean, a special faculty committee shall be appointed jointly by the Provost and the deans of the schools whose programs are most directly affected by the College of Professional Studies when a search is required for the position.</p>	<p>EC Considered Board change reasonable.</p>
<b><u>Procedures of the Implementation of the Faculty Code, Section C.2.c</u></b>			
<p><b><u>c. No Confidence in Academic Officers.</u></b> Such appointees shall hold office only as long as they retain the confidence of the faculty concerned. A formal proceeding to question the</p>	<p><b>e. No-Confidence.</b> It is essential that such appointees retain the confidence of the faculty concerned. A formal proceeding to question the</p>	<p><b>e. No-Confidence.</b> It is important that such appointees retain the confidence of the faculty concerned. A formal proceeding to question the continued</p>	<p>No substantive Changes</p>

**COMPARISON OF BOARD OF TRUSTEES RESOLUTIONS TO CHANGE THE GW FACULTY CODE AND FACULTY ORGANIZATION PLAN WITH THE CURRENT DOCUMENTS AND WITH FACULTY SENATE RESOLUTIONS 16/1, 16/2, 16/3 (Passed May 8, 2015) and Resolution 16/4 (Tabled )**

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<b>Current Language of <i>Faculty Code and Faculty Organization Plan</i></b>	<b>Faculty Senate Resolution 16/1 “A Resolution on Recommending Changes to the Faculty Code with Respect to Dean Searches and Reviews” (Approved by Faculty Senate May 8, 2015)</b>	<b>Board of Trustees Resolutions (Approved by Board of Trustees, June 18, 2015)</b>	<b>COMMENTS Of Executive Committee Faculty Senate</b>
<p>continued confidence of the faculty of a school in an academic administrative officer shall be instituted only after faculty members have made a reasonable effort to bring the substance of their concerns to the attention of such officers informally. The formal proceeding shall be conducted as follows:</p> <ol style="list-style-type: none"> <li>1. A petition signed by one-third of the school’s regular, active-status members of the rank of assistant professor or higher of the faculty concerned shall be submitted to the Chair of the Executive Committee of the Faculty Senate.</li> <li>2. The Chair of the Executive Committee shall call a special meeting of the faculty concerned for consideration of the matter. The meeting shall be held within twenty days (on which classes are regularly held in the University) of the time the petition is submitted. Notice of the meeting shall be given to all of the faculty members eligible to vote on the matter.</li> <li>3. The Chair of the Executive Committee shall preside over the meeting. At this meeting, procedures for balloting shall be determined.</li> <li>4. Within ten days (on which classes are regularly held in the University) of the first special meeting, a secret ballot of the regular, active-status faculty of the rank of assistant professor or higher shall be taken at a special meeting or by mail on the question of confidence in the administrator involved. The balloting shall be supervised by the Executive Committee of the Faculty Senate.</li> </ol>	<p>continued confidence of the faculty of a school in an academic administrative officer shall be instituted only after faculty members have made a reasonable effort to bring the substance of their concerns to the attention of such officers informally or through the Provost’s decanal review processes. The formal proceeding shall be conducted as follows:</p> <ol style="list-style-type: none"> <li>i. A petition signed by one-third of the school’s regular, full-time faculty shall be submitted to the Chair of the Executive Committee of the Faculty Senate.</li> <li>ii. The Chair of the Executive Committee shall call a special meeting of the school’s regular, full-time faculty for consideration of the matter. The meeting shall be held within twenty days (on which classes are regularly held in the University) of the time the petition is submitted. Written notice of the meeting shall be given to all regular, full-time faculty members of the school.</li> <li>iii. The Chair of the Executive Committee shall preside over the meeting. At this meeting, procedures for balloting shall be determined.</li> <li>iv. Within ten days (on which classes are regularly held in the University) of the first special meeting, a secret ballot of the school’s regular, full-time faculty shall be taken at a special meeting or by mail on the question of confidence in the administrator in question. The balloting shall be supervised by the</li> </ol>	<p>confidence of the faculty of a school in an academic administrative officer shall be instituted only after faculty members have made a reasonable effort to bring the substance of their concerns to the attention of such officers informally or through the Provost's decanal review processes. The formal proceeding shall be conducted as follows:</p> <ol style="list-style-type: none"> <li>i. A petition signed by one-third of the school's regular full-time faculty shall be submitted to the Chair of the Executive Committee of the Faculty Senate.</li> <li>ii. The Chair of the Executive Committee shall call a special meeting of the regular full- time faculty for consideration of the matter. The meeting shall be held within twenty days (on which classes are regularly held in the University) of the time the petition is submitted. Written notice of the meeting shall be given to all faculty members eligible to vote on the matter.</li> <li>iii. The Chair of the Executive Committee shall preside over the meeting. At this meeting, procedures for balloting shall be determined.</li> <li>iv. Within ten days (on which classes are regularly held in the University) of the first special meeting, a secret ballot of the school's regular full-time faculty shall be taken at a special meeting or by mail on the question of confidence in the administrator in question. The balloting shall be supervised by the Executive Committee of the Faculty Senate.</li> </ol>	

**COMPARISON OF BOARD OF TRUSTEES RESOLUTIONS TO CHANGE THE GW FACULTY CODE AND FACULTY ORGANIZATION PLAN WITH THE CURRENT DOCUMENTS AND WITH FACULTY SENATE RESOLUTIONS 16/1, 16/2, 16/3 (Passed May 8, 2015) and Resolution 16/4 (Tabled )**

July 15, 2015

<p align="center"><b>Current Language of <i>Faculty Code</i> and <i>Faculty Organization Plan</i></b></p>	<p align="center"><b>Faculty Senate Resolution 16/1</b>                      “A Resolution on Recommending Changes to the Faculty Code with Respect to Dean Searches and Reviews”                      (Approved by Faculty Senate May 8, 2015)</p>	<p align="center"><b>Board of Trustees Resolutions</b>                      (Approved by Board of Trustees, June 18, 2015)</p>	<p align="center"><b>COMMENTS Of Executive Committee Faculty Senate</b></p>
<p>5. The affirmative vote of a majority of faculty members eligible to vote shall be necessary for the passage of a vote of no confidence. If the resolution passes, the Chair of the Executive Committee shall forward the results of the proceedings to the President of the University for appropriate action.</p>	<p>Executive Committee of the Faculty Senate.</p> <p>v. The affirmative vote of a majority of the school’s regular, full-time faculty members shall be necessary for the passage of a vote of no confidence. If the resolution passes, the Chair of the Executive Committee shall forward the results of the vote to the Provost, and the Provost shall take prompt action to address the problems identified by the faculty’s vote of no confidence.</p>	<p>v. The affirmative vote of a majority of the school's regular full-time faculty members shall be necessary for the passage of a vote of no confidence. If the resolution passes, the Chair of the Executive Committee shall forward the results of the vote to the Provost and the Provost shall take prompt action to address the problems identified by the faculty's vote of no-confidence.</p>	

July 15, 2015

## School Rules and Procedures

<b>Current Language of <i>Faculty Code and Faculty Organization Plan</i></b>	<b>Faculty Senate Resolution 16/2 “A Resolution on Recommended Changes to the Faculty Code with Respect to School Faculty Composition and Governance” (Approved by Faculty Senate on May 8, 2015)</b>	<b>Board of Trustees Resolution (Approved by Board of Trustees on June 18, 2015)</b>	<b>COMMENTS Of Executive Committee Faculty Senate</b>
<b><u>Faculty Code, Section I</u></b>			
<p>The grades of academic personnel are:</p> <p><b>A. Retired Status</b> University professor emeritus, professor emeritus, professor emeritus in residence, associate professor emeritus, associate professor emeritus in residence, and retired (in any given rank for age or disability).</p> <p><b>B. Active Status</b></p> <p><b>1. Regular:</b> University professor, professor, associate professor, assistant professor, and instructor. Each of the regular, active-status ranks may be tenure-accruing or non-tenure-accruing as specified in the original letter of appointment. However, the proportion of regular, active-status faculty serving in non-tenure-accruing appointments shall not exceed 25 percent in any school, nor shall any department have fewer than 50 percent of its regular, active-status faculty appointments either tenured or tenure-accruing. The foregoing shall not apply to the faculty of the School of Medicine and Health Sciences who are stationed at affiliated institutions, nor to the faculties of the Law School or of the College of Professional Studies.</p> <p><b>2. Limited Service:</b> Adjunct professor, adjunct associate professor, adjunct assistant professor, adjunct instructor, clinical professor, professorial lecturer, associate clinical professor, associate professorial lecturer, assistant clinical professor,</p>	<p>The grades of academic personnel are:</p> <p><b>A. Retired Status:</b> University professor emeritus, professor emeritus, professor emeritus in residence, associate professor emeritus, associate professor emeritus in residence, and retired (in any given rank for age or disability).</p> <p><b>B. Regular Faculty:</b> Regular Faculty are full-time faculty members with the title of University professor, professor, associate professor, assistant professor, and instructor who are tenured or tenure-accruing, and non-tenure-accruing faculty who are currently on a renewable contract, do not hold either a regular or tenured appointment at another university, have a nine or twelve month appointment and have contractual responsibilities for all of the following areas: research, teaching and service. At least 75 percent of the regular, full-time faculty members in each school shall hold tenured or tenure-accruing appointments, and at least 50 percent of the regular, full-time faculty members in each department of a departmentalized school shall hold tenured or tenure-accruing appointments. <b>The foregoing percentage requirements shall not apply to the faculties of the School of Medicine and Health Sciences, the School of Nursing, and the College of Professional Studies.</b></p> <p><b>C. Specialized Faculty:</b> Specialized Faculty are</p>	<p>The grades of academic personnel are:</p> <p><b>A. Retired Status:</b> University professor emeritus, professor emeritus, professor emeritus in residence, associate professor emeritus, associate professor emeritus in residence, and retired (in any given rank).</p> <p><b>B. Regular Faculty:</b> Regular Faculty are full-time faculty members with the title of University professor, professor, associate professor, assistant professor, and instructor who are tenured or tenure-track, and non-tenure-track full-time faculty members who are on a renewable contract, do not hold either a regular or tenured appointment at another university, have a nine or twelve month appointment and who have contractual responsibilities for all of the following: research, teaching, and service. However, the proportion of regular faculty serving in non-tenure track appointments shall not exceed 25 percent in any school, nor shall any department have fewer than 50 percent of its regular faculty appointments either tenured or tenure-accruing. <b>The foregoing shall not apply to the School of Medicine and Health Sciences, the School of Nursing, the Milken Institute School of Public Health, and the College of Professional Studies.</b></p> <p><b>C. Specialized Faculty:</b> Specialized Faculty are faculty members with the title of professor,</p>	<p>B. Regular Faculty: The 75% rule for school’s remains in accordance with the current Faculty Code and Senate Resolution 16/2, although the language of Resolution 16/2 is somewhat different. Thus, there is NO substantive change in the 75% rule. However, the Board did resolve to reconsider this in collaboration with the Senate Committees in the fall. NOTE in Board Resolution, Milken Institute School of Public Health was exempt while in Resolution 16/2 it is not. The Senate at its May 8 meeting did not support this, but there was much support within MISPH. B. Specialized Faculty: In Senate Resolution 16/2, there was a cap on Specialized Faculty: “<i>The number of full-time Specialized Faculty in each school shall not exceed 25 percent of the total number of full-time faculty members in that school.</i>” The Board did not approve this cap because they felt it would limit the flexibility of the Schools. However, they argued that such a cap DOES NOT exist in the current Faculty Code. The position of the EC was that so long as governance rights are not extended to Specialized Faculty, we would not insist on introducing a new</p>



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<p>assistant professorial lecturer, clinical instructor, lecturer, studio instructor, special lecturer, fellow, teaching fellow, and graduate teaching assistant.</p> <p><b>3. Visiting:</b> Visiting professor, visiting associate professor, visiting assistant professor, and visiting instructor.</p> <p><b>4. Research Staff:</b> Members of the research staff may be appointed, upon recommendation of the appropriate faculty and officers of the administration, as research professor, associate research professor, assistant research professor, and research instructor. Such appointments do not provide tenure.</p> <p><b>5. Special Service:</b> Special service faculty may be appointed, upon recommendation of the appropriate faculty and officers of the administration, as teaching professor or program administrator or with such other special service faculty designation as may be approved by the Vice President for Academic Affairs, in order to fulfill special teaching or program administration or development needs. Such appointments do not provide tenure, and special service faculty are not expected to generate productive scholarship.</p> <p><b>6. Secondary and Courtesy Appointments:</b> A faculty member holding a regular, active-status appointment in one department or school may be granted a secondary or courtesy appointment in another department or school for a specified term. A secondary or courtesy appointment shall require the recommendation of the appropriate faculty and officers of administration of the unit granting that appointment and shall comply with rules and procedures for such appointments established by the unit granting that appointment and by the Vice President for Academic Affairs. A secondary or</p>	<p>faculty members with the title of professor, associate professor, assistant professor, and instructor who are currently on a renewable nine or twelve month contract, do not hold either a regular or tenured appointment at another university, and have contractual responsibilities for one or two of the following areas: research, teaching and service. Specialized Faculty include but are not limited to Research Faculty and Teaching Faculty, and their titles should ordinarily include designations indicating their specialized status, such as “research” or “teaching” or other designations approved by the Provost. <b>The number of full-time Specialized Faculty in each school shall not exceed 25 percent of the total number of full-time faculty members in that school. The foregoing percentage limitation shall not apply to the faculties of the School of Medicine and Health Sciences, the School of Nursing, and the College of Professional Studies.</b></p> <p><b>D. Visiting Faculty:</b> Visiting Faculty are faculty members with the title of visiting professor, visiting associate professor, visiting assistant professor, and visiting instructor. Visiting faculty hold limited term appointments approved by the Provost and, due to the temporary nature of their appointments, do not have any of the governance rights described by the Faculty Code unless such rights are expressly granted.</p> <p><b>E. Part Time Faculty:</b> Part Time Faculty are faculty members with a title of adjunct professor, adjunct associate professor, adjunct assistant professor, adjunct instructor, clinical professor, professorial lecturer, associate clinical professor, associate professorial lecturer, assistant clinical professor, assistant professorial lecturer, clinical instructor, lecturer, studio instructor, and special instructor,</p>	<p>associate professor, assistant professor, and instructor who are on a renewable contract, do not hold either a regular or tenured appointment at another university, have a nine or twelve month appointment and who have contractual responsibilities for one or two of the following areas: research, teaching, and service. Specialized Faculty include but are not limited to faculty members holding clinical, research, and teaching faculty positions, which may be reflected in their titles.</p> <p><b>D. Visiting Faculty:</b> Visiting Faculty are faculty members with the title of visiting professor, visiting associate professor, visiting assistant professor, and visiting instructor. Visiting Faculty hold limited term appointments approved by the Provost and, due to the temporary nature of their appointments, do not have governance rights described by the Faculty Code unless such rights are expressly stated.</p> <p><b>E. Part Time Faculty:</b> Part Time Faculty are faculty members with a title of adjunct professor, adjunct associate professor, adjunct assistant professor, adjunct instructor, clinical professor, professorial lecturer, associate clinical professor, assistant clinical professor, assistant professorial lecturer, clinical instructor, lecturer, studio instructor and special instructor, who are on a fixed semester or 9-month appointment (that may or may not be subject to reappointment), including but not limited to Part Time Faculty subject to a Collective Bargaining Agreement. This Faculty Code does not apply to Part Time Faculty covered under the terms of a Collective Bargaining Agreement unless the Collective Bargaining Agreement expressly provides.</p> <p><b>F. Secondary and Courtesy Appointments:</b> A faculty</p>	<p>cap on Specialized Faculty, although there was strong support for doing so.</p> <p>There was agreement on remaining categories of faculty.</p>

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<p>courtesy appointment is not a regular, active-status appointment and does not automatically confer any of the rights provided by the Faculty Code and the Faculty Organization Plan to participate in faculty governance in the unit granting that appointment. Unlike a courtesy appointment, a secondary appointment shall allow a faculty member to exercise one or more specified governance privileges in the faculty unit granting the appointment, but such privileges shall be approved by that unit’s regular, active-status faculty. A secondary or courtesy appointment terminates automatically upon the expiration of its specified term or upon termination of the faculty member’s regular, active-status appointment. This paragraph does not affect the terms, conditions, and designations of secondary and courtesy appointments in existence as of May 1, 2008.</p>	<p>who are on a fixed semester or 9-month appointment (that may or may not be subject to reappointment), including but not limited to Part Time Faculty subject to a Collective Bargaining Agreement. This Faculty Code does not apply to Part Time Faculty covered under the terms of a Collective Bargaining Agreement except to the extent expressly provided in the Collective Bargaining Agreement.</p> <p><b>F. Secondary and Courtesy Appointments:</b> A faculty member holding a regular faculty appointment in one department or school may be granted a secondary or courtesy appointment in another department or school for a specified term. A secondary or courtesy appointment shall require the recommendation of the appropriate faculty and officers of administration of the unit granting that appointment and shall comply with rules and procedures for such appointments established by the unit granting that appointment and by the Provost. A secondary or courtesy appointment is not a regular, faculty appointment and does not automatically confer any of the rights provided by the Faculty Code and the Faculty Organization Plan to participate in faculty governance in the unit granting that appointment. Unlike a courtesy appointment, a secondary appointment shall allow a faculty member to exercise one or more specified governance privileges in the faculty unit granting the appointment, but such privileges shall be approved by that unit’s regular faculty. A secondary or courtesy appointment terminates automatically upon the expiration of its specified term or upon termination of the faculty member’s regular appointment. This paragraph does not</p>	<p>member holding a regular faculty appointment in one department or school may be granted a secondary or courtesy appointment in another department or school for a specified term. A secondary or courtesy appointment shall require the recommendation of the appropriate faculty and officers of administration of the unit granting that appointment and shall comply with rules and procedures for such appointments established by the unit granting that appointment and by the Provost. A secondary or courtesy appointment is not a regular faculty appointment and does not automatically confer any of the rights provided by the Faculty Code and the Faculty Organization Plan to participate in faculty governance in the unit granting that appointment. Unlike a courtesy appointment, a secondary appointment shall allow a faculty member to exercise one or more specified governance privileges in the faculty unit granting the appointment, but such privileges shall be approved by that unit’s regular faculty. A secondary or courtesy appointment terminates automatically upon the expiration of its specified term or upon termination of the faculty member’s regular appointment. This paragraph does not affect the terms, conditions, and designations of secondary and courtesy appointments in existence as of May 1, 2008.</p>	

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	affect the terms, conditions, and designations of secondary and courtesy appointments in existence as of May 1, 2008.		
<b><u>Procedures for the Implementation of the Faculty Code</u></b>			
<p><b>A. Governance of Departments and Schools</b> The regular, active-status faculty and tenured limited service faculty of each department, school, or comparable educational division shall establish written procedures for the governance of that unit.</p>	<p><b>A. Governance of Departments and Schools*</b> The regular, full-time faculty of each department, school, or comparable educational division shall establish written procedures, rules and criteria for the governance of that unit. All school, department, or comparable educational division’s procedures shall be consistent with the Faculty Code and the Faculty Organization Plan.</p> <p>All school procedures, rules, and criteria shall be reviewed by the Faculty Senate Executive Committee and approved by the Provost.</p> <p>All school procedures, rules and criteria, shall at a minimum provide:</p> <ol style="list-style-type: none"> <li>1. The administrative and academic divisions of the school</li> <li>2. Steps for enacting procedures, rules, and criteria of the school, such as the appointment of school administrators with faculty appointments</li> <li>3. Elections (or appointments) to, and responsibilities of, standing committees and faculty advisory councils (as appropriate)</li> <li>4. Policies and procedures for maintaining academic standards such as:               <ol style="list-style-type: none"> <li>a. Determining standards for graduation</li> <li>b. Reviewing curricula, including new academic programs</li> </ol> </li> </ol>	<p><b>A. Governance of Departments and Schools*</b> The regular full-time faculty of each department, school, or comparable educational division shall establish written procedures, rules and criteria for the governance of that unit. All school, department, or comparable educational division's procedures shall be consistent with the Faculty Code and the Faculty Organization Plan.</p> <p>All school procedures, rules and criteria, shall at a minimum provide:</p> <ol style="list-style-type: none"> <li>1. The administrative and academic divisions of the school.</li> <li>2. Steps for enacting procedures, rules, and criteria of the school, such as the appointment of school administrators with faculty appointments.</li> <li>3. Elections (or appointments) to, and responsibilities of, standing committees and faculty advisory councils (as appropriate).</li> <li>4. Policies and procedures for maintaining academic standards such as:               <ol style="list-style-type: none"> <li>a. Determining standards for graduation</li> <li>b. Reviewing curricula, including new academic programs</li> <li>c. Resolving student allegations of arbitrary or capricious academic evaluation</li> </ol> </li> <li>5. Policies and procedures for reviewing and approving procedures, rules, and criteria of departments, or comparable educational divisions.</li> </ol>	<p>Minor changes in wording but no substantive changes. <b>EC Considered Board change reasonable.</b></p>

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	<p>c. Resolving student allegations of arbitrary or capricious academic evaluation</p> <p>5. Policies and procedures for reviewing and approving procedures, rules and criteria of departments or comparable educational divisions</p> <p>6. Policies and procedures for appointment, periodic performance review, promotion, and/or tenure of faculty (as appropriate based on their position)</p> <p>----</p> <p>*In the governance of the School of Medicine and Health Sciences, all faculty of that School who are eligible for membership in the Faculty Assembly shall be eligible to participate whenever the term “regular” faculty appears in this document.</p>	<p>6. Policies and procedures for appointment, periodic performance review, promotion, and/or tenure of faculty (as appropriate based on their position)</p> <p>All school procedures, rules, and criteria shall be approved by the Provost in consultation with the Faculty Senate Executive Committee.</p> <p>----</p> <p>* In the governance of the School of Medicine and Health Sciences, all faculty of that School who are eligible for membership in the Faculty Assembly shall be eligible to participate whenever the term "regular faculty" appears in this document.</p>	

## **Appointment, Promotion, and Tenure**

<b>Current Language of <i>Faculty Code and Faculty Organization Plan</i></b>	<b>Faculty Senate Resolution 16/3 “A Resolution on Recommended Changes to the Faculty Code with Respect to Tenure and Promotion Standards and Procedures” (Approved by Faculty Senate on May 8, 2015)</b>	<b>Board of Trustees Resolution (Approved by Board of Trustees on June 18, 2015)</b>	<b>COMMENTS Of Executive Committee Faculty Senate</b>
<b>Faculty Code: IV.B - Promotion</b>			
<p>1. Promotion shall be dependent upon professional <b>competence</b> as evidenced by teaching ability, productive scholarship, participation and</p>	<p>1. Promotion to the ranks of associate professor and professor is granted by the university to faculty members who have achieved <b>excellence</b> in their disciplines through their</p>	<p>1. Promotion to the ranks of associate professor and professor is granted by the university to faculty members who have achieved <b>excellence</b> in their</p>	<ul style="list-style-type: none"> <li>Standard has been raised from “competence” to “excellence.”</li> </ul>

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<p>leadership in professional societies, service to the University, and public service.</p> <p>2. As general practice, a promotion shall be accompanied by an appropriate increase in salary.</p> <p>3. Each school or comparable educational division shall establish and publish criteria on which promotion will be based. Additional criteria that may exist in departments shall also be published. Each department or nondepartmentalized school shall establish and publish the procedures followed for making decisions concerning promotions.</p> <p>4. Each department or school shall establish procedures for periodically informing faculty members whether they are making satisfactory progress toward promotion.</p>	<p>contributions to research, scholarship, or creative work in the arts (hereinafter <i>scholarship</i>), teaching, and engagement in service, and who demonstrate the potential to continue to do so, so that the university may advance its mission of scholarship, higher education, and service to the community. Each school, and each department in a departmentalized school, shall define, establish and publish criteria for excellence consistent with this Paragraph B.1. The university seeks to apply the highest standards of academic rigor in evaluating faculty members for promotion. Promotion to professor is reserved for those who have established a record since promotion to associate professor that demonstrates a sustained, high level of distinction in their field through scholarly contributions, excellence in teaching, and active engagement in service. In addition, it is expected that the candidates’ record of scholarship, teaching, and service provide confidence that they will continue to contribute in all these areas at a level of excellence in a pattern of sustained development and substantial growth in achievement and productivity. Time served in the rank of associate professor is not a sufficient basis for promotion.</p> <p>2. Each school shall establish and publish written criteria, consistent with paragraph B.1, on which promotion to the ranks of associate professor and professor will be based, including any appropriate distinctions between the criteria for tenure-track and tenured faculty and those for non-tenure track faculty members due to the different nature of their appointments. Each department shall define, establish and publish additional written criteria for promotion, consistent with Paragraph B.1 and with the written criteria established and published by the relevant school. Each school and department shall also establish and publish the procedures used for making promotion decisions and for appointing tenured faculty members. The procedures should provide for informing faculty members periodically, or at their request, whether they are making satisfactory progress toward</p>	<p>disciplines through their contributions to research, scholarship, or creative work in the arts (hereinafter <i>scholarship</i>), teaching, and engagement in service, and who demonstrate the potential to continue to do so, so that the university may advance its mission of scholarship, higher education, and service to the community. The university seeks to apply the highest standards of academic rigor in evaluating faculty members for promotion. Promotion to professor is reserved for those who have established a record since promotion to associate professor that demonstrates a sustained, high level of distinction in their field through scholarly contributions, excellence in teaching, and active engagement in service. In addition, it is expected that the candidate's record of scholarship, teaching, and service provides confidence that he or she will continue to contribute in all these areas at a level of excellence in a pattern of sustained development and substantial growth in achievement and productivity. Time served in rank is not a sufficient basis for promotion.</p> <p>2. Each school shall establish and publish written criteria, consistent with paragraph B.1, on which promotion to the ranks of associate professor and professor will be based, including any appropriate distinctions between the criteria for tenure-track and tenured faculty and those for non-tenure track faculty members due to the different nature of their appointments. Departments may establish and publish additional written criteria, to the extent consistent with Paragraph B.1 and with the written criteria established and published by the relevant school, which shall also be published. Each school and department shall also establish and publish the procedures used for making promotion decisions.</p>	<ul style="list-style-type: none"> <li>• New emphasis on the importance that the recommending Faculty make a strong case that the candidate has met the published written criteria for excellence for the position when issuing a faculty recommendation.</li> <li>• Strong emphasis on published criteria.</li> <li>• <b>EC Considered Board change reasonable.</b></li> </ul>

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	<p>promotion. Such information shall not be construed as a promise to recommend promotion. Each faculty member has the prerogative to determine whether and when to request consideration for promotion to the rank of professor. Recommendations for promotion originate from the faculty – for departmentalized schools, from the faculty of the relevant department, after application by the candidate. Faculty recommendations must be based on substantial evidence of excellence based on the criteria stated in Paragraph B.1 and the additional criteria established and published by the relevant school and department.</p> <p>3. As general practice, a promotion shall be accompanied by an appropriate increase in salary.</p>	<p>The procedures should provide for informing faculty members periodically, or at their request, whether they are making satisfactory progress toward promotion. Such information shall not be construed as a promise to recommend promotion. Each non-tenure track or tenured faculty member has the prerogative to determine whether and when to request consideration for promotion. Recommendations for promotion originate from the faculty - for departmentalized schools, from the faculty of the relevant department, after application by the candidate. Faculty recommendations must be based on substantial evidence of excellence based on the written criteria stated in Paragraph B.1 and the additional criteria established and published by the relevant school and department. <b>It is incumbent on the department to demonstrate at all stages of the process that the candidate has met the published written criteria for excellence for the position when issuing a faculty recommendation.</b></p> <p>3. As general practice, a promotion shall be accompanied by an appropriate increase in salary.</p>	
<p><b><i>Faculty Code: IV.C - Tenure</i></b></p>			
<p><b>C. Tenure</b></p> <p>1. Tenure shall be dependent upon professional competence as evidenced by teaching ability, productive scholarship, participation and leadership in professional societies, service to the University, and public service. Upon a specific showing that the academic needs of the University have changed with respect to a particular position, that factor may also be considered in determining whether tenure shall be granted.</p> <p>2. Each school or comparable educational division</p>	<p><b>C. Tenure</b></p> <p>1. Recognizing the university’s commitment when it grants tenure and the university’s mission as a preeminent research university, tenure is reserved for members of the faculty who demonstrate <b>excellence</b> in scholarship, teaching, and engagement in service and who show promise of continued excellence. Each school, and each department in a departmentalized school, shall define, establish and publish criteria for excellence consistent with this Paragraph C.1. Excellence in teaching and engagement in service are prerequisites for tenure, but they are not in themselves sufficient grounds for tenure.</p>	<p><b>C. Tenure</b></p> <p>1. Recognizing the significance of the university's commitment when it grants tenure, including to the university's standing as a preeminent research university, tenure is reserved for members of the faculty who demonstrate <b>excellence</b> in scholarship, teaching, and engagement in service and who show promise of continued excellence. Excellence in teaching and engagement in service are prerequisites for tenure, but they are not in themselves sufficient grounds for</p>	<p><b><i>Similar Comments to B. Promotion</i></b></p> <ul style="list-style-type: none"> <li>• <b><i>EC Considered Board change reasonable.</i></b></li> <li>• <b><i>System is more pro-active in helping TT faculty advance towards tenure. More feedback.</i></b></li> </ul>

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<p>shall establish and publish criteria on which the granting of tenure will be based to implement the factors itemized in Paragraph 1. Such criteria shall be stated separately from the criteria for promotion. Any additional criteria for tenure that may exist in departments shall also be published. Each department or nondepartmentalized school shall establish and publish the procedures followed for making decisions concerning tenure.</p> <p>3. To aid faculty members in assessing their potential for achieving tenure, each department, division, or comparable program shall establish procedures for informing individual faculty members, upon request, concerning probable status with regard to tenure. Such information will not constitute a commitment to recommend tenure.</p>	<p>Tenure is reserved for faculty members whose scholarly accomplishments are distinguished in their fields, and a candidate’s record must compare favorably with that of candidates in similar stages in their careers at peer research universities in the candidate’s field. Upon a specific showing that the academic needs of the University have changed with respect to a particular position, that factor may be considered in determining whether tenure shall be granted. The granting of tenure is generally accompanied by promotion to associate professor.</p> <p>2. Each school shall establish and publish written criteria, consistent with Paragraph C.1, on which the recommendation for tenure will be based. Each department shall define, establish and publish additional written criteria for tenure, consistent with Paragraph C.1 and with the criteria established and published by the relevant school. In addition, each school and each department shall establish and publish written procedures for making decisions concerning tenure and for hiring tenured faculty at the rank of associate professor or professor. Recommendations for tenure originate from the faculty—for departmentalized schools, from the faculty of the relevant department. Faculty recommendations must be based on substantial evidence of excellence based on the criteria stated in Paragraph C.1 and the additional criteria published by the relevant school and department.</p> <p>3. So that faculty members may assess their potential for achieving tenure, each school, or each and every one of a school’s departments, shall establish and publish written procedures to provide reviews to guide faculty members concerning progress toward tenure. Reviews do not constitute a commitment to recommend tenure. Such reviews may be satisfied by, but need not be limited to, evaluations of annual reports and mid-tenure</p>	<p>tenure. Tenure is reserved for faculty members whose scholarly accomplishments are distinguished in their fields, and a candidate's record must compare favorably with that of candidates in similar stages in their careers at peer research universities in the candidate's field. Upon a specific showing that the academic needs of the University have changed with respect to a particular position, that factor may be considered in determining whether tenure shall be granted. The granting of tenure is generally accompanied by promotion to associate professor.</p> <p>2. Each school shall establish and publish written criteria, consistent with Paragraph C.1, on which the recommendation for tenure will be based. Each department shall establish, and publish additional written criteria for tenure consistent with Paragraph C.1 and with the criteria established and published by the relevant school, which shall also be published. In addition, each school and each department shall establish and publish written procedures for making decisions concerning tenure and hiring tenured faculty. Recommendations for tenure originate from the faculty- for departmentalized schools, from the faculty of the relevant department. Faculty recommendations must be based on substantial evidence of excellence. <b>It is incumbent on the department to demonstrate at all stages of the process that the candidate has met the published written criteria for excellence for the position when issuing a faculty recommendation.</b></p> <p>3. So that faculty members may assess their</p>	

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	<p>reviews, which should be communicated to the faculty member.</p>	<p>potential for achieving tenure, each school and, where appropriate, each department, shall establish and publish written procedures to provide reviews to guide faculty members concerning progress toward tenure. Reviews do not constitute a commitment to recommend tenure. Such reviews may be satisfied by, but need not be limited to, evaluations of annual reports and mid-tenure track reviews, the results of which should be communicated to the faculty member.</p>	
<p align="center"><b>Faculty Code- IV. D. School-Wide Personnel Committees</b></p>			
<p>To implement the procedures required in Sections B.3 and C.2 above, each school shall establish a school-wide personnel committee, either as an elected standing committee or of the school faculty acting as a committee of the whole, to consider recommendations for appointments with tenure, promotion, or for tenure of regular full-time faculty members. Such committees may request additional information, documentation, or clarification respecting such recommendations. Further:</p> <ol style="list-style-type: none"> <li>1. An elected standing committee, sitting in review of recommendations originating from a department or equivalent unit, shall advise the dean of that school whether the candidate has met the relevant school and department criteria and whether it has identified any "compelling reasons" that may exist for not following the departmental or unit recommendation. Such advisories shall not be construed as "faculty recommendations" as defined by Section B.3 of the Procedures for Implementation of the Faculty Code.</li> <li>2. When the faculty of a school, sitting as a</li> </ol>	<p align="center"><b>NO CHANGE RECOMMENDED FROM EXISTING FACULTY CODE</b></p>	<ol style="list-style-type: none"> <li>1. To implement the procedures required in Sections B and C above, each school shall establish a School-Wide Personnel Committee composed of tenured faculty, either as a standing committee elected by the tenured and tenure-track faculty of the school or as a committee of the whole composed of the school's tenured faculty, to consider recommendations for tenure, for promotion, or for appointments with tenure. In the College of Professional Studies, the Dean's Council shall act as the personnel committee.</li> <li>2. In departmentalized schools, recommendations for tenure, for promotion, or for appointments with tenure originate with the departments, and the function of the School-Wide Personnel Committee is to review all such recommendations and <b>issue its own independent concurrence or nonconcurrence with the faculty recommendation.</b> In its findings, in order to ensure comparable quality and excellence across the school, the School-Wide Personnel Committee shall state whether the candidate has met the relevant</li> </ol>	<ul style="list-style-type: none"> <li>• The essential change in the role of the School-Wide Personnel Committee is that it is no longer advisory to the dean, but can concur or nonconcur independently with a departmental recommendation. As in the original Faculty Code, the Faculty recommendation is given disciplinary deference and the School-Wide Personnel Committee must find “compelling reasons” to nonconcur. The “compelling reasons” are defined in the new Section E of the Faculty Code, and is taken from Faculty Senate Resolution 03/10.</li> <li>• <b>EC Considered Board change reasonable.</b></li> </ul>



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July 15, 2015

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<p>committee of the whole, serves as the school's personnel committee and initiates recommendations to the dean for appointments and actions affecting renewal of appointments, promotion, tenure designation, and termination of service, such recommendations shall be construed as "faculty recommendations" in the sense of the Procedures, Section B.3.</p> <p>3. In the College of Professional Studies, the Dean’s Council shall take the place of the elected standing committee or committee of the whole described in this Part D.</p>		<p>published criteria (see Sections B.1 and B.2, and Sections C.1 and C.2) and identify any compelling reasons for non-concurrence as defined in Section E. The Committee may also advise whether the academic needs have changed for a particular position (see Section C.1).</p> <p>3. In schools without departments, the school-wide personnel committee initiates recommendations to the dean for matters that may include appointment, renewal, tenure, promotion, and termination of service.</p> <p>4. The School-Wide Personnel Committee may request and gather additional information, documentation, or clarification regarding recommendations they are considering. Recommendations shall be determined by committee members holding equal or higher rank relative to the considered action. Schools shall develop rules for recusal involving potential conflicts of interest for committee members, such as membership in the same department as the candidate.</p>	
<p><b>University-Wide Personnel Committees</b></p>			
<p><i>{Under the current Faculty Code, GW does not have a University-Wide Personnel Committee. However, in the event of a nonconcurrence between a faculty recommendation and an administrative recommendation for appointments, promotion, and tenure recommendations, the Executive Committee of the Faculty Senate serves as a university-wide personnel committee in accordance with Sections B.2 and B.3 of Procedures for the Implementation of the Faculty Code.}</i></p>	<p><b>E. University-Wide Nonconcurrence Committee</b></p> <p>1. Structure</p> <p>i. The university shall establish a University-Wide Nonconcurrence Committee to review and make a determination with respect to each tenure, promotion and appointment with tenure case in which the Provost has nonconcurred, or has upheld a nonconcurrence by the dean, with a faculty recommendation.</p>	<p>Continue with the continued role of the Faculty Senate Executive Committee as defined in the Faculty Code.</p>	<p>Under the amended Faculty Code approved by the Board on June 18,2015, GW does not have a University-Wide Personnel Committee, per se. As with the current Faculty Code, in the event of a nonconcurrence between a faculty recommendation and an administrative recommendation for appointments, promotion, and tenure recommendations, the Executive Committee of the Faculty Senate serves as a</p>

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	<ul style="list-style-type: none"> <li>ii. The University-Wide Nonconcurrency Committee shall be composed of (1) nine tenured faculty members, each with the rank of professor, with one member elected by each of the university’s schools other than the College of Professional Studies, and (2) two senior administrators (who may be faculty members) designated by the Provost. The President and Provost; vice presidents, associate vice presidents, and assistant vice presidents; vice provosts and associate vice provosts; deans, associate deans, and assistant deans shall be ineligible to serve as elected faculty members of the Committee.</li> <li>iii. Elected faculty members of the University-Wide Nonconcurrency Committee shall be nominated and elected by the tenured faculty of their respective schools in accordance with procedures approved by the tenured faculty of each school. Any school with fewer than six tenured faculty members may obtain permission from the Faculty Senate Executive Committee to elect an untenured faculty member to serve on the Committee.</li> <li>iv. Elected faculty members of the University-Wide Nonconcurrency Committee shall serve staggered three-year terms, with a maximum of two consecutive terms. Members rendered ineligible due to their service for two consecutive terms shall be deemed eligible for nomination and re-election following one year of absence from the Committee.</li> <li>v. The elected faculty members of the University-Wide Nonconcurrency Committee shall elect one of their number annually to serve as Chair of the Committee.</li> <li>vi. If an elected member of the University-Wide Nonconcurrency Committee is unable to complete his or her term, the tenured faculty of the relevant school shall nominate and elect a replacement</li> </ul>		<p>university-wide personnel committee in accordance with Sections B.2 and B.3 of Procedures for the Implementation of the Faculty Code. NOTE that the Board of Trustees included in their resolution a provision to study this further and reconsider it at their October 2015 meeting.</p>

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	<p>member to complete that term, in accordance with the provisions of this Paragraph E.1.</p> <p>vii. If a University-Wide Nonconcurrency Committee member belongs to the same department as a candidate for tenure or promotion, or has a conflict of interest, the member shall be recused from voting but may participate in the discussion of the case. That a Committee member belongs to the same school as a candidate does not by itself create a conflict of interest.</p> <p>2. Responsibilities</p> <p>i. The Provost shall refer to the University-Wide Nonconcurrency Committee for its consideration and determination each tenure, promotion, and appointment with tenure case in which the Provost has nonconcurrred, or has upheld a nonconcurrency by a dean, with a faculty recommendation as provided in Paragraph B.7 of the Procedures for the Implementation of the Faculty Code. In each such case, the Committee shall determine whether the administrative nonconcurrency is supported by one or more of the compelling reasons defined in Paragraph F.1 below. The Provost shall bear the burden of persuasion on that question.</p> <p>ii. The University-Wide Nonconcurrency Committee shall make its determination in accordance with the procedures set forth in Paragraph E.3 below.</p> <p>3. Procedures</p> <p>i. The Provost shall provide the University-Wide Nonconcurrency Committee with the relevant dossiers for all cases indicated in Paragraph E.2 above. The Committee may request additional information, advice or documentation, which the Provost shall provide or assist in providing to the extent practicable.</p>		

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	<p>ii. The University-Wide Nonconcurrency Committee shall determine, and shall advise the Provost in writing, whether the administrative nonconcurrency is supported by one or more of the compelling reasons defined in Section F.1 below. If the Committee determines that the administrative nonconcurrency is not supported by any compelling reason, the Provost and the President shall approve the application for tenure, promotion, or appointment with tenure unless the President determines that such application should be denied based on one or more of the extraordinary circumstances defined in Paragraph F.2 below. In that event, the President shall provide a written explanation of such extraordinary circumstance(s) to the Committee, the appropriate dean, the appropriate department chair, and the candidate. The Committee’s review process established by this Paragraph E shall not constitute or replace the grievance procedure established by Section X.B of the Faculty Code.</p> <p>iii. The University-Wide Nonconcurrency Committee may adopt rules governing its internal procedure, which shall be published. Each determination by the Committee shall require the affirmative vote of a majority of the members entitled to vote in the relevant case.</p>		
	<p><b>Faculty Code IV.F Review Process (NEW)</b>                      Departments, school-wide personnel committees, deans, the University-Wide Nonconcurrency Committee, and the Provost are each entrusted with ensuring that faculty recommendations concerning tenure, promotion, and appointments with tenure are consistent with published</p>	<p><b>Faculty Code- IV. E. Review Process (NEW)</b>                      Departments, School-Wide Personnel Committees, deans, and the Provost are each entrusted with ensuring that faculty recommendations concerning tenure, promotion, and appointments with tenure are consistent with the standards of excellence, including the promise of continued excellence,</p>	<ul style="list-style-type: none"> <li>• EC Considered Board change reasonable.</li> <li>• Definitions of “compelling reasons” come from Faculty Senate Resolution 03/10.</li> </ul>

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	<p>criteria, are supported by sufficient evidence and preserve the schools’ and the university’s interest in building a distinguished faculty.</p> <ol style="list-style-type: none"> <li>1. The following shall constitute compelling reasons for a school-wide personnel committee to advise a dean (see Section D), for the University-Wide Nonconcurrency Committee to uphold an administrative nonconcurrency (see Section E), or for a dean or the Provost to nonconcur with a faculty recommendation (see Procedures for the Implementation of the Faculty Code, Sections B.5 and B.7):               <ol style="list-style-type: none"> <li>i. Insufficient evidence or inadequate reasons provided by the recommending faculty and external reviewers to demonstrate that the candidate has satisfied the published criteria defining the applicable standards of excellence; or</li> <li>ii. Failure by the recommending faculty to conform to published appointment, tenure or promotion policies, procedures, and guidelines; or</li> <li>iii. Arbitrary, capricious, or discriminatory action at any point in the process.</li> </ol> </li> <li>2. The following shall constitute extraordinary circumstances for the President to deny an application for tenure, promotion, or an appointment with tenure despite a decision by the Provost to concur with the faculty recommendation (see Procedures for the Implementation of the Faculty Code, Section B.6) or a determination by the University-Wide Nonconcurrency Committee not to uphold an administrative nonconcurrency (see Procedures, Section B.8 and Section E of Article IV of the Faculty Code):               <ol style="list-style-type: none"> <li>1. The need to terminate an entire instructional program for a</li> </ol> </li> </ol>	<p>stated in this Faculty Code and with published criteria; are supported by substantial evidence; and preserve the schools’ and the university’s interest in building a distinguished faculty.</p> <ol style="list-style-type: none"> <li>1. The following may constitute compelling reasons for a School-Wide Personnel Committee, a dean or the Provost to independently concur or nonconcur with a faculty recommendation( see Section D.3; see Procedures for the Implementation of the Faculty Code, Section B. 5):               <ol style="list-style-type: none"> <li>i. Failure by the recommending faculty to meet the burden of substantial evidence or otherwise provide adequate reasons, including insufficient support by external reviewers, to demonstrate that that candidate meets, or fails to meet, the applicable standards of excellence;</li> <li>ii. Failure to conform to published tenure or promotion policies, procedures, and guidelines; or</li> <li>iii. Arbitrary, capricious, or discriminatory action at any point in the process.</li> </ol> </li> <li>2. Deans and the Provost are also entrusted with the fiscal health of the university and must consider significant financial or programmatic constraints.</li> </ol>	

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	reason specified in Part V.D.2 of the Faculty Code; or 2. Extraordinary financial exigency as defined in Part V.D.3 of the Faculty Code; or 3. Other extraordinary financial or programmatic constraints that would cause the approval of the faculty recommendation to impair the fiscal health of the University.		
	<b>Faculty Code- IV. G. Nondiscrimination (NEW)</b> Appointments, renewals, terminations, promotions, tenure, compensation, and all other terms and conditions of employment shall be made consistent with the University’s Policy on Equal Opportunity.	<b>Faculty Code- IV. F Nondiscrimination (NEW)</b> Appointments, renewals, terminations, promotions, tenure, compensation, and all other terms and conditions of employment shall be made consistent with the University Policy on Equal Opportunity.	<i>Senate language adopted by Board.</i>
<b><i>Procedures for the Implementation of the Faculty Code</i></b>			
<b>B. Faculty Participation in Action Concerning Faculty Membership</b> 1. The regular, active-status faculty members of each school or comparable educational division shall establish procedures enabling an elected standing committee or committee of the whole to submit its recommendations on the allocation of regular-service, tenure-accruing appointments within that unit. 2. The regular, active-status faculty members of the rank of assistant professor or higher of a department or of a non-departmentalized school or comparable educational division shall, subject to such limitations or guidelines as may be established by the faculties of the respective schools, establish procedures enabling an elected standing committee or a committee of the whole to submit its recommendations for appointments. Recommendations for actions other than	<b>B. Faculty Participation in Action Concerning Faculty Membership</b> 1. The regular faculty of each school shall establish procedures enabling an elected standing committee or committee of the whole to submit its recommendations on the allocation of regular, tenure-accruing appointments within that school. 2. The regular faculty of the rank of assistant professor or higher of a department or of a nondepartmentalized school shall, subject to such limitations or guidelines as may be established by the faculties of the respective schools, establish procedures enabling an elected standing committee or a committee of the whole to submit its recommendations for appointments. Recommendations for actions other than appointments concerning instructors, assistant professors, or associate professors shall be determined by the tenured members of the faculty of higher rank, or of equal and higher rank, as the tenured faculty may have determined by	<b>B. Faculty Participation in Action Concerning Faculty Membership</b> 1. The regular faculty of each school shall establish procedures enabling an elected standing committee or committee of the whole to submit its recommendations on the allocation of regular, tenure-track appointments within that school. 2. The regular faculty of the rank of assistant professor or higher of a department or of a nondepartmentalized school or comparable educational division shall, subject to such limitations or guidelines as may be established by the faculties of the respective schools, establish procedures enabling an elected standing committee or a committee of the whole to submit its recommendations for appointments. Recommendations for actions other than appointments concerning instructors, assistant professors, or associate professors shall be determined by the tenured members of the faculty of	<ul style="list-style-type: none"> <li>• Board’s process follows closely to that of the current Faculty Code.</li> <li>• Referenced to the School-Wide Personnel Committee advising the dean have been removed since SWPC is no longer advisory to the dean.</li> <li>• <b>EC Considered Board change reasonable.</b></li> </ul>

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<p>appointments concerning instructors, assistant professors, or associate professors shall be determined by the tenured members of the faculty of higher rank or of equal and higher rank, as the faculty may have determined by previously established procedures. Recommendations for actions other than appointments concerning professors shall be determined by tenured members of the rank of professor. In the College of Professional Studies, the Dean’s Council shall take the place of the elected standing committee or committee of the whole described in this paragraph 2.</p> <p>3. Appointments and actions affecting renewal of appointments, promotion, tenure designation, and termination of service shall normally follow faculty recommendations. Departures from this standard shall be limited to those cases involving compelling reasons. The appropriate administrative officer shall notify the Executive Committee of the Faculty Senate of any departures from faculty recommendations and the compelling reasons therefor. The faculty or the appropriate unit thereof shall also be notified unless the Board of Trustees determines that such notification would be contrary to the best interest of the individual or individuals concerned.</p> <p>4. Faculty recommendations concurred in by the appropriate administrative officers shall be transmitted by them to the President, who shall transmit them to the Board of Trustees. Variant or non-concurring recommendations from an administrative officer, together with supporting reasons, shall be sent by that officer to the Executive Committee of the Faculty Senate through the appropriate superior administrative</p>	<p>previously established procedures. Recommendations for actions other than appointments concerning professors shall be determined by tenured members of the rank of professor. In the College of Professional Studies, the Dean’s Council shall take the place of the elected standing committee or committee of the whole described in this paragraph B.2.</p> <p>3. The regular faculty of each school shall establish and publish written criteria upon which promotion, tenure, and appointments with tenure shall be based, in accordance with Sections B and C of Part IV of the Faculty Code. The regular faculty of each department in each departmentalized school shall establish and publish additional written criteria, also in accordance with Sections B and C of Part IV.</p> <p>4. The regular faculty of each school shall establish a school-wide personnel committee, as provided in Section D of Part IV of the Faculty Code, <b>to advise the dean with respect to recommendations for tenure, promotion, and appointments with tenure.</b> The tenured faculty of each school shall nominate and elect their school’s representative on the University-Wide Nonconcurrency Committee, in accordance with Section E of Part IV of the Faculty Code.</p> <p>5. Appointments and actions by deans and by the Provost affecting renewal of appointments, promotion, tenure designation, and termination of service shall normally follow faculty recommendations. <b>Administrative nonconcurrences with faculty recommendations, at any level, shall be based on one or more of the compelling reasons defined in Section F.1 of Part IV of the Faculty Code.</b></p> <p>6. Faculty recommendations concurred in or nonconcurrent in by the appropriate deans shall be transmitted by them to the Provost. If the Provost concurs with a faculty recommendation for tenure,</p>	<p>higher rank or of equal and higher rank, as the faculty may have determined by previously established procedures. Recommendations for actions other than appointments concerning professors shall be determined by tenured members of the rank of professor. In the College of Professional Studies, the Dean’s Council shall take the place of the elected standing committee or committee of the whole described in this paragraph B.2.</p> <p>3. The regular faculty of each school shall establish and publish written criteria upon which promotion, tenure, and appointments with tenure shall be based, as provided in Sections B and C of Part IV of the Faculty Code. The regular faculty of each department in each departmentalized school may establish and publish additional written criteria, also as provided in Sections B and C.</p> <p>4. The regular faculty of each school shall establish a school-wide personnel committee, as provided in Section D of Part IV of the Faculty Code, <b>to consider recommendations for tenure, promotion, and appointments with tenure.</b></p> <p>5. Appointments and actions by deans and by the Provost affecting renewal of appointments, promotion, tenure designation, and termination of service shall normally follow faculty recommendations. <b>Departures from this standard, at any level, shall be limited to the reasons identified in Sections C.1 and E of Part IV of the Faculty Code.</b></p> <p>6. The dean and Provost shall promptly notify the relevant department and school- wide personnel committee of any concurrence or non-concurrence with their recommendations. In addition, the Provost shall promptly notify the candidate and the President in the event of a non-concurring-decision against tenure or promotion by the Provost, and provide to</p>	

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<p>officers. The Executive Committee may seek information and advice and make recommendations to the faculty or the appropriate unit thereof and to the appropriate administrative officers. If concurrence cannot be obtained after opportunity for reconsideration in the light of the recommendations of the Executive Committee, the recommendations of the appropriate administrative officers, accompanied by the recommendation of the faculty and the report of the Executive Committee, shall be transmitted to the Board of Trustees through the President, except that, at its discretion, the originating faculty unit may instead elect to leave the decision to the President.</p>	<p>promotion, or appointment with tenure (whether or not the dean has concurred), the Provost and the President shall approve the application unless the President determines that the application should be denied based on one or more of the extraordinary circumstances defined in Section F.2 of Article IV of the Faculty Code. In that event, the President shall provide a written explanation of such extraordinary circumstance(s) to the appropriate dean, the appropriate department chair and the candidate.</p> <p>7. If the Provost nonconcurs with a faculty recommendation for tenure, promotion, appointment with tenure, or if the Provost upholds a nonconcurrence by a dean with a faculty recommendation, the Provost shall make a written determination that identifies one or more of the compelling reasons defined in Section F.1 of Part IV of the Faculty Code. The Provost shall refer each administrative nonconcurrence to the University-Wide Nonconcurrence Committee for its determination in accordance with Section E of Part IV of the Faculty Code. The dean and the Provost shall promptly notify the appropriate department chair and school-wide personnel committee of each administrative concurrence or nonconcurrence with a faculty recommendation. In addition, the Provost shall promptly notify the candidate and the President in the event of an administrative nonconcurrence with a faculty recommendation, and the Provost shall provide sufficient information to the candidate to reasonably inform the candidate as to the reasons for the administrative nonconcurrence.</p> <p>8. If the University-Wide Nonconcurrence Committee determines that an administrative nonconcurrence with a faculty recommendation for tenure, promotion, or appointment with tenure is not supported by any</p>	<p>the candidate a written summary of the reasons for the non-concurrence.</p> <p>7. <b>The Provost's decision in such matters shall be final, subject to the remainder of this paragraph and paragraph B.8.</b> Variant or nonconcurring recommendations from a School-Wide Personnel Committee or administrative officer, together with supporting reasons identified in Sections C.1 and E of Part IV of the Faculty Code, shall be sent to the Executive Committee of the Faculty Senate. The Executive Committee may seek information and advice and make recommendations to the department or the appropriate unit thereof, to the School-Wide Personnel Committee, and to the appropriate administrative officers. If concurrence cannot be obtained after opportunity for reconsideration in light of the recommendations of the Executive Committee, the recommendations of the School-Wide Personnel Committee and appropriate administrative officers, accompanied by the recommendation of the department, and the report of the Executive Committee shall be transmitted to the President who will make a final decision, subject to paragraph B.8.</p> <p>8. A decision by the Provost or the President to approve tenure shall be transmitted to the Board of Trustees, which has the authority to confer tenure.</p>	



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July 15, 2015

<p align="center"><b>Current Language of <i>Faculty Code and Faculty Organization Plan</i></b></p>	<p align="center"><b>Faculty Senate Resolution 16/3 “A Resolution on Recommended Changes to the Faculty Code with Respect to Tenure and Promotion Standards and Procedures” (Approved by Faculty Senate on May 8, 2015)</b></p>	<p align="center"><b>Board of Trustees Resolution (Approved by Board of Trustees on June 18, 2015)</b></p>	<p align="center"><b>COMMENTS Of Executive Committee Faculty Senate</b></p>
	<p>compelling reason, the Provost and the President shall approve the application unless the President determines that the application should be denied based on one or more of the extraordinary circumstances defined in Paragraph F.2 of Article IV of the Faculty Code. In that event, the President shall provide a written explanation of such extraordinary circumstance(s) to the Committee, the appropriate dean, the appropriate department chair, and the candidate. The Committee’s review process established by Section E of the Article IV of the Faculty Code shall not constitute or replace the grievance procedure established by Section X.B of the Faculty Code.</p> <p>9. In any tenure or promotion case in which an administrative nonconcurrence is upheld by the University-Wide Nonconcurrence Committee, the candidate may request a review of the case by the President. In such cases, the President’s decision shall be final, subject to Paragraph B.10 below. The President’s review process established by this Paragraph B.9 shall not constitute or replace the grievance process established by Article X.B of the Faculty Code.</p> <p>10. A decision by the Provost and the President, or by the President pursuant to Paragraph B.9 above, to approve tenure shall be transmitted to the Board of Trustees, which shall ordinarily confer tenure.</p>		

**COMPARISON OF BOARD OF TRUSTEES RESOLUTIONS TO CHANGE THE GW FACULTY CODE AND FACULTY ORGANIZATION PLAN WITH THE CURRENT DOCUMENTS AND WITH FACULTY SENATE RESOLUTIONS 16/1, 16/2, 16/3 (Passed May 8, 2015) and Resolution 16/4 (Tabled )**

July 15, 2015

# Participation

Current Language of <i>Faculty Code and Faculty Organization Plan</i>	Faculty Senate Resolution 16/4 “A Resolution to Recommend Changes to the Faculty Organization Plan Regarding Faculty Participation in the Faculty Senate” [TABLED AT May 8, 2015 Faculty Senate Meeting]	Board of Trustees Resolution [Board of Trustees resolved on June 18, 2015 to direct President Knapp to introduce a resolution at the GW Faculty Assembly, slated to take place October 2015, that amends the Faculty Organization Plan as follows.]	COMMENTS\ Of the Executive Committee
<b><i>Faculty Organization Plan</i></b>			
<p><b><u>Membership in Faculty Senate (FOP; Article III.2.(a)(3)</u></b></p> <p>The faculty members shall be professors, associate professors, or assistant professors in full-time service who have tenure as of the academic year next succeeding the date of election. Vice presidents, assistant vice presidents, deans, associate deans, assistant deans, and other faculty members whose duties are primarily administrative in nature shall be ineligible for election as faculty members of the Senate.</p> <p align="center">“...</p>	<p><b><u>1. Membership in Faculty Senate (FOP; Article III.2.(a)(3)</u></b></p> <p>The faculty members of the Faculty Senate shall have completed at least three years of full-time academic service at the University and shall be either (1) tenured faculty members or (2) regular, full-time faculty members without tenure who have attained the rank of associate professor or higher. Vice presidents, associate vice presidents, assistant vice presidents, vice provosts, associate vice provosts, deans, associate deans and assistant deans shall be ineligible for election as faculty members of the Senate. At least half of the faculty members of the Senate from each school shall be tenured faculty members.</p>	<p><b><u>Membership in Faculty Senate (FOP; Article III.2.(a)(3)</u></b></p> <p>The members of the Faculty Senate shall be either (1) tenured faculty members or (2) full-time faculty members (regular or specialized) who have attained the rank of associate professor or higher. Vice presidents, associate vice presidents, assistant vice presidents, vice provosts, associate vice provosts, deans, associate deans and assistant deans shall be ineligible for election as members of the Senate.</p>	<p>The Executive Committee in collaboration with the PEAFF and ASPP Committees will be considering the issue of participation in great detail. PEAFF proposed extending participation to Regular, non-tenure accruing, full-time faculty, while the Board proposes extending it to both Regular and Specialized Faculty. A resolution will be prepared for consideration of the Faculty Senate at the September 11. Since the Board did not approve the 25% cap on Specialized Faculty proposed by the Senate, and in view of concerns regarding the possible loss of rights of Specialized Faculty under the National Labor Relations Act, the benefit of extending participation in the Faculty Senate to Specialized Faculty will be considered, as will extending participation to Regular non-tenure-accruing, full-time faculty.</p>
<p><b><u>Election of Faculty Members (FOP; Article III.3(3)</u></b></p> <p>Only members of the faculty in full-time service shall be eligible to vote.</p>	<p><b><u>Election of Faculty Members (FOP; Article III.3(3)</u></b></p> <p>All members of the faculty in full-time service shall be eligible to vote with the exception of visiting faculty.</p>	<p><b><u>Election of Faculty Members (FOP; Article III.3(3)</u></b></p> <p>All members of the faculty in full-time service shall be eligible to vote with the exception of visiting faculty.</p>	<p align="center">No Change</p>

# Board of Trustees Resolutions

1. Cover Letter
2. Resolutions

June 26, 2015

To the Members of the Executive Committee of the Faculty Senate:

On behalf of the Board of Trustees, I am pleased to transmit three resolutions that are the result of a collaborative two-year process among the faculty, administration, and trustees to strengthen faculty governance here at GW.

These three resolutions were thoroughly reviewed and discussed by trustees, and unanimously approved by both the Committee on Academic Affairs and the Board of Trustees during the Board's retreat on June 18. The first resolution directs the president to introduce a resolution before the Faculty Assembly to amend language within the Faculty Organization Plan concerning participation in the Faculty Senate. The second resolution reflects the recommendation of the Subcommittee on Faculty Governance, with extensive input from the Faculty Senate Executive Committee, and, through its resolutions, the Faculty Senate, that now sets overall standards for the procedures for selection and review of deans, codifies existing standards of excellence for tenure used by departments and schools, enhances the role of school-wide personnel committees in the review of tenure cases, streamlines faculty grades of academic personnel and identifies a common set of rules that each school should maintain within its own rules and procedures.

The third resolution charges the chair of the Faculty Governance Subcommittee to further study and obtain further input from the faculty and administration on certain provisions within the Faculty Code, specifically ratios for regular faculty within schools and departments, and the creation of a University-Wide Personnel Committee within the tenure and promotion process. You will find these resolutions attached to this letter.

Thank you for your participation in this long discussion on faculty governance at GW. Your insight into the institution has been invaluable since I first came before the Faculty Senate in the fall of 2013. Madeleine Jacobs, chair of the Subcommittee on Faculty Governance and Committee on Academic Affairs, and I look forward to continuing the discussion this fall.

Sincerely,

Nelson Carbonell  
Chair, GW Board of Trustees

## **RESOLUTION**

### **TO ARRANGE FOR FACULTY ASSEMBLY CONSIDERATION OF A PROPOSED AMENDMENT TO THE FACULTY ORGANIZATION PLAN**

Whereas, The Board of Trustees of the George Washington University regularly reviews its own governing documents and practices to ensure that it engages in best governance practices;

Whereas, The GW Bylaws charge the Board of Trustees with establishing the Faculty Code and approving any amendments thereto;

Whereas, In June 2014, following a year-long review of faculty governance, the Board of Trustees charged the chair of the Committee on Academic Affairs with forming four working groups, each chaired by a member of the Board of Trustees, to include trustees, faculty, and academic administrators, to engage with the faculty and the administration in a further review of faculty governance to be completed during the 2014-2015 academic year;

Whereas, The working group on participation was charged with the following:

- A. Identify who should be considered full-time faculty
- B. Determine eligibility to participate in governance
- C. Examine the voting rights of full-time faculty at peer-institutions
- D. Recommend appropriate changes to expand governance rights

Whereas, The working group, composed of one trustee, one recent trustee, and six faculty members assessed current eligibility requirements for full-time faculty members to both elect and represent their schools in the Faculty Senate;

Whereas, Article III.2(a)(3) of the Faculty Organization Plan, entitled "Membership," currently provides:

3. The faculty members of the Senate shall be elected by and from their faculties as follows: the Columbian College of Arts and Sciences, 11 seats; the Graduate School of Education and Human development, 3 seats; the School of Engineering and Applied Science, 4 seats; the School of Business, 5 seats; the School of Medicine and Health Sciences, 5 seats; the Law School, 4 seats; the Elliott School of International Affairs, 3 seats; the School of Public Health and Health Services, 3 seats; and the School of Nursing, 2 seats. The faculty members shall be professors, associate professors, or assistant professors in full-time service who

have tenure as of the academic year next succeeding the date of the election. Vice presidents, assistant vice presidents, deans, associate deans, assistant deans, and other faculty members whose duties are primarily administrative in nature shall be ineligible for election as faculty members of the Senate.

Whereas, Article III.3(3) of the Faculty Organization Plan, entitled "Election of Faculty Members," currently provides:

3. Only members of the faculty in full-time service shall be eligible to vote.

Whereas, The enfranchisement of full-time non-tenured faculty to elect, and serve as representatives of their schools in the Faculty Senate is central to executing several pillars of *Vision 2021: A Strategic Plan for the Third Century of the George Washington University*, including cross-disciplinary collaboration, governance and policy, and citizenship and leadership.

Whereas, The Board of Trustees recognizes the enfranchisement of non-tenured faculty will strengthen and increase the value of shared governance; now therefore be it

*Resolved*, That the GW Board of Trustees directs the president of the university to introduce a resolution at the GW Faculty Assembly, slated to take place October 2015, that amends Sections 2(a)(3) and 3(3) of Article III of the Faculty Organization Plan entitled, "Membership" and "Election of Faculty Members", to read as follows:

"3. The faculty members of the Senate shall be elected by and from their faculties as follows: the Columbian College of Arts and Sciences, 11 seats; the Graduate School of Education and Human development, 3 seats; the School of Engineering and Applied Science, 4 seats; the School of Business, 5 seats; the School of Medicine and Health Sciences, 5 seats; the Law School, 4 seats; the Elliott School of International Affairs, 3 seats; the School of Public Health and Health Services, 3 seats; and the School of Nursing, 2 seats. The members of the Faculty Senate shall be either (1) tenured faculty members or (2) full-time faculty members (regular or specialized) who have attained the rank of associate professor or higher. Vice presidents, associate vice presidents, assistant vice presidents, vice provosts, associate vice provosts, deans, associate deans and assistant deans shall be ineligible for election as members of the Senate.

3. All members of the faculty in full-time service shall be eligible to vote with the exception of visiting faculty."

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Aristide J. Collins, Jr.  
Secretary of the University

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Date

## **RESOLUTION**

### TO PROVIDE FOR FURTHER STUDY AND FURTHER INPUT FROM THE FACULTY AND ADMINISTRATION ON CERTAIN PROVISIONS OF THE FACULTY CODE

Whereas, The Board of Trustees of the George Washington University regularly reviews its own governing documents and practices to ensure that it engages in best governance practices;

Whereas, The GW Bylaws charge the Board of Trustees with establishing the Faculty Code and approving any amendments thereto;

Whereas, In June 2014, following a year-long review of faculty governance, the Board of Trustees charged the chair of the Committee on Academic Affairs with forming four working groups, each chaired by a member of the Board of Trustees, to include trustees, faculty, and academic administrators, to engage with the faculty and the administration in a further review of faculty governance to be completed during the 2014-2015 academic year;

Whereas, In the fall of 2014, four working groups assembled to complete their charge of further reviewing faculty governance in the areas of participation; appointment, promotion and tenure; deans search and review; and school rules and procedures;

Whereas, The working groups were composed of 43 members of whom 27 were faculty, 8 academic administrators, 7 trustees, and one recent trustee, and met collectively 38 times over 6 months for more than 90 hours throughout the 2014-2015 academic year;

Whereas, The Subcommittee on Faculty Governance received input from the Faculty Senate and its committees, and the GW administration and transmitted their revised recommendations to the Subcommittee on Faculty Governance, Faculty Senate Executive Committee, and Administration in March 2015.

Whereas, Members of the Subcommittee on Faculty Governance conducted five town hall meetings—one each on the Mount Vernon and Virginia Science and Technology Campuses, and three on the Foggy Bottom Campus—which were attended by more than 120 faculty members;

Whereas, In April 2015, a questionnaire detailing areas to amend the Faculty Code and Faculty Organization Plan was sent to all full-time faculty, yielding more than 600 responses;



Whereas, In May 2015, the Subcommittee considered four resolutions transmitted by the Faculty Senate concerning the draft recommendations on faculty governance as well as input from the administration;

Whereas, The Subcommittee on Faculty Governance recommends the adoption of changes in the areas of participation; appointment, promotion, and tenure; deans search and review; and school rules and procedures;

Whereas, The Subcommittee on Faculty Governance believes further study and further input from the faculty and the administration on select areas within the Faculty Code is needed prior to their amendment; now therefore be it

*Resolved*, That the GW Board of Trustees charges the chair of Subcommittee on Faculty Governance to further study and seek additional input from the faculty and the administration in the following areas:

- A. 75:25 ratio of tenured or tenure-track appointments to non-tenure track appointments within a school's regular faculty
- B. Rule for a department to have no less than 50 percent of its regular faculty holding tenured or tenure-track appointments
- C. Creation of a University-Wide Personnel Committee

Resolved, That the further study shall be completed prior to October 15, 2015;

Resolved, That, at the conclusion of its deliberations, the Subcommittee on Faculty Governance shall recommend to the Board's Committee on Academic Affairs any appropriate changes to the Faculty Code.

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Aristide J. Collins, Jr.  
Secretary of the University

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Date

**RESOLUTION**  
TO AMEND THE FACUTLY CODE

Whereas, The Board of Trustees of the George Washington University regularly reviews its own governing documents and practices to ensure that it engages in best governance practices;

Whereas, The GW Bylaws charge the Board of Trustees with establishing the Faculty Code and approving any amendments thereto;

Whereas, In June 2014, following a year-long review of faculty governance, the Board of Trustees charged the Chair of the Committee on Academic Affairs with forming four working groups, each chaired by a member of the Board of Trustees, to include trustees, faculty, and academic administrators, to engage with the faculty and the administration in a further review of faculty governance to be completed during the 2014-2015 academic year;

Whereas, In the fall of 2014, four working groups assembled to complete their charge of further reviewing faculty governance in the areas of participation; appointment, promotion and tenure; deans search and review; and school rules and procedures;

Whereas, The working groups were composed of 43 members of whom 27 were faculty, 8 academic administrators, 7 trustees, and one recent trustee, and met collectively 38 times over 6 months for more than 90 hours throughout the 2014-2015 academic year;

Whereas, The Subcommittee on Faculty Governance sought input from the Faculty Senate and its committees, and the GW administration in January 2015, incorporating constructive changes to proposed recommendations and transmitted their revised recommendations to the Subcommittee on Faculty Governance, Faculty Senate Executive Committee, and Administration in March 2015.

Whereas, Members of the Subcommittee on Faculty Governance conducted five town hall meetings—one each on the Mount Vernon and Virginia Science and Technology Campuses, and three on the Foggy Bottom Campus—which were attended by more than 120 faculty members;

Whereas, In April 2015, a questionnaire detailing areas to amend the Faculty Code and Faculty Organization Plan was sent to all full-time faculty, yielding more than 600 responses;

Whereas, In May 2015, the Subcommittee considered four resolutions transmitted by the Faculty Senate concerning the draft recommendations on faculty governance as well as input from the administration;

Whereas, The Board of Trustees recognizes the value of shared governance and of a strong and constructive relationship between the faculty and the administration; now therefore be it

*Resolved*, That the GW Board of Trustees approves amending the following relevant areas of the Faculty Code as set out in Appendix A hereto.

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Aristide J. Collins, Jr.  
Secretary of the University

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Date

## **Appendix A**

### **Deans Search and Review**

*Faculty Code, Procedures of the Implementation of the Faculty Code, Section C.2(b)*

#### **b. Deans**

##### **i. Selection**

1. Search Committee Composition. When a vacancy in a school's deanship arises, the full-time faculty of the school shall establish a search committee. The full-time faculty of the school has discretion to determine the composition of the search committee, subject to these requirements:
  - i. The search committee shall include (a) at least five and at most ten full-time faculty members elected by the full-time faculty of the school, (b) the Provost or a representative designated by the Provost, (c) one or two current students, and (d) one or two alumni. The search committee may include other members, in accordance with procedures approved by a school's full-time faculty. The elected members of the search committee shall select one of their group (who must hold a tenured appointment with the rank of professor) as the chair of the search committee.
  - ii. The Chair of the Board of Trustees shall appoint trustees to serve as members of the search committee, the number of which shall ordinarily be one or two.
  - iii. The elected faculty members and appointed trustees shall be voting members. In accordance with procedures approved by a school's full-time faculty, voting rights may be extended to other members, but, except for the School of Medicine and Health Sciences and the School of Nursing, the composition of the search committee must ensure that faculty members with tenured appointments constitute at least a majority of the voting members of the search committee.
  - iv. Each search committee shall establish criteria for the dean search, including a position description, and those criteria shall be approved by the school's full-time faculty and the Provost.
2. Search Committee Recommendations. The search committee shall recommend candidates for the deanship in a non-prioritized list to the President and Provost. The President and Provost may specify how many candidates the search committee will recommend, which shall ordinarily be three. When required by a school's accreditation standards, the search committee shall obtain the approval of the relevant faculty in the school as identified in the accreditation standards before recommending any candidate.

- ii. **Continuance.** The Provost shall meet with each dean annually to discuss the dean's past performance and future goals. The Provost shall also periodically initiate a comprehensive review of each dean that systematically solicits input from the school's constituents, including but not limited to faculty, senior staff of the school, alumni, and students. A comprehensive review shall include the following steps:
    - 1. The Provost shall discuss with each Dean, at the time of the Dean's appointment or reappointment, the criteria by which the Provost will review the Dean.
    - 2. The comprehensive review shall occur at least every three years.
    - 3. The process for the comprehensive review, established by the Provost, shall generally be consistent across schools, subject to adjustment for the differing conditions of each school.
    - 4. The Provost shall provide to the school's full-time faculty a summary of the general conclusion of the review with respect to the established criteria. The details of the final evaluation shall be conveyed only to the Dean, Provost, President, and the Board of Trustees.
- c. **Associate Deans, Assistant Deans, and Similar Academic Administrative Officers.** The Dean shall appoint associate deans, assistant deans, and similar academic administrative officers in accordance with procedures approved by the school's full-time faculty and with the Provost's final approval.
- d. **College of Professional Studies.** In the case of a vacancy for the position of Dean, a special faculty committee shall be appointed jointly by the Provost and the deans of the schools whose programs are most directly affected by the College of Professional Studies when a search is required for the position.
- e. **No-Confidence.** It is important that such appointees retain the confidence of the faculty concerned. A formal proceeding to question the continued confidence of the faculty of a school in an academic administrative officer shall be instituted only after faculty members have made a reasonable effort to bring the substance of their concerns to the attention of such officers informally or through the Provost's decanal review processes. The formal proceeding shall be conducted as follows:
  - i. A petition signed by one-third of the school's regular full-time faculty shall be submitted to the Chair of the Executive Committee of the Faculty Senate.
  - ii. The Chair of the Executive Committee shall call a special meeting of the regular full-time faculty for consideration of the matter. The meeting shall be held within twenty days (on which classes are regularly held in the University) of the time the petition is submitted. Written notice of the meeting shall be given to all faculty members eligible to vote on the matter.
  - iii. The Chair of the Executive Committee shall preside over the meeting. At this meeting, procedures for balloting shall be determined.
  - iv. Within ten days (on which classes are regularly held in the University) of the first special meeting, a secret ballot of the school's regular full-time faculty shall be taken at a special meeting or by mail on the question of

confidence in the administrator in question. The balloting shall be supervised by the Executive Committee of the Faculty Senate.

- v. The affirmative vote of a majority of the school's regular full-time faculty members shall be necessary for the passage of a vote of no confidence. If the resolution passes, the Chair of the Executive Committee shall forward the results of the vote to the Provost and the Provost shall take prompt action to address the problems identified by the faculty's vote of no-confidence.

### **School Rules and Procedures**

#### *Faculty Code, Section I*

The grades of academic personnel are:

- A. **Retired Status:** University professor emeritus, professor emeritus, professor emeritus in residence, associate professor emeritus, associate professor emeritus in residence, and retired (in any given rank).
- B. **Regular Faculty:** Regular Faculty are full-time faculty members with the title of University professor, professor, associate professor, assistant professor, and instructor who are tenured or tenure-track, and non-tenure-track full-time faculty members who are on a renewable contract, do not hold either a regular or tenured appointment at another university, have a nine or twelve month appointment and who have contractual responsibilities for all of the following: research, teaching, and service. However, the proportion of regular faculty serving in non-tenure track appointments shall not exceed 25 percent in any school, nor shall any department have fewer than 50 percent of its regular faculty appointments either tenured or tenure-accruing. The foregoing shall not apply to the School of Medicine and Health Sciences, the School of Nursing, the Milken Institute School of Public Health, and the College of Professional Studies.
- C. **Specialized Faculty:** Specialized Faculty are faculty members with the title of professor, associate professor, assistant professor, and instructor who are on a renewable contract, do not hold either a regular or tenured appointment at another university, have a nine or twelve month appointment and who have contractual responsibilities for one or two of the following areas: research, teaching, and service. Specialized Faculty include but are not limited to faculty members holding clinical, research, and teaching faculty positions, which may be reflected in their titles.

- D. **Visiting Faculty:** Visiting Faculty are faculty members with the title of visiting professor, visiting associate professor, visiting assistant professor, and visiting instructor. Visiting Faculty hold limited term appointments approved by the Provost and, due to the temporary nature of their appointments, do not have governance rights described by the Faculty Code unless such rights are expressly stated.
- E. **Part Time Faculty:** Part Time Faculty are faculty members with a title of adjunct professor, adjunct associate professor, adjunct assistant professor, adjunct instructor, clinical professor, professorial lecturer, associate clinical professor, assistant clinical professor, assistant professorial lecturer, clinical instructor, lecturer, studio instructor and special instructor, who are on a fixed semester or 9-month appointment (that may or may not be subject to reappointment), including but not limited to Part Time Faculty subject to a Collective Bargaining Agreement. This Faculty Code does not apply to Part Time Faculty covered under the terms of a Collective Bargaining Agreement unless the Collective Bargaining Agreement expressly provides.
- F. **Secondary and Courtesy Appointments:** A faculty member holding a regular faculty appointment in one department or school may be granted a secondary or courtesy appointment in another department or school for a specified term. A secondary or courtesy appointment shall require the recommendation of the appropriate faculty and officers of administration of the unit granting that appointment and shall comply with rules and procedures for such appointments established by the unit granting that appointment and by the Provost. A secondary or courtesy appointment is not a regular faculty appointment and does not automatically confer any of the rights provided by the Faculty Code and the Faculty Organization Plan to participate in faculty governance in the unit granting that appointment. Unlike a courtesy appointment, a secondary appointment shall allow a faculty member to exercise one or more specified governance privileges in the faculty unit granting the appointment, but such privileges shall be approved by that unit's regular faculty. A secondary or courtesy appointment terminates automatically upon the expiration of its specified term or upon termination of the faculty member's regular appointment. This paragraph does not affect the terms, conditions, and designations of secondary and courtesy appointments in existence as of May 1, 2008.

*Faculty Code, Procedures for the Implementation of the Faculty Code, Section A*

**A. Governance of Departments and Schools\***

The regular full-time faculty of each department, school, or comparable educational division shall establish written procedures, rules and criteria for the governance of that unit. All school, department, or comparable educational division's procedures shall be consistent with the Faculty Code and the Faculty Organization Plan.

All school procedures, rules and criteria, shall at a minimum provide:

1. The administrative and academic divisions of the school
2. Steps for enacting procedures, rules, and criteria of the school, such as the appointment of school administrators with faculty appointments
3. Elections (or appointments) to, and responsibilities of, standing committees and faculty advisory councils (as appropriate)
4. Policies and procedures for maintaining academic standards such as:
  - a. Determining standards for graduation
  - b. Reviewing curricula, including new academic programs
  - c. Resolving student allegations of arbitrary or capricious academic evaluation
5. Policies and procedures for reviewing and approving procedures, rules, and criteria of departments, or comparable educational divisions
6. Policies and procedures for appointment, periodic performance review, promotion, and/or tenure of faculty (as appropriate based on their position)

All school procedures, rules, and criteria shall be approved by the Provost in consultation with the Faculty Senate Executive Committee.

\*In the governance of the School of Medicine and Health Sciences, all faculty of that School who are eligible for membership in the Faculty Assembly shall be eligible to participate whenever the term "regular faculty" appears in this document.



## **Appointment, Promotion, and Tenure**

### *Faculty Code, Section IV.B*

#### **B. Promotion**

1. Promotion to the ranks of associate professor and professor is granted by the university to faculty members who have achieved excellence in their disciplines through their contributions to research, scholarship, or creative work in the arts (hereinafter *scholarship*), teaching, and engagement in service, and who demonstrate the potential to continue to do so, so that the university may advance its mission of scholarship, higher education, and service to the community. The university seeks to apply the highest standards of academic rigor in evaluating faculty members for promotion. Promotion to professor is reserved for those who have established a record since promotion to associate professor that demonstrates a sustained, high level of distinction in their field through scholarly contributions, excellence in teaching, and active engagement in service. In addition, it is expected that the candidate's record of scholarship, teaching, and service provides confidence that he or she will continue to contribute in all these areas at a level of excellence in a pattern of sustained development and substantial growth in achievement and productivity. Time served in rank is not a sufficient basis for promotion.
2. Each school shall establish and publish written criteria, consistent with paragraph B.1, on which promotion to the ranks of associate professor and professor will be based, including any appropriate distinctions between the criteria for tenure-track and tenured faculty and those for non-tenure track faculty members due to the different nature of their appointments. Departments may establish and publish additional written criteria, to the extent consistent with Paragraph B.1 and with the written criteria established and published by the relevant school, which shall also be published. Each school and department shall also establish and publish the procedures used for making promotion decisions. The procedures should provide for informing faculty members periodically, or at their request, whether they are making satisfactory progress toward promotion. Such information shall not be construed as a promise to recommend promotion. Each non-tenure track or tenured faculty member has the prerogative to determine whether and when to request consideration for promotion. Recommendations for promotion originate from the faculty – for departmentalized schools, from the faculty of the relevant department, after application by the candidate. Faculty recommendations must be based on substantial evidence of excellence based on the written criteria stated in Paragraph B.1 and the additional criteria established and published by the relevant school and department. It is incumbent on the department to demonstrate at all stages of the process that the candidate has met

- the published written criteria for excellence for the position when issuing a faculty recommendation.
3. As general practice, a promotion shall be accompanied by an appropriate increase in salary.

### **C. Tenure**

1. Recognizing the significance of the university's commitment when it grants tenure, including to the university's standing as a preeminent research university, tenure is reserved for members of the faculty who demonstrate excellence in scholarship, teaching, and engagement in service and who show promise of continued excellence. Excellence in teaching and engagement in service are prerequisites for tenure, but they are not in themselves sufficient grounds for tenure. Tenure is reserved for faculty members whose scholarly accomplishments are distinguished in their fields, and a candidate's record must compare favorably with that of candidates in similar stages in their careers at peer research universities in the candidate's field. Upon a specific showing that the academic needs of the University have changed with respect to a particular position, that factor may be considered in determining whether tenure shall be granted. The granting of tenure is generally accompanied by promotion to associate professor.
2. Each school shall establish and publish written criteria, consistent with Paragraph C.1, on which the recommendation for tenure will be based. Each department shall establish, and publish additional written criteria for tenure consistent with Paragraph C.1 and with the criteria established and published by the relevant school, which shall also be published. In addition, each school and each department shall establish and publish written procedures for making decisions concerning tenure and hiring tenured faculty. Recommendations for tenure originate from the faculty— for departmentalized schools, from the faculty of the relevant department. Faculty recommendations must be based on substantial evidence of excellence. It is incumbent on the department to demonstrate at all stages of the process that the candidate has met the published written criteria for excellence for the position when issuing a faculty recommendation.
3. So that faculty members may assess their potential for achieving tenure, each school and, where appropriate, each department, shall establish and publish written procedures to provide reviews to guide faculty members concerning progress toward tenure. Reviews do not constitute a commitment to recommend tenure. Such reviews may be satisfied by, but need not be limited to, evaluations of annual reports and mid-tenure track reviews, the results of which should be communicated to the faculty member.

#### **D. School-Wide Personnel Committees**

1. To implement the procedures required in Sections B and C above, each school shall establish a School-Wide Personnel Committee composed of tenured faculty, either as a standing committee elected by the tenured and tenure-track faculty of the school or as a committee of the whole composed of the school's tenured faculty, to consider recommendations for tenure, for promotion, or for appointments with tenure. In the College of Professional Studies, the Dean's Council shall act as the personnel committee.
2. In departmentalized schools, recommendations for tenure, for promotion, or for appointments with tenure originate with the departments, and the function of the School-Wide Personnel Committee is to review all such recommendations and issue its own independent concurrence or nonconcurrence with the faculty recommendation. In its findings, in order to ensure comparable quality and excellence across the school, the School-Wide Personnel Committee shall state whether the candidate has met the relevant published criteria (see Sections B.1 and B.2, and Sections C.1 and C.2) and identify any compelling reasons for non-concurrence as defined in Section E. The Committee may also advise whether the academic needs have changed for a particular position (see Section C.1.).
3. In schools without departments, the school-wide personnel committee initiates recommendations to the dean for matters that may include appointment, renewal, tenure, promotion, and termination of service.
4. The School-Wide Personnel Committee may request and gather additional information, documentation, or clarification regarding recommendations they are considering. Recommendations shall be determined by committee members holding equal or higher rank relative to the considered action. Schools shall develop rules for recusal involving potential conflicts of interest for committee members, such as membership in the same department as the candidate.

**E. Review Process.** Departments, School-Wide Personnel Committees, deans, and the Provost are each entrusted with ensuring that faculty recommendations concerning tenure, promotion, and appointments with tenure are consistent with the standards of excellence, including the promise of continued excellence, stated in this Faculty Code and with published criteria; are supported by substantial evidence; and preserve the schools' and the university's interest in building a distinguished faculty.

1. The following may constitute compelling reasons for a School-Wide Personnel Committee, a dean or the Provost to independently concur or nonconcur with a faculty recommendation(see Section D.3; see Procedures for the Implementation of the Faculty Code, Section B.5):

- i. Failure by the recommending faculty to meet the burden of substantial evidence or otherwise provide adequate reasons, including insufficient support by external reviewers, to demonstrate that that candidate meets, or fails to meet, the applicable standards of excellence;
  - ii. Failure to conform to published tenure or promotion policies, procedures, and guidelines; or
  - iii. Arbitrary, capricious, or discriminatory action at any point in the process.
2. Deans and the Provost are also entrusted with the fiscal health of the university and must consider significant financial or programmatic constraints.

**F. Nondiscrimination.** Appointments, renewals, terminations, promotions, tenure, compensation, and all other terms and conditions of employment shall be made consistent with the University Policy on Equal Opportunity.

*Faculty Code, Procedures for the Implementation of the Faculty Code, Section B.*

**B. Faculty Participation in Action Concerning Faculty Membership**

1. The regular faculty of each school shall establish procedures enabling an elected standing committee or committee of the whole to submit its recommendations on the allocation of regular, tenure-track appointments within that school.
2. The regular faculty of the rank of assistant professor or higher of a department or of a nondepartmentalized school or comparable educational division shall, subject to such limitations or guidelines as may be established by the faculties of the respective schools, establish procedures enabling an elected standing committee or a committee of the whole to submit its recommendations for appointments. Recommendations for actions other than appointments concerning instructors, assistant professors, or associate professors shall be determined by the tenured members of the faculty of higher rank or of equal and higher rank, as the faculty may have determined by previously established procedures. Recommendations for actions other than appointments concerning professors shall be determined by tenured members of the rank of professor. In the College of Professional Studies, the Dean's Council shall take the place of the elected standing committee or committee of the whole described in this paragraph B.2.
3. The regular faculty of each school shall establish and publish written criteria upon which promotion, tenure, and appointments with tenure shall be based, as provided in Sections B and C of Part IV of the Faculty Code. The regular faculty of each department in each departmentalized school may establish and publish additional written criteria, also as provided in Sections B and C.

4. The regular faculty of each school shall establish a school-wide personnel committee, as provided in Section D of Part IV of the Faculty Code, to consider recommendations for tenure, promotion, and appointments with tenure.
5. Appointments and actions by deans and by the Provost affecting renewal of appointments, promotion, tenure designation, and termination of service shall normally follow faculty recommendations. Departures from this standard, at any level, shall be limited to the reasons identified in Sections C.1 and E of Part IV of the Faculty Code.
6. The dean and Provost shall promptly notify the relevant department and school-wide personnel committee of any concurrence or non-concurrence with their recommendations. In addition, the Provost shall promptly notify the candidate and the President in the event of a non-concurring decision against tenure or promotion by the Provost, and provide to the candidate a written summary of the reasons for the non-concurrence.
7. The Provost's decision in such matters shall be final, subject to the remainder of this paragraph and paragraph B.8. Variant or nonconcurring recommendations from a School-Wide Personnel Committee or administrative officer, together with supporting reasons identified in Sections C.1 and E of Part IV of the Faculty Code, shall be sent to the Executive Committee of the Faculty Senate. The Executive Committee may seek information and advice and make recommendations to the department or the appropriate unit thereof, to the School-Wide Personnel Committee, and to the appropriate administrative officers. If concurrence cannot be obtained after opportunity for reconsideration in light of the recommendations of the Executive Committee, the recommendations of the School-Wide Personnel Committee and appropriate administrative officers, accompanied by the recommendation of the department, and the report of the Executive Committee shall be transmitted to the President who will make a final decision, subject to paragraph B.8.
8. A decision by the Provost or the President to approve tenure shall be transmitted to the Board of Trustees, which has the authority to confer tenure.

## Presentation on Faculty Governance

Faculty Senate, September 11, 2015

Charles A. Garris, Jr.

Good afternoon colleagues.

I would like to express my appreciation to Chair Carbonell, Dr. Madeleine Jacobs, and the many Trustees who have devoted enormous amounts of time, thought, and energy to the goals of elevating GW towards its aspirations as expressed in Vision 2021. They wisely recognized that the key to achieving these aspirations was to insure excellence in the Faculty, especially those to which we confer tenure. Also, they recognized that an excellent faculty without the support of an excellent administration will not get us there. And further, that we need to utilize the Faculty to the fullest in shared governance and allow productive participation in the process. And we need excellent and fair administrative processes to get there.

The Faculty of GW and the Faculty Senate has always shared these aspirations and has shown a strong willingness to dedicate much energy towards these key elements of University governance. However, no matter how well-meaning one may be, there are always unintended consequences. The Faculty, the Board, and the Administration do not always agree on how to reach our common goals.

I stand with Chair Carbonell in stating that there is new era of engagement at GW between the Board, the Administration, and the Faculty which is the essence of shared governance and that this new mode of collaborative engagement can lead to achieving our collective aspirations for the University. The activities of the past two years exemplifies this new mode of shared governance. The level of intellectual engagement on the subject of how to improve shared governance processes within the University is unprecedented, and while at times contentious, has truly been collaborative and I share with Chair Carbonell the belief that we have ushered in a new era of collaboration that has born fruit.

The changes in the Faculty Code and ongoing activities were described in detail in the July 15 mailing of the Executive Committee and which was attached to the agenda for this meeting. Further, members of the Executive Committee will present detailed explanations of actions to their respective faculties. So today, I will not walk you through the changes that have been made. Rather, my plan is to quickly review the history of how our shared governance process has evolved over the past two years. This will shed light on how it proceeds into the future.

## Faculty Governance Review

### History of the Process

Charles A. Garris, Jr.

Chair, Faculty Senate Executive Committee



## Board of Trustees Actions

- **May 17, 2013** Board of Trustees Resolution charge Chair Carbonell to form a committee of trustees, faculty, and administrators to review faculty governance and to consider appropriate revisions to the Faculty Code and related governance documents.
- **September 13, 2013** Chair Carbonell addresses Faculty Senate on need to insure compatibility of governance documents with Vision 2121.
- **October 2013** – Board of Trustees Task Force on Faculty Governance Established – Task Force Identifies Five areas for investigation: (1) academic freedom; (2) Promotion and Tenure Processes; (3) Dean Search and Review Processes; (4) School Rules and Procedures; (5) Participation in Faculty Senate
- **Fall 2013** – Board has series of Town Hall meetings, visits to school faculty meetings, conducts a survey.

## Primary Goals of the Board

- Codify high standards of excellence for promotion and tenure.
- Improve the process for the selection and review of deans.
- Streamline faculty grades of academic personnel.
- Identify a common set of rules that each school should follow.
- Broaden participation in the Faculty Senate to non-tenured faculty.

## Senate Concerns about Process

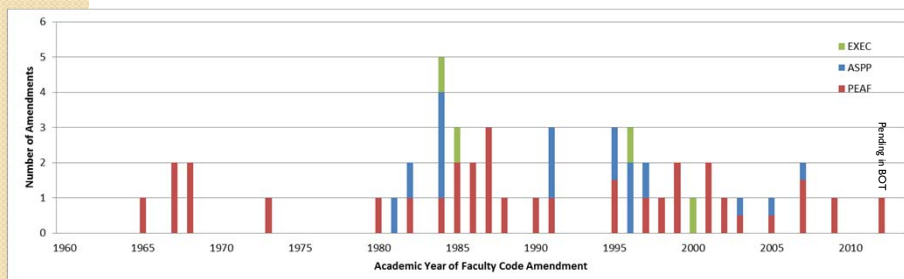
- **November 8, 2013 Faculty Senate Resolution 13/3:** “A Resolution on the Established Procedures for Approving any Changes to the Faculty Code or Faculty Policies that may be Recommended by the Board of Trustees Governance Task Force.” The resolution passed unanimously.

*“The Faculty Senate expects that any changes to the Faculty Code or Faculty Policies recommended by the Board of Trustees Governance Task Force will adhere to the University’s long-established and unbroken tradition and procedures of shared governance, which require the Faculty Senate, as the elected representative and authorized agent of the Faculty, to consider and act on changes to the Faculty Code or Faculty Policies that are proposed by the Administration, the Board of Trustees or other members of the University community before such changes are submitted to the Board of Trustees for final action.”*



## History of GW Faculty Code Amendments

**WHEREAS**, There is no precedent during the University's history since the adoption of the *Faculty Code* in which the *Faculty Code* has been modified without satisfying the above-described procedures of review, recommendation and approval by the Faculty Senate on behalf of the Faculty before such modification was approved by the Board of Trustees;



## Academic Freedom Resolution

- **Spring Semester 2014** PEAFF works collaboratively with Board on Amending Faculty Code on Academic Freedom
- **May 9, 2014** – Faculty Senate Resolution I4/2 :“A Resolution to Amend the Faculty Code with Respect to Academic Freedom”, Resolution adopted by Faculty Senate.

## Working Group Formation

- **June 2014** – Board of Trustees  
RESOLUTION TO PROVIDE A PROCESS TO FURTHER REVIEW GOVERNANCE AS REFLECTED IN THE FACULTY CODE  
(Establishes four working groups under Chair of Academic Affairs Committee on (1) Participation; (2) Appointment, Promotion, and Tenure; (3) Dean Searches and Review; (4) School Rules & Procedures.
- **Fall 2014** Working Groups Formed (Two trustees including Chair, administrators, and faculty including one rep from EC)

## Interaction between Working Groups and Faculty Senate

- **January 11, 2015** Working Groups produce draft recommendations for changes in Faculty Code and Faculty Organization Plan.
- **January 27, 2015** Executive Committee, in collaboration with PEAFF and ASPP provide response to Draft Recommendations.
- **March 9, 2015** Working Groups respond to Senate with Revised Recommendations.
- **March 2015** – Faculty Senate establishes on-line forum [gw.hoop.la](http://gw.hoop.la) to get faculty input.

## Board Actions

- **March 31 – April 9, 2015**  
Board of Trustees Town Hall Meetings, presentations by Dr. Madeleine Jacobs on Working Group recommendations.
- **April 7 – April 21, 2015** Board of Trustees Questionnaire on Faculty Governance

## Faculty Senate Actions

- **May 8, 2015**
  - Faculty Senate Debates Resolutions 16/1, 16/2, and 16/3 and passes all with strong majority.
  - Resolution 16/4 on Participation is tabled to September.

## Interaction between Working Groups and Faculty Senate

- June 10, 2015 Executive Committee has teleconference with the Academic Affairs Committee of the Board.
  - Working Group Recommendations vs. Faculty Senate Recommendations are discussed. Further discussions are exchanged the following week.
  - EC emphasizes it cannot speak for the Faculty and recommended deferring changes until Senate can vote, as per Senate resolution 13/3.
  - Board wanted to proceed with issues that are likely to be agreed to by the Faculty.
  - EC identified provisions that were deemed to be reasonable by the Faculty, and those that would not be.

## Board Actions

- June 18 & June 19, 2015 – Board Passes three resolutions:
  1. Resolution to amend *Faculty Code*; - Amendments to *Faculty Code* are generally consistent with Senate Resolutions, but defer certain recommendations of the Working groups that were considered problematic.
  2. Resolution for Further Study and Further Input from the Faculty; (75%/25% rule for schools; 50% rule for departments; University-Wide Personnel Committee.)
  3. Resolution for Faculty Assembly Consideration of Proposed Amendment to Faculty Organization Plan (on Participation in Faculty Senate). Resolution to Amend Faculty Code reflects strong Faculty Concerns but includes features strongly supported by Working Groups.

## Recent Senate Activities

- August 2015 PEAFF Revises Senate Resolution 16/4 on participation in view of Board actions & prepares draft resolutions on unresolved issues.
- September 11, 2015 Revised Senate Resolution 16/4 on Participation.
- September – We hope to collaborate with the Board on the three outstanding issues. We may have resolutions for Faculty consideration at October Senate meeting.

## Conclusions

- Goals of the Board of Trustees have been addressed with substantial improvements.
  - Excellence in Promotion & Tenure processes
  - Better dean search & review processes
  - More uniformity in school rules & regs.
- Shared governance remains strong.
  - We are in a new era of vigorous engagement between Faculty, Board, and Administration.
  - The Faculty Senate remains strong and influential in University affairs.

## Conclusions

- There is still some work to do. Some difficult issues remain.
  - 75%/25% ratio for T/TT to regular contract faculty in schools.
  - 50% rule for T/TT to regular contract faculty in departments
  - University-Wide Personnel Committee vs. Executive Committee
- It is likely that the bulk of the work will be completed this academic year.

Thank you.

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THE GEORGE  
WASHINGTON  
UNIVERSITY

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WASHINGTON, DC

# 2015 Benefits Briefings

University Human Resources  
September 11, 2015



# Financial Summary

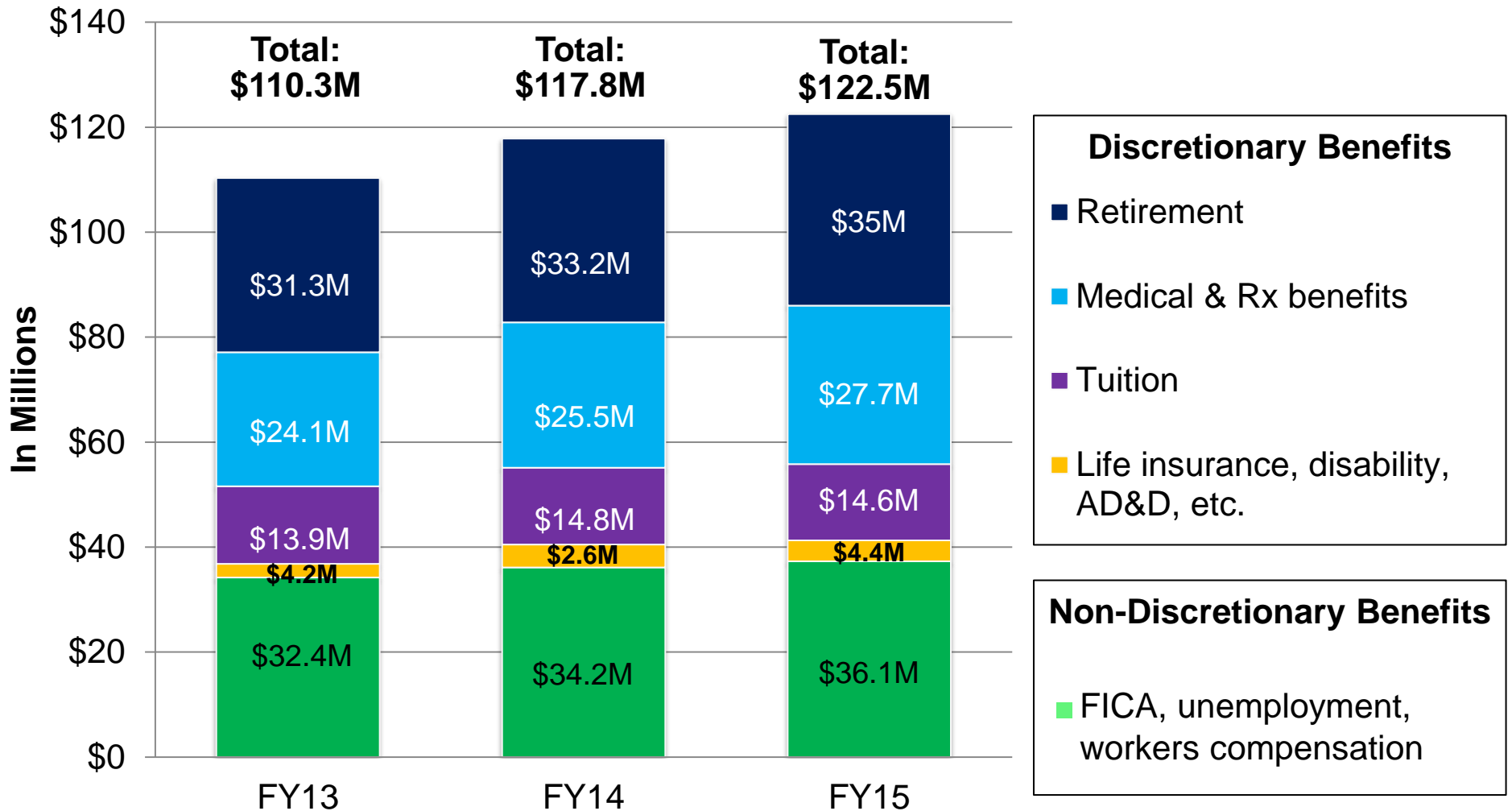
If GW maintains the status quo, total costs for medical and Rx costs are expected to increase 8.0% (\$3.4M) in 2016, premiums for all employees would go up 18.2%.

- Approximately \$2.42M of this gap will be closed through through increases to the fringe benefit account and plan management changes.
- Approximately \$887K will be funded through increases to employee premiums. GW employees making \$120K or less, which is approximately 80% of benefit eligible employees, will see a 3% increase in their employee premiums.



# Breakdown of Fringe Benefits Pool by Fiscal Year

## Net GW Contributions



Of total gross health care costs, prescription drugs account for approximately 24%

# Principles of Benefits Planning

## Annual Renewal Process

1. **Fair** in cost-sharing between the university and its faculty and staff, and among health plan participants.
2. **Affordable** for all faculty and staff.
3. **Competitive** to attract and retain the best possible faculty and staff.
4. **Transparent** so that we can all become more aware of how much health care actually costs and the cost differences between providers.
5. **Sustainable** for the long term and controls future costs.

# Selected Peer Group

- American University
- Boston University
- Duke University
- Emory University
- Georgetown University
- New York University
- Northeastern University
- Northwestern University
- Southern Methodist University
- Tufts University
- Tulane University
- University of Miami
- University of Pennsylvania
- University of Rochester
- University of Southern California
- Vanderbilt University
- Washington University - St Louis

# Mercer Benefits Benchmarking

In June 2015 GW requested a customized benchmarking report of its chosen peer group on retirement, medical, and tuition reimbursement benefits.

Overall, GW ranks **8 out of 18** in Total Benefits (health, retirement, tuition)

## HEALTH PLAN COMPARISON

- GW's Basic Health Plan ranks **8 out of 18\***
  - For the purposes of this study, unless reported as having the highest percentage of participation, the comparison is between PPO plans offered

## RETIREMENT PLAN COMPARISON

- GW's Retirement/Savings plan ranks **7 out of 18**

## TUITION REMISSION BENEFIT

- GW's Tuition Reimbursement plan ranks **10 out of 18**
  - For this particular comparison, only home campus benefits are considered within the values

\*It's important to recognize the absolute difference in value can sometimes be small. For example, GW is within \$500 in value to 7 peer schools and within \$1,000 in value to 11 peer schools on Health benefits

## Benefits Planning Consultation

- Identify trends and review utilization
- Identify options for consideration
- Engage Benefits Advisory Committee to develop recommendations
- Socialize recommendations
  - Senior Leadership (completed)
  - Benefits Task Force (completed)
  - ASPP (completed)
  - Senate Executive Committee (completed)
  - Faculty Senate
  - Town Halls
  - Benefits Fairs
  - Open Enrollment Begins

## July 28, 2015 BAC Response

- The BAC voted to express their endorsement of the proposed changes to GW's benefits plans in the following way:
- “While the BAC endorses the plan changes to keep employee premiums for most employees at 3%, the committee expresses concern with the current practice of limiting the university's contribution on benefits to the annual percentage increase on merit pay and feels that the amount is inadequate.”

# Key Areas of Impact from Health Care Reform

## Advantages of Health Care Reform

GW will adjust family, in-network out of pocket maximum from \$8,000 to \$6,850

## Other Areas of Impact

### Employer Mandate “Pay or Play”

Effective January 2016, GW is required to issue tax documents to all enrollees showing the plan value (Form 1095-C)

### Fees

Applicable ACA Fees for 2015 (combined for Transitional Reinsurance and PCORI Fees)

Expected cost: \$478.5K

### Excise Tax on “Cadillac” Plans

40% excise tax starting in 2018 on “high cost” employer-sponsored coverage.

# Health Savings Account Contribution

## 2016 Plan Enhancements

For employees enrolling in the high-deductible plan:

- GW will provide a matching contribution to the health savings account
- Employee only coverage: 1 for 1 match up to \$300
- Covering dependents: 1 for 1 match up to \$600

How does the HSA work with the GW High Deductible Health plan?





# Pharmacy Benefit Improvements 2016 Plan Enhancements

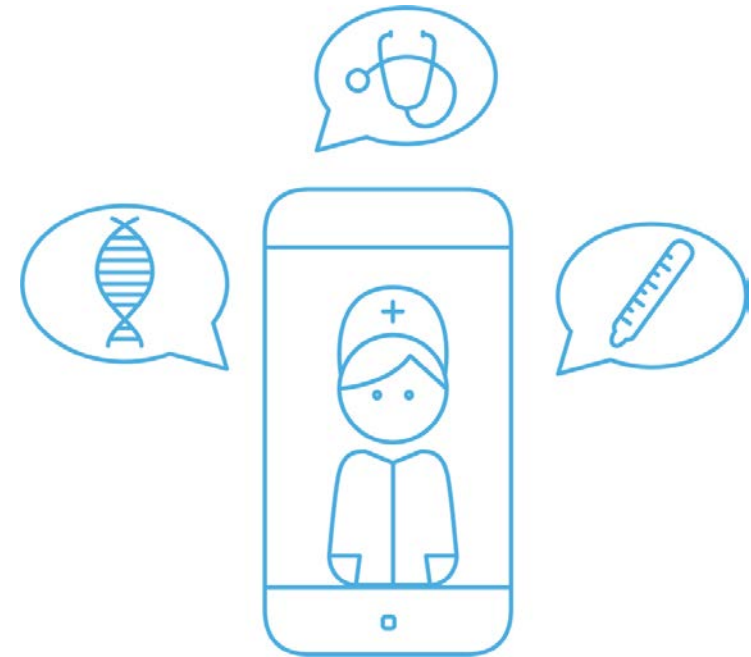
Employees enrolled in the Basic and Medium plans will no longer pay a separate annual deductible for brand name pharmacy drugs

- Pharmacy Advisor Counseling, a new program for employees with chronic conditions who manage multiple medications
  - Work one-on-one with members to help improve adherence and reduce gaps in treatment
  - In person when prescriptions are filled at CVS/pharmacy or by phone when members choose mail service pharmacy



# Telemedicine- UHC Virtual Visit 2016 Plan Enhancements

- Beginning in 2016 a network of care providers offering virtual visits by phone or video will enable you to see and speak with an in-network doctor to obtain a diagnosis for minor medical needs
- Most visits last about 10-15 minutes and doctors can write a prescription, if needed, that you can pick up at your local pharmacy
- A virtual visit lets you see and talk to a doctor from your mobile device or computer without an appointment or physical visit to a physician's office



# Salary Banded Contributions for Health-Care Premiums 2016 Plan Modifications

Employees under \$120K will see 3% increase for 2016.

Salary Band	# EE <sup>1</sup>	CY2016 <sup>2</sup> Additional Cost per Year	CY2016 Additional Cost per Month
< = \$35,000	101	\$9 - \$198	\$0.75 - \$16.50
\$35,000.01 – \$60,000	1,153	\$24 - \$228	\$2.00 - \$19.00
\$60,000.01 - \$120,000	1,690	\$24 - \$228	\$2.00 - \$19.00
\$120,000.01 - \$180,000	504	\$108 - \$1,164	\$9.00 - \$97.00
\$180,001.01 - \$240,000	183	\$144 - \$1,560	\$12.00 - \$130.00
> \$240,000	104	\$180 - \$1,944	\$15.00 - \$162.00
<b>Total:</b>	<b>3,735</b>		

## Footnotes:

1. Count represents # of faculty & staff by salary tier enrolled in GW's health care plans. Approx. 78% of 5,584 benefits-eligible employees utilize GW's health care plans.

2. Costing shows the minimum and maximum annual increase an employee would pay for health insurance under a salary-banding approach. Lowest figure = HDHP: Employee Only; Highest figure = Medium: Family

# Preferred Network for Imaging and Labs

## 2016 Plan Modifications

Beginning in 2016, GW will implement a preferred network for labs, x-ray, and major diagnostics.

### How Network Coinsurance Will Work

Basic Plan: 80 / 20% Preferred; 60 / 40% Non-Preferred

Medium Plan: 85 / 15% Preferred; 65 / 35% Non-Preferred

### Illustration: Average cost of imaging and diagnostic services for Basic Plan

Selected Imaging, X-Ray, Major Diagnostic Service	Preferred Free Standing Facility (20% Coinsurance)	Hospital-Based (40% Coinsurance)
MRI Scan	Total - \$559 <b>Member - \$112</b>	Total - \$1,087 <b>Member - \$435</b>
General Blood Panel Test	Total - \$15 <b>Member - \$3</b>	Total - \$21 <b>Member - \$8</b>

## Basic and Medium Plan Coinsurance-Prescription Drugs 2016 Plan Modifications

- GW will be changing from the current copay approach to a coinsurance approach for all drug types (generic, brand formulary and brand non-formulary)

	<b>Generic</b>	<b>Brand, Formulary</b>	<b>Brand, Non-Formulary</b>
<b>Coinsurance</b>	10%	20%	25%
<b>Example Total Drug Cost/Member Pays</b>	Total - \$180 <b>Member - \$18</b>	Total - \$200 <b>Member - \$40</b>	Total - \$1,000 <b>Member - \$100</b>
<b>Maximum</b>	\$30	\$50	\$100

# Plan Design Changes for 2016

GW Plan Design	High-Deductible Health Plan		Basic		Medium	
	<i>In-Network</i>	<i>Out-of-Network</i>	<i>In-Network</i>	<i>Out-of-Network</i>	<i>In-Network</i>	<i>Out-of-Network</i>
Deductible						
Individual	\$1,500	\$3,000	\$850	② <b>\$2,000</b>	\$500	\$750
Family	\$3,000	\$6,000	\$1,700	<b>\$4,000</b>	\$1,000	\$1,500
Medical Out-of-Pocket Maximum						
Individual	① \$4,000	\$6,000	\$3,000	③ <b>\$6,000</b>	\$2,500	\$5,000
Family	<b>\$6,850</b>	\$12,000	\$6,000	<b>\$12,000</b>	\$5,000	\$10,000
Coinsurance (Employee / GW)	80% / 20%	60% / 40%	80% / 20%	60% / 40%	85% / 15%	60% / 40%
Lifetime Maximum	Unlimited		Unlimited		Unlimited	
Office Visit						
Primary Care Physician	20% after ded.	40% after ded.	\$25	40% after ded.	\$25	40% after ded.
Specialist	20% after ded.	40% after ded.	\$50	40% after ded.	\$50	40% after ded.
Preventive (including imaging & tests)	\$0	40% after ded.	\$0	40% after ded.	\$0	40% after ded.
Hospital						
Hospital Inpatient	20% after ded.	40% after ded.	20% after \$250 per admit copay and ded.	40% after ded.	15% after \$250 per admit copay and ded.	40% after ded.
Hospital Outpatient	20% after ded.	40% after ded.	20% after ded.	40% after ded.	15% after \$100 copay and ded.	40% after ded.
Urgent Care	20% after ded.	40% after ded.	\$50	40% after ded.	\$50	\$50
Emergency Room	20% after ded.	40% after ded.	20% after ded.	20% after ded.	\$150	\$150
	<b><i>Preferred</i></b>	<b><i>Non-Preferred</i></b>	<b><i>Preferred</i></b>	<b><i>Non-Preferred</i></b>	<b><i>Preferred</i></b>	<b><i>Non-Preferred</i></b>
Imaging & Labs						
Diagnostic Tests (x-ray, blood work)	④ <b>20% after ded.</b>	<b>40% after ded.</b>	<b>20% after ded.</b>	<b>40% after ded.</b>	<b>15% after ded.</b>	<b>35% after ded.</b>
Imaging (CT / PET scans, MRIs)	<b>20% after ded.</b>	<b>40% after ded.</b>	<b>20% after ded.</b>	<b>40% after ded.</b>	<b>15% after ded.</b>	<b>35% after ded.</b>
	<b><i>In-Network</i></b>	<b><i>Out-of-Network</i></b>	<b><i>In-Network</i></b>	<b><i>Out-of-Network</i></b>	<b><i>In-Network</i></b>	<b><i>Out-of-Network</i></b>
Prescription Drug Deductible	Included in overall plan deductible (\$1,500/\$3,000)		⑤ <b>No deductible</b>	<b>No deductible</b>		
Prescription Drug Out-of-Pocket Maximum						
Individual	Combined with medical		\$3,600	\$7,200	\$4,100	\$8,200
Family	Combined with medical		\$7,200	\$14,400	\$8,200	\$16,400
Preventive Drugs	Covered at 100%		n/a		n/a	
<b>Retail Prescription Drug (30 Days)</b>	<b>Coinsurance per RX</b>		<b>Coinsurance per RX</b>		<b>Coinsurance per RX</b>	
Generic	20% after ded.		⑥	<b>10% - min: \$15, max: \$30</b>	<b>10% - min: \$15, max: \$30</b>	
Brand Formulary	20% after ded.			<b>20% - min: \$30, max: \$50</b>	<b>20% - min: \$30, max: \$50</b>	
Brand Non-Formulary	20% after ded.			<b>25% - min: \$60, max: \$100</b>	<b>25% - min: \$60, max: \$100</b>	
<b>Mail-Order Prescription Drug (90 Days)</b>	<b>Coinsurance per RX</b>		<b>Coinsurance per RX</b>		<b>Coinsurance per RX</b>	
Generic	20% after ded.		<b>10% - min: \$37.50, max: \$75</b>		<b>10% - min: \$37.50, max: \$75</b>	
Brand Formulary	20% after ded.		<b>20% - min: \$75.00, max: \$125</b>		<b>20% - min: \$75.00, max: \$125</b>	
Brand Non-Formulary	20% after ded.		<b>25% - min: \$150, max: \$250</b>		<b>25% - min: \$150, max: \$250</b>	

# Open Enrollment

## Open Enrollment/Benefit Fairs (October 1 – 30)

- Foggy Bottom – October 15 and October 28 (Marvin Center Grand Ballroom)
- VSTC – October 19 (Enterprise Room 175)
- Biostatistics – October 22 (Suite 750)

## Benefits Overview Sessions

- Foggy Bottom – October 7, 15, 26 and 28
- VSTC – October 19
- Virtual – October 14 and 29

To register for sessions visit:  
[go.gwu.edu/benetools](https://go.gwu.edu/benetools)

Resolution of the

Department of Health Policy and Management

Passed unanimously at Faculty Meeting, September 8, 2015

Further reviewed by Department Chairs with four of six departments sending support for presentation at the Faculty Senate Meeting on September 11, 2015.

WHEREAS, On June 18, 2015 the University's Board of Trustees adopted a resolution (1) proposing amendments to the *Faculty Organization Plan* that would permit all fulltime faculty who have attained the rank of associate professor or higher to be eligible to serve on the Faculty Senate and (2) eliminating limitations on the number of non-tenured, full time faculty members who may represent their respective Schools in the Faculty Senate;

WHEREAS, The Board of Trustees on June 18, 2015, approved numerous amendments to the Faculty Code, none of which incorporated a recommendation of the Faculty Senate to place a 25% limit on Specialty Faculty (which includes research faculty) and to exempt only the Schools of Nursing and Medicine and Health Sciences from this 25% limit

WHEREAS, On matters of faculty composition and of representation to the Faculty Senate, Schools generally, and the Milken Institute School of Public Health in particular should have the right, as recognized by the Board of Trustees, to make such determinations regarding the types of faculty that would best further our mission, as well as which faculty members will best represent our interests in the Faculty Senate, and

WHEREAS, The justifications offered by the Faculty Senate for imposing what amounts to University-wide quotas on research faculty and for barring such faculty from serving on the faculty senate would bar the SPH from having the flexibility to make decisions about faculty composition and governance that might best suit our public health mission

Now, therefore we recommend (1) the Faculty Senate Executive Council withdraw its recommendations to be voted on by the Faculty Senate on September 11, 2015, and (2) that the Faculty Senate vote to adopt the positions taken by the Board of Trustees on June 18 2015, with respect to the faculty composition within each School and faculty representation of each School.