THE GEORGE WASHINGTON UNIVERSITY
Washington, D.C.

MINUTES OF THE REGULAR MEETING
OF THE FACULTY SENATE HELD ON
MAY 11, 2012 IN THE STATE ROOM

Present: Provost Lerman, and Registrar Amundson; Deans Dolling and Feuer; Professors Acquaviva, Castleberry, Cordes, Dickson, Fairfax, Greenberg, Harrington, Helgert, Kim, McAleavey, Newcomer, Price, Rehman, Shesser, Sidawy, Simon, Stott, Swaine, Wirtz, and Yezer

Absent: President Knapp and Parliamentarian Charnovitz; Interim Dean Akman, Deans Barratt, Berman, Brown, Eskandarian, Goldman, Guthrie, and Johnson; Professors Agnew, Barnhill, Brand-Ballard, Briscoe, Dickinson, Garris, Lantz, Parsons, and Williams

CALL TO ORDER

The meeting was called to order by Provost Lerman at 2:15 p.m after he indicated that President Knapp could not be present at the meeting due to another professional commitment.

APPROVAL OF THE MINUTES

The minutes of the regular meeting of April 11, 2012 were approved as distributed.

INTRODUCTION OF NEWLY-ELECTED SENATE MEMBERS

Provost Lerman introduced newly-elected and re-elected Senate members. Newly elected members present at the meeting were: Professors Acquaviva, Kim, Lantz, Sidawy, Stott, and Swaine. Professors Agnew, Briscoe, and Dickinson were absent. Re-elected members were Professors Cordes, Harrington, Helgert, McAleavey, Wirtz, and Yezer. Parliamentarian Charnovitz was re-appointed for the 2012-13 session.

Provost Lerman announced that, in Parliamentarian Charnovitz's absence, Professor David Johnson of the Law School would substitute as Parliamentarian at the meeting. Professor Johnson has previously served as Senate Parliamentarian.

RESOLUTION 12/1 "A RESOLUTION TO ENDORSE AMENDMENTS TO THE GEORGE WASHINGTON UNIVERSITY POLICY ON CONFLICTS OF INTEREST AND COMMITMENT FOR FACULTY AND INVESTIGATORS"

Professor Arthur E. Wilmarth, Jr., Chair of the Professional Ethics and Academic Freedom Committee (PEAF), introduced Resolution 12/1. This Resolution was adopted by the PEAF Committee after the Committee was advised by Vice Provost Dianne Martin that new rules had been adopted by the Department of Health and Human Services (DHHS) for

sponsored research grants administered by the Public Health Service. The new DHHS rules will require the University and its faculty and investigators to comply with revised Conflict of Interest guidelines for sponsored research grants. Professor Wilmarth indicated that Vice Provost Martin was present to explain the changes to the University's Conflict of Interest Policy that were proposed in Resolution 12/1.

Vice Provost Martin advised that an *ad hoc* Committee was convened in December, 2011 to incorporate new provisions into the University's Conflict of Interest Policy. Two faculty members served on that Committee, Professor Tuttle from the Law School, and Professor Melissa Goldstein from the School of Public Health and Health Services. (Professor Tuttle was present at the Senate meeting to answer questions about the Committee's work.)

Vice Provost Martin noted that GW currently receives approximately $199 million in research funding from Public Health Services (PHS), so it is important for the University to comply with these new regulations in order to maintain and continue this source of funding. Several changes have been made in required reporting by faculty members and investigators who receive PHS funding.

The first is a lower financial threshold for reporting purposes. Reporting will now be required for faculty and investigators receiving $5,000 or more in funding. There is also a specific requirement that any kind of travel sponsored by an entity other than the University or a federal agency funding the research be disclosed. There will be more extensive management and oversight of these declarations of significant financial interest in that the decision about what constitutes a conflict of interest will now be determined by the University Administration rather than the faculty member or investigator. More reporting will be required by the University on these activities than is presently the case. Lastly, anyone who receives any PHS funding will be required to complete training about conflicts of interest every four years.

In the course of its deliberations about the Conflict of Interest Policy, the Committee determined that the best way to proceed would be to separate references to PHS funding from research funded by other sources in the current policy and consolidate these rules into a new Appendix C which deals only with all of these new regulations relating to PHS funding. The University is expected to comply with the new rules by August 24, 2012, and the Board of Trustees is expected to approve the policy changes at its meeting in May, 2012.

Finally, Vice Provost Martin indicated that the Committee has decided that these changes to the Conflict of Interest Policy are but a first step. What should happen over the next year is that a comprehensive review of the Policy should be undertaken by a Committee that includes more faculty members, with the advice and consent of appropriate Faculty Senate Committees. The goal would be to agree upon an integrated Policy that would apply to all faculty and investigators.

Discussion followed. Professor Helgert asked for a clarification on reporting travel expenses. Vice Provost Martin responded that researchers receiving PHS funding would be required to report travel provided by some entity other than a federal sponsor or the University. Researchers are not expected to report the value of such travel as they may not

be able to determine this. The destination, travel dates, and the sponsor would need to be disclosed. Professor Sidawy inquired about travel and expenses for conferences and professional meetings. Vice Provost Martin responded that this is addressed on the NIH website under Frequently Asked Questions. She added that she thought at this point people would simply report on the trip by providing dates, destination, and sponsor. Professor Yezer asked if faculty members would still have to complete Conflict of Interest disclosure forms. Vice Provost Martin responded that the general COI disclosure forms would still have to be filed by all faculty. Starting in August and going forward, PHS funded researchers will also be required to complete the new COI disclosure form, including the addendum, as well.

There being no further questions, a vote was taken, and Resolution 12/1 was adopted by unanimous vote. (Resolution 12/1 and accompanying appendices are included with these minutes.)

RESOLUTION 12/2, "A RESOLUTION ON INFORMATION SYSTEMS NEEDED TO SUPPORT FACULTY RESEARCH EFFORTS"

Professor Anthony M. Yezer, Chair of the Senate Committee on Research, introduced Resolution 12/2. The Resolution addresses concerns about the current state of information systems in place to monitor sponsored research projects at the University. The central concern is the difficulty encountered by researchers when they cannot monitor expenditures on a current basis and cannot program expenditures over several years. Committee members have been advised by faculty who have held research positions at other universities that these institutions utilize information systems that integrate everything from start to finish on a research project in one information system.

By and large, researchers at GW who do not have access to the assistance of a departmental research officer spend inordinate amounts of time which could be used for research on tracking financial and procurement issues. Professor Yezer said that at GW, if one gets a three-year grant, information systems treat this as three one-year grants, so researchers cannot program expenditures over the lifetime of the grant. He added that, based on conversations with the Administration, he did not think the University hostile to the notion that information systems need improvement in this area. The purpose of bringing forward the Resolution is to raise the issue formally, as improved systems are necessary if the University is to provide the necessary support for its stated goal of increasing research activity at GW.

Professor Wirtz spoke in support of the Resolution asking how this situation came about and why it persisted. Provost Lerman prefaced his remarks by saying that he has been at GW only two years, but that Professor Yezer's remarks were consistent with opinions that others have expressed on the subject.

The University utilizes two different enterprise information systems. The first is the Banner system which contains student and employee information. The second is the Oracle system, which monitors financial activity. The interconnectivity of these two systems has been problematic. For researchers, probably 70 to 80% of all research charges go toward

staff and benefits. If the two enterprise systems do not work in tandem, then real time reporting cannot be achieved.

Secondly, it is only in recent years that GW has grown into a major research institution. This year, for example, GW moved into the top 100 universities receiving federal funding from the National Science Foundation. Over time, Provost Lerman said he thought that the University may have underinvested in this information systems area because it was not as large a fraction of the University's activity as it is now.

The Provost reported that he had just met with Executive Vice President and Treasurer Louis Katz and Vice President for Research Chalupa about this issue. He said he thought that technological adjustments would be a partial solution. It is likely that a broader, phased improvement of technology policies and processes will need to occur so GW can align itself with best practices around the country. Going forward, ideally these would scale as the University grows the research enterprise.

Professor Yezer said he thought it is in the University's best interest to have a better system than one that would just address what faculty researchers need now. An improved system could keep track of research efforts and intellectual activity throughout the University, and provide a valuable source of information as the University monitors the overall direction of the research effort.

There being no further questions, a vote was taken, and Resolution 12/2 was adopted by unanimous vote. (Resolution 12/2 is included with these minutes.)

INTRODUCTION OF RESOLUTIONS

No resolutions were introduced.

REPORT ON THE INTERNATIONAL STRATEGIC PLAN

Before calling upon Associate Provost Donna Scarboro to present the report, Provost Lerman asked Professor Castleberry if he wanted to comment. Professor Castleberry advised that the International Strategic Plan was the outgrowth of a Committee that met for a year and a half; by the time it came to the point where the final report was in process, the Board of Trustees determined that the University would go forward in developing a University-wide Strategic Plan. In effect, many of the pieces of the work of the Committee have now been folded into this larger plan. Professor Castleberry said he thought the breadth and the depth of the work of this Committee was really important, as was providing an opportunity for Associate Provost Scarboro to report to the Senate on it. Professor Castleberry said he hoped Senate members would take the information back to their schools so their colleagues know of the University's efforts to expand what it does in international programs and activities.

Associate Provost Scarboro presented her Report in powerpoint format. (The Report is included with these minutes.) She began by saying that in 2008, a plan was developed to examine what the University was doing in the international arena as well as to survey what else needed to be done. A part of this was the establishment of a very modest international

venture fund earmarked for the development of international programs. In addition, organizational structures were established to support the University's many collaborative efforts across the world, particularly in the area of processing memoranda of understanding. There was also a goal of bringing more international students to the University within the 2008 plan. Looking at the internationalized curriculum, she said she thought GW has a lot of offerings for students, but there are probably areas that could be improved, including fine-tuning study abroad offerings. In the last four years, the office dealing with international alumni relations has also stepped up its outreach efforts.

During 2011, another plan was developed by a Committee co-chaired by Associate Provost Scarboro and Professor Castleberry. Details of this plan are set forth in the powerpoint report. The vision this Committee settled upon was quite complex and parts of it have survived in the ensuing discussion about the overall University Strategic Plan. Work on the international piece of this overall plan is still ongoing, but the ideas about areas of importance remain much the same: knowledge-gathering in critical areas focused on issues of global importance and the education of students in the areas of critical thinking and cross-cultural understanding. The big takeaway from the 2011 plan that was the kickoff for the new 2012 plan is that great universities tackle really important issues all around the world and make a difference in all kinds of ways.

Building on a number of themes set forth in the 2011 plan, regional groups have been formed to answer questions about how the University is grappling with global issues. The Business School is moving forward on new activity in China including offering two Master's degrees there. As a result of an Innovation Task Force initiative, there is also an international summer plan underway. There is also discussion of expanding the University's English for Academic Purposes offerings and possibly adding some lower-level English classes that have not been offered at GW for some years.

Two prominent themes have emerged from the formulation of these plans and discussions that continue about implementing them. One is Global Women's issues, which Associate Provost Scarboro said she thought could be an important distinguishing focus for GW. The other is continuing to educate GW students about culture worldwide. Several locations have been selected for these focus areas, including India, China, Latin America, and sub-saharan Africa. The idea is to develop deep institutional relationships in a few geographic regions rather than attempt to be responsive to everything in the world, while at the same time embedding the University's focus areas in all of these.

In conclusion, Associate Provost Scarboro said that there are really two big throughputs in this international planning exercise that will appear in the University's overall Strategic Plan. Three areas, Global Development, Global Security and Global Justice are three areas of strength. GW will also focus more selectively on several regional areas where there are opportunities to strengthen its institutional presence and reputation.

Discussion followed. Professor Newcomer asked if the University was recommending that students take their junior year study abroad program during the summer months, instead of in the fall or spring semesters. Associate Provost Scarboro responded that it was not, there was a separate program called International Summer, which brought international students to campus for study during summer.

Professor Helgert said he did not see engineering and the sciences reflected in the plan, and he thought this curious as there is nothing more global today than these. Associate Provost Scarboro said this question had come up in discussions, however, the University is currently building a Science and Engineering Hall and Washington, D.C. is a very desirable location for international science students. The thought is that these science and engineering programs will continue to be attractive. Business is another area where there is strong interest on the part of the international community. At the same time, it is important in recruitment efforts for the University to identify students who want to come to study policy, cultural matters, and other disciplines.

Professor Castleberry asked about infrastructure that would be required to achieve goals outlined in the plan. Associate Provost Scarboro responded that, although the University has already been making infrastructure improvements in the international area for some time, that kind of support is evolving. Some schools already have an individual dedicated to and knowledgeable about this area, while others do not. In terms of information sharing, the University needs to improve its website, so that information about international outreach efforts is more readily available for faculty members. There is also a need to better collect and disseminate data which is presently available electronically, but not publicly.

Professor Kim said she had found there are barriers encountered by scholars from different countries who wish to do research at GW. Associate Provost Scarboro responded that the International Services Office (ISO) is part of GW's infrastructure for international outreach. As a result of the reorganization of the Student and Academic Support Services division, which will now report to Academic Affairs, the ISO Office will now report to Senior Vice Provost Maltzman. Finding ways to integrate and improve services to international students and scholars that have previously been distributed and handled in different ways by the schools is ongoing. Also under discussion has been the possibility of bringing additional prestigious scholars to GW as a means of improving the University's reputation in this area. Senior Vice Provost Maltzman added that he thought it clear that as GW brings in more international scholars and students, it is important to have a first-rate ISO that is responsive to the many needs of these members of the University community.

UPDATE ON THE UNIVERSITY BUDGET

Professor Joseph Cordes, Chair of the Fiscal Planning and Budgeting Committee, distributed copies of the Update, which is included with these minutes. The Update focuses on four aspects of the University Budget, including a comparison of the budgets for Fiscal Years 2011 and 2012, trends in operating performance, particularly in the operating margin, information about the University's debt and borrowing, and the latest information on the financing of the Science and Engineering Hall (SEH).

The Fiscal Year 2011 budget reflects the move to a consolidated budget model that now includes both the Medical Center and the rest of the University. In previous years, the Medical Center did not report to the Provost, and budget information concerning that

budget was reported separately from the rest of the University for planning purposes. Consolidated information is presented in year-end financial reports.

Information concerning FY 11 and FY 12 (combined) budgets and decreases and increases in net assets are reported on slides 4 and 5 of the Update. Professor Cordes highlighted trends in the operating margin, i.e. the difference in a fiscal year between revenue and expense. In FY 11, the University's operating items exceeded the expense items by approximately $4.5 million overall, before subtractions for other financing needs of the University, such as debt service, capital expenditures, and support and investment. For a number of years the University pursued a course of increasing reserves, but in the past couple of years, money has been taken out of reserves for operating purposes.

Professor Cordes emphasized that trends in the operating margin are not the only indicator of financial performance, but this is a fairly important piece of information and one that rating agencies pay attention to in making their decisions about the University's credit worthiness. As is shown slide 7 of the Update depicting University operating revenue and expense 2008-11, there has been a downward trend in the operating margin and the rough trend is that it has been steadily declining over the last couple of years. In 2011 the University's operating margin was approximately $8 million. This has occurred because of two factors: increased University-funded financial aid, and increased expenditures for faculty and staff. Other expense items in the budget have clearly grown at a much slower rate on a percentage basis over the past several years. Some of this may be attributed to a significant increase in expenditures for development/fundraising staff. The University has also hired additional faculty members.

Professor Cordes next discussed debt and borrowing. The recent issuance of new debt in the amount of approximately $300 million means that, by one measure, the University's debt now totals $1.39 billion. However, this cumulative total does not reflect that debt is used for activities, some of which reduce a portion of the University's debt, as in refinancing existing borrowings. The University's debt is closely monitored by two rating agencies, Standard and Poor's, and Moody's. Included in the update on slide 9 are links to the agency reports which contain information about the University's financial strengths as well as challenges it faces. Among offsetting factors, the rating agencies are somewhat concerned about the University's level of nominal debt, with large bullet (balloon) maturities in 2017, 2019, 2022 and 2023. It is expected that the University will extend this debt at maturity. It should be noted that the University's A+ rating was affirmed despite the issuance of the most recent $300 million in debt. In addition, money has not been borrowed to cover tuition shortfalls, but rather to fund a variety of University activities, including refinancing existing debt. Overall, the net worth of the University has increased from year to year.

Professor Cordes next described opportunities and challenges in connection with improving the University's operating margin. Among the opportunities are tuition levels, moderating the tuition discount rate, managing the on-campus enrollment cap, and utilizing funds provided through the work of the Innovation Task Force. While in past years the President and the Board of Trustees have worked to keep tuition increases at 3%, this year, it will increase 3.75% at the undergraduate level (this is for incoming freshmen, the rate for other undergraduates being guaranteed). Graduate tuition will also increase this

year. In addition, there are plans to moderate the tuition discount rate which increased to 44.3% in 2010. The overall goal is to reduce this rate to approximately 37%.

Despite the on-campus enrollment cap, within limits, some revenue growth can be achieved, for example, by adjusting the mix of undergraduate, graduate, and off-campus students. Finally, to the extent that the Innovation Task Force identifies new sources of revenue, this can help improve the operating margin. Going forward, the growth rate of expenses exceeding the growth rate of revenues cannot be allowed to persist. Factors to take into consideration are expected increases in staffing costs made necessary by increased University investments in science and technology, and the operating costs of new facilities under construction. Other significant factors may come into play, for example, if the interest rate on student loans rises significantly.

Professor Cordes next commented on financing for the Science and Engineering Hall presently under construction. As predicted by Executive Vice President and Treasurer Katz, the initial financing of the SEH will come from a mix of external and internal borrowing. It is also the case that revenues from Square 54 development will cover a fair proportion of this, probably between 50 to 60% of the construction costs of the building, assuming the cost of the Hall remains at $275 million. Additional costs must be funded by the other two sources: philanthropy and increased sponsored research indirect cost recoveries. When Development Vice President Morsberger reported to the Senate in March 2012, $20 million had been raised: $14 million in programmatic funding and $6 million (of the $100 million to be raised) in capital support. There is, of course, an active plan in place to seek funding for the Hall. In terms of increased sponsored research cost recoveries, annual ICRs have been coming in pretty consistently at $21 million per year. It is projected that an increase of 3 to 5% annually will be required, with increases in the $300,000 to $500,000 range generated per investigator from new research activity.

In conclusion, Professor Cordes summed up the good and the cautionary news by saying that, overall, the University is in very solid financial shape. At the same time, it has financially pushed the envelope and success in financing the SEH will partially depend upon increasing the University's philanthropic capabilities. The Fiscal Planning and Budgeting Committee will continue over the summer to gather information on the University's budget and its fundraising, as well as take a closer look at possible trends in operating expense that are likely to take place.

Discussion followed. Professor Acquaviva inquired if the University planned to extend all of the bullet maturity debt as it came due. Professor Cordes said he thought that some, but not all of it, would be. Provost Lerman noted that almost all of the debt going back to 2007 was overwhelmingly variable interest rate debt. For the most part, this has been shifted to fixed interest debt with a ten-year window, some of which will be used to finance capital projects with a 30-year lifetime. Some of the debt will undoubtedly be rolled over.

Professor Yezer said he knew it was difficult to predict operating revenues going forward, but he thought it would be a good idea to generate some cost projections over the next five years and generate forecasts of expenditures going forward. This would to some extent revive a tradition at the University of having revenues drive expenditures. Professor

Cordes said he and the Committee hoped in the next year to project different budget scenarios and take a closer look at how the financial variables would play out in each one.

Professor Wirtz said he was struck by the change in the tuition discount rate from 43.3% in FY 2010 to 35.2% for the fall, 2011 entering class. He added that he hoped that this is being monitored very carefully by the Committee on Admissions Policy, Student Financial Aid, and Enrollment Management. It would also be useful to have a report to the Senate on how a dramatic change such as this is affecting the student body and the educational mission of the University.

Professor Cordes said he thought this dramatic change may have been unintended. Provost Lerman agreed, saying that the plan was to lower the discount rate down to about 39.5% for this year's current freshman class. This was intended to roll back the rapid increase in percentage terms instituted by the University in response to circumstances caused by the recent recession. The Provost further observed that it seems the time has come when old models used to predict who would accept the University's financial aid offers are no longer as useful as they were based on steady-state conditions. The world has changed, and he said he thought everyone agrees the discount rate is too low for GW right now. The 35% rate was not planned but was rather an outcome of unusual responses to financial aid offers extended by the University. This was something of a surprise. In future, the thought is that a 38% rate might be more appropriate and that fluctuations will be moderated to provide a more steady-state going forward. Further discussion followed between Professor Wirtz and the Provost concerning the opportunity presented by these developments to determine the effect of discount rate fluctuations on the composition of the student body and the student retention rate, all of which are monitored closely by Academic Affairs.

UPDATE ON THE STRATEGIC PLANNING PROCESS

Due to the lateness of the hour and the need to retain a quorum to complete general business items at the meeting, Provost Lerman received the consent of the Senate to postpone the Update until the September Senate meeting.

GENERAL BUSINESS

I. APPROVAL OF DATES FOR REGULAR SENATE MEETINGS IN THE 2012-13 SESSION RECOMMENDED BY THE EXECUTIVE COMMITTEE

September 14, 2012	**January 11, 2013**
October 12, 2012	**February 8, 2013**
November 9, 2012	**March 8, 2013**
December 14, 2012	**April 12, 2013**
	May 10, 2013

The calendar for 2012-13 was unanimously approved.

II. NOMINATIONS FOR ELECTION OF CHAIRS AND MEMBERS OF FACULTY SENATE STANDING COMMITTEES FOR THE 2012-13 SESSION

The membership list of faculty members to be elected as Chairs and members of Senate Standing Committees was distributed at the meeting. No new nominations were made. All faculty members nominated were approved. (The Committee list is included.)

III. NOMINATIONS FOR APPOINTMENT BY THE PRESIDENT OF THE FOLLOWING FACULTY MEMBERS TO ADMINISTRATIVE COMMITTEES:

Joint Committee of Faculty and Students: Hartmut Doebel, Vivek Jain, Amy Mazur, Jocelyn Rapelyea, and Kim Roddis;
Committee on the Judicial System: Michael S. Castleberry;
Marvin Center Governing Board: Patricia Phalen;
Marvin Center Program Board: Eugene Montague
Student Grievance Review Committee: Edward Robinson and Richard Ruth

The entire slate was approved.

IV. NOMINATIONS FOR APPOINTMENT OF FACULTY MEMBERS BY THE BOARD OF TRUSTEES TO THE FOLLOWING TRUSTEES' COMMITTEES:

Committee on Advancement: Joseph J. Cordes;
Committee on Academic Affairs: Michael S. Castleberry;
Committee on External Affairs: Kathryn Newcomer

The entire slate was approved.

V. REPORT OF THE EXECUTIVE COMMITTEE

Professor Castleberry presented the Report which is included with these minutes. He also made available the Report of the Faculty Senate to the Academic Affairs Committee for the May 2012 meeting the following week, also to be included with these minutes.

VI. ANNUAL REPORTS OF SENATE STANDING COMMITTEES

Available for distribution at the meeting and for inclusion with these minutes was the Annual Report of the Committee on Appointment, Salary, and Promotion Policies. (The Report is included with these minutes.)

VII. PROVOST'S REMARKS (AND CHAIR'S REMARKS)

Provost Lerman indicated that in the President's absence, he would provide information normally included in the Chair's Remarks.

The Provost reported on the admissions picture for the coming academic year 2012-13. He said that undergraduate enrollments are essentially on target – approximately 2,500

students have indicated their intent to enroll. Given the usual summer "melt" of approximately 150 students who for various reasons will not follow through and attend GW, the expected yield of 2,350 new freshmen will be achieved.

GW had a record pool of graduate applicants to draw from this year, and there is every indication that the quality of the students who have chosen GW are at least as good or better than the quality of incoming graduate students last year. Graduate enrollments are presently a bit over projections. While this is encouraging, enrollments at Foggy Bottom are limited by the enrollment cap imposed on the campus. The deans of the Schools may have, and are prepared, to put in place various plans to manage these enrollments by potentially moving some classes from the Foggy Bottom campus to other locations.

In other developments, this has been a record year in fundraising for the University. Construction of the Science and Engineering Hall is underway, and those who have offices near the site will notice a periodic vibration between 10:30 and 11:30 in the morning, as there is rock ledge in one area of the foundation, and it is necessary for the construction company to blast out the rock there.

Several other buildings are under design and planning. Demolition of the Warwick building on the site of the new facility for the School of Public Health and Health Services (SPHHS) is underway, and a groundbreaking for the SPHHS will be scheduled. Renovation of the second floor of the Gelman Library will begin very soon. The Provost said he had reviewed the architectural plans, and they are impressive. He added that he thought the project will be transformational in two dimensions, aesthetic and functional. It will create a new entrance providing access to Gelman from Kogan Plaza rather than from the present underground entrance on H Street. The renovation will also mean that additional seating capacity for 400 students will be provided in various forms, including individual and carrel/group study spaces. This is something students have been waiting for a long time.

In the near future, ground will be broken on a new GW Museum at the Foggy Bottom campus, and the University will build a storage facility on the Virginia campus in Loudoun County at Ashburn that will be a temperature and humidity-controlled repository for the various collections presently belonging to the Textile Museum. A merger between the now-independent Textile Museum and the University will officially take place on the day GW opens the Textile Museum itself.

Provost Lerman said he thought everyone was aware that Senior Vice Provost and Senior Vice President Bob Chernak is stepping down this summer. Because Student and Academic Support Services (SASS) grew up around Dr. Chernak's unique and special skills, and it is unlikely this same-skill set can be replicated by someone stepping into this position, an opportunity has arisen to reorganize the division. A new enrollment management group will be created to unify enrollment management and planning. This is something Dr. Chernak himself has advocated. The Athletics department will report in future to the Provost. Disability Support Services, the Multicultural Student Support Center, and the Center for Civic Engagement and Public Service will report to Vice Provost for Diversity and Inclusion Terri Reed. The Provost added that SASS staff have been incredibly cooperative with, and receptive to, these new developments.

The Provost also said he thought that most are aware that Peg Barratt, Dean of the Columbian College of Arts and Sciences (CCAS), has announced that she will step down as Dean at the end of the coming academic year, in June 2013. After taking a sabbatical leave, she will return to GW and join the faculty. The Provost said he had worked with Dean Barratt very closely and thought she had done some incredibly good things for CCAS. These include hiring a remarkable cohort of high-quality young faculty, growing the overall number of CCAS faculty, revamping general education requirements, and adding additional CCAS advisers to improve the quality of student advising, particularly for undergraduates. She also oversaw an unprecedented increase in the retention rate of freshmen to sophomores among students in CCAS. Provost Lerman said that a national search would begin, probably in September, for a new CCAS Dean. He also said the Dean is someone he has enjoyed working with and someone that he thought she brought a sense of integrity to the CCAS leadership that really exemplifies her way of working.

In closing, the Provost noted that the Board of Trustees would meet the following week. He added that he hoped to see many faculties at the Commencement ceremonies, including the hooding ceremonies for doctoral students, the following weekend.

BRIEF STATEMENTS (AND QUESTIONS)

There were no brief statements or questions.

ADJOURNMENT

Upon motion made and seconded, the meeting was adjourned at 4:20 p.m.

Elizabeth A. Amundson
Elizabeth A. Amundson
Secretary

A RESOLUTION TO ENDORSE AMENDMENTS TO THE GEORGE WASHINGTON UNIVERSITY POLICY ON CONFLICTS OF INTEREST AND COMMITMENT FOR FACULTY AND INVESTIGATORS (12/1)

WHEREAS, the Faculty Senate has previously adopted resolutions endorsing the original adoption of the University's Policy on Conflicts of Interest and Commitment for Faculty and Investigators (the "University Policy"), including its attached disclosure forms (Appendices A and B), as well as subsequent amendments thereto; and

WHEREAS, the University Administration has advised the Faculty Senate that the Department of Health and Human Services ("DHHS") has recently issued revised conflict of interest requirements for Investigators who conduct research sponsored by the National Institutes of Health and other agencies administered by the Public Health Service ("PHS"); and

WHEREAS, a joint committee composed of administration and faculty representatives has proposed amendments to the University Policy, including a new Appendix C to be completed by Investigators conducting research sponsored by PHS-administered agencies; and

WHEREAS, the University Administration has advised the Faculty Senate that the proposed amendments to the University Policy, in the form attached to this Resolution as Exhibit A (unmarked) and Exhibit B (marked to show changes from the current University Policy), are necessary to enable the University to comply with the revised conflict of interest requirements issued by DHHS for Investigators who conduct research sponsored by PHS-administered agencies; and

WHEREAS, the Faculty Senate Committee on Professional Ethics and Academic Freedom has reviewed and endorsed the proposed amendments to the University Policy, including the new Appendix C thereto, in the form attached to this Resolution as Exhibits A and B; and

WHEREAS, the Faculty Senate believes that the proposed amendments to the University Policy, as shown on Exhibits A and B attached to this Resolution, are consistent with the best interests of the University and its faculty; **NOW, THEREFORE,**

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

(1) That the Faculty Senate hereby endorses amendments to the University's Policy on Conflicts of Interest and Commitment for Faculty and Investigators (the "University Policy"), including a new Appendix C thereto, in the form attached to this Resolution as Exhibit A (unmarked) and Exhibit B (marked to show changes from the current University Policy); and

(2) That the Faculty Senate understands and expects that future proposed amendments to the University Policy (including its Appendices) will be presented to the Faculty Senate for its review and recommendations in accordance with the procedures followed in connection with the adoption of this Resolution.

Faculty Senate Committee on Professional Ethics and Academic Freedom
April 9, 2012

Adopted May 11, 2012

THE GEORGE WASHINGTON UNIVERSITY
WASHINGTON DC

Responsible University Official: Provost and Executive Vice President for Academic Affairs
Responsible Office: Office of the Provost and Executive Vice President for Academic Affairs

POLICY ON CONFLICTS OF INTEREST AND COMMITMENT FOR FACULTY AND INVESTIGATORS

Policy Statement

Faculty and investigator activities shall be conducted in a manner that avoids inappropriate conflicts of interest and commitment. Conflicts of interest may occur when there is a divergence between a Faculty Member's private interests and professional service to the University. The goal of the University is to establish boundaries within which conflicts of interest are tolerable and beyond which they are intolerable; processes for review of actual and apparent conflicts of interest; and appropriate mechanisms for management of tolerable conflicts of interest.

Reason for Policy/Purpose

This Policy is designed to assist faculty and investigators and the University in the identification of potential and actual conflicts of interest and to support compliance with applicable government regulations. For purposes of this Policy, the terms "Faculty" and "Faculty Member" mean those individuals defined in the Faculty Code, pages 1 and 2, section I, subsection B, items 1, 3, and 4, and the term Investigator refers to any person responsible for the design, conduct or reporting of externally sponsored University research, including without limitation Research Scientists, Senior Research Scientists and Lead Research Scientists.

Who Needs to Know This Policy

Faculty and investigators

Table of Contents Page

Policy/Procedures

I. GENERAL STATEMENT

A. Purpose and scope of policy.

This Policy is designed to assist faculty and the University in the identification of potential and actual conflicts of interest and to support compliance with applicable government regulations. For purposes of this Policy, the terms "Faculty" and "Faculty Member" mean those individuals defined in the Faculty Code, pages 1 and 2, section I, subsection B, items 1, 3, and 4, and the term Investigator refers to any person responsible for the design, conduct or reporting of externally sponsored University research, including without limitation Research Scientists, Senior Research Scientists and Lead Research Scientists.

B. Underlying principles.

The Faculty Code states, "faculty shall have a primary responsibility of devoting their time, thought, and energy to service of the University." Of no less importance is a Faculty Member's responsibility to further his or her own professional development and the goals of his or her professional discipline. Normally a Faculty Member's participation in activities of governmental, industrial, and professional institutions is consistent with academic interests of the University and the Faculty Member.

Conflicts of interest may occur when there is a divergence between a Faculty Member's private interests and professional service to the University. Conflicts of interest differ in nature and degree. The goal of any institution cannot be to eliminate all conflicts of interest. Rather it should be to establish boundaries within which conflicts of interest are tolerable and beyond which they are intolerable; processes for review of actual and apparent conflicts of interest; and appropriate mechanisms for management of tolerable conflicts of interest.

Faculty activities shall be conducted in a manner that avoids inappropriate conflicts of interest. As specifically described in Sections II and III, conflicts of interest may require review and oversight when:

1. the University is deprived of appropriate (compensated) time and effort of the Faculty Member due to external commitments (for example, when a Faculty Member exceeds the limitations of the "one-day-a-week" rule set forth in Section

II.B.; or accepts obligations that may frequently conflict with scheduled classes or other academic responsibilities);

2. substantial use is made of human and material resources of the University for non-University purposes (for example, when a Faculty Member or Investigator inappropriately uses University equipment, supplies, personnel, and other facilities and resources for activities that yield financial benefit to the Faculty Member, Investigator or a third party; or receives outside financial incentives that distort scholarly activity or the shaping of academic goals; or facilitates the erroneous impression that the University endorses or is connected to an outside activity);

3. the Faculty Member's or Investigator's extra-University financial involvements affect, or reasonably appear to have a significant potential to affect, his or her academic responsibilities, or compromise basic scholarly activity or freedom of action (for example, when a Faculty Member or Investigator hires a family member; or enters into an agreement to limit or delay the free publication, or access to the results, of sponsored research, other than according to normal University practice (as in the case of patents); or has a reportable interest in a transaction described in Section III.B.; or when a Faculty Member, Investigator or his or her immediate family member is a founder, board member or equity stakeholder in a company sponsoring the Faculty Member's or Investigator's research); or

4. the University is deprived of appropriate potential financial gain (for example, when a Faculty Member or Investigator inappropriately seeks to obtain research support in a manner that substantially undermines responsibilities of the Office of the Vice President for Research; or has an outside commitment that provides an individual or organization, other than the University, intellectual or tangible property rights, such as patent ownership or license rights, that ought to accrue to the University).

C. Nature of policy.

Because precise boundaries are difficult to establish without reference to specific facts, it is prudent to establish a flexible, not formulaic, approach based on principles of fairness and trust. Fairness is advanced by policies firm enough to provide clear guidance and consistency, yet sufficiently flexible to accommodate diversity of discipline and unique circumstance. Trust is advanced by appropriate disclosure and discussion. In light of these principles, this Policy has two essential elements: (1) Faculty are provided a mechanism to report and seek guidance concerning significant actual, potential, and apparent conflicts of interest, thus to ensure appropriate disclosure and that the interests of the Faculty Member and the University are well served. To promote fairness, all faculty are required to report, as set forth in this Policy. (2) Each school shall administer in accordance with this Policy: a procedure for annual Faculty disclosure of reportable actual, potential, and apparent conflicts of interest; disclosure by Faculty of

information pertinent to such conflicts; and a procedure for review and resolution of any lack of agreement arising from disclosure of such conflicts.

D. Obligation of University.

In its promotion and administration of research and otherwise, the University shall be sensitive to prospective conflicts of interest involving Faculty and Investigators, including, for example, with respect to (1) the independence of Faculty and Investigators to determine subjects of research and scholarship and (2) enabling Faculty and Investigators to report accurately their time and effort.

II. CONSULTING, OTHER PROFESSIONAL ACTIVITIES, AND RESEARCH SUPPORT FROM OUTSIDE ENTITIES

A. The merit of external involvements.

Increasingly, industry and government rely on university faculties for advice. Such practical contributions from higher education institutions to the nonacademic world have provided many Faculty Members the opportunity to use their knowledge and talents constructively, to strengthen their competence through a greater variety of professional experiences, to enhance the Faculty Member's and the University's scholarly reputation, and to serve the public interest.

B. "One-day-a-week" rule.

A full-time Faculty Member may spend the equivalent of up to one working day a week on average during the academic year on outside consulting and other professional activities, provided such commitments do not interfere with University obligations. Payments for such activities are negotiated by the Faculty Member directly and do not involve the University. This privilege is not extended to research Faculty Members paid wholly from research grants or contracts, or other physician Faculty Members whose University contracts preclude such activities.

C. Administration of the rule.

The department chair (or, where applicable, head of other pertinent academic unit) and the dean are responsible for ensuring compliance with this Policy and that no Faculty Member abuses this privilege. In particular, Faculty involved in private income-producing activities shall not, absent prior written approval by the Provost and Executive Vice President for Academic Affairs ("Provost and Executive Vice President"), for such purposes substantially utilize University space or resources or the services of secretaries or other University staff, provided that this Policy does not prohibit incidental use of personal office space, local telephone, library resources, and personal computer equipment.

D. Need for written sponsored-research agreements.

Before the University enters into any arrangement in which an entity outside the University provides support for research, a clearly stated written agreement should be negotiated that sets forth the Faculty Member's, the Investigator's, the University's, and the external entity's expectations. Funding amounts and other financial arrangements, realistic timetables for mutually agreed objectives, and intellectual property agreements should be in writing before work begins. If the research project involves or may potentially involve a product or service with commercial potential, that prospect must be made known to all parties in advance.

III. REPORTABLE INTERESTS

A. Reportable interests (i.e., "significant financial interests") defined.

This Section III and the disclosure requirements contained in Section IV apply only to transactions and relationships, described in Section III.B, that involve a Faculty Member,[1] Investigator or immediate family member, the University, and an outside entity. For purposes of this Policy:

- "Immediate family member" means spouse/domestic partner and dependent children.
- "Significant financial interest" means (1) any stock, stock option, or similar ownership interest in the outside entity by the Faculty Member or Investigator that, alone or together with interests of immediate family members, is valued at least at the lesser of $10,000 or five percent of the total ownership interests in the outside entity, excluding any interest arising solely by reason of investment by a mutual, pension, or other institutional investment fund over which neither the Faculty Member, Investigator nor an immediate family member exercises control; or (2) receipt, individually or collectively by a Faculty Member, Investigator and immediate family members, of, or the right or expectation to receive, income, whether in the form of a fee (e.g., consulting), salary, allowance, forbearance, forgiveness, interest in real or personal property, dividend, royalty derived from the licensing of technology or other processes or products, rent, capital gain, real or personal property, or any other form of compensation, or any combination thereof, that over the last 12 months exceeded or over the next 12 months is expected to exceed $10,000 in income of all types; or (3) that the Faculty Member, Investigator or immediate family member provides services as a principal investigator for, or holds a management position in, an outside entity.[2]

[1] Principal investigators should take the lead in identifying those individuals in their organizations who are "responsible for the design, conduct or reporting" of externally sponsored University research and therefore are Investigators potentially subject to conflict of interest disclosure requirements. Such individuals may not be limited to the PI and/or co-PI, but could include, depending on the circumstances, persons such as technicians, other staff members and unpaid lab workers.

[2] "Significant financial interest" does not include: (1) salary, royalties or other remuneration from the University; (2) income from seminars, lectures or teaching engagements sponsored by public or non-profit entities; or (3) income from service on advisory committees or review panels for public or non-profit entities.

B. Transactions covered.

Before the University enters into any transaction potentially presenting an apparent or actual conflict of interest, and annually thereafter, a Faculty Member or Investigator must submit to the school dean a written disclosure of any current or pending relationship of such Faculty Member, Investigator or immediate family member with the outside entity, the relationship of the proposed University activity to the entity, and, if desired, means by which the Faculty Member or Investigator will manage his or her University role in relation to the Faculty Member's, Investigator's or immediate family member's role or interest in the entity. The Disclosure Forms annexed to this Policy pursuant to Part IV.A.1. provide descriptions of covered transactions for which Faculty Members and Investigators must make disclosure. Some examples of such covered transactions are:

1. Gifts to the University of cash or property that will be under the control, or will directly support the teaching or research activities, of a Faculty Member or Investigator from an outside entity in which the Faculty Member, Investigator or immediate family member has a significant financial interest;

2. Sponsored-project proposals as to which the involved Faculty Member, Investigator or immediate family member has a significant financial interest in the proposed sponsor or in a proposed subcontractor, vendor or collaborator;

3. University technology-licensing arrangements with an outside entity in which the Faculty Member, Investigator or immediate family member has a significant financial interest;

4. Procurement of materials or services from an outside entity in which the Faculty Member, Investigator or immediate family member has a significant financial interest, if the Faculty Member or Investigator is personally involved in or has the ability to influence the formation or implementation of the procurement transaction; and

5. Submission to an external sponsor of an application for funding of University research in the design, conduct or reporting of which a Faculty Member or Investigator plans to participate that would reasonably appear to affect the Faculty Member's, Investigator's or immediate family member's interest in an outside entity or would reasonably appear to affect the entity's financial interests.

A Faculty Member or Investigator who seeks funding from or who works on a project funded by an external sponsor must comply with that sponsor's additional requirements, if any, related to disclosure, management, and avoidance of conflicts of interest. (See Section III.D regarding sponsored research and Appendix C regarding Public Health Service ("PHS") research proposals and awards.)

C. Ongoing and elective disclosures.

In addition to disclosures required under Section III.B., Faculty members and Investigators shall disclose to the department chair (or, where applicable, head of other pertinent academic unit) or dean on an ad hoc basis current or prospective situations that are likely to raise questions of reportable conflict of interest under this Policy, including any new reportable significant financial interests, as soon as such situations become known to the Faculty Member or Investigator. In addition, a Faculty Member or Investigator may elect to disclose voluntarily other financial benefit to the Faculty Member, Investigator or immediate family member, related to an existing or contemplated relationship between the University and an outside entity with which the Faculty Member, Investigator or immediate family member is or expects to be involved, if the Faculty Member or Investigator deems it desirable to seek review in accordance with the procedures specified in Section IV.

D. Additional reporting procedures for research.

Consistent with the requirements of external sponsors, including federal government agencies, this Policy is designed to identify potential, actual and apparent conflicts of interest and support compliance with applicable rules and regulations. A number of external organizations, in particular PHS and the National Science Foundation ("NSF"), have developed policies requiring the disclosure of financial conflicts of interest.

1. PHS requirements

Appendix C of this Policy sets forth additional requirements that apply to PHS research proposals and awards. Investigators who plan to participate in PHS-funded research or who are engaged in PHS-funded research must comply not only with this Policy but also with Appendix C.

2. NSF requirements

Under NSF rules,[3] a Faculty Member or Investigator utilizing or seeking NSF funding has a potential conflict of interest if the Faculty Member, Investigator or his/her immediate family member has a "significant financial interest" (as defined in paragraph III.A, above) that could directly and significantly affect the design, conduct or reporting of NSF-funded research. NSF requires the University to report any conflict the University is unable to manage satisfactorily. As part of the NSF grant proposal process, the University additionally must certify that actual or potential conflicts were, or prior to funding will be, managed, reduced, or eliminated, or disclosed to NSF.

[3] NSF conflict of interest rules are incorporated into the NSF Award & Administration Guide, Ch. IV.A, "Conflict of Interest Policies," NSF Proposal and Award Policies and Procedures Guide. See Section V of this Policy for a list of resources providing information on financial conflicts of interest.

In order to manage conflicts of interest, the University may impose conditions or restrictions on itself, on the design and conduct of research, and on Faculty Members and Investigators, such as requiring:

1) public disclosure of significant financial interests;
2) monitoring of research by independent reviewers;
3) modification of the research plan;
4) disqualification from participation in all or part of the funded research;
5) divestiture of the significant financial interest; and/or
6) severance of relationships that create actual, potential or reasonably apparent conflicts of interest.

In accordance with NSF requirements, the University will maintain all records of financial disclosures made by Faculty Members and Investigators and actions taken by the University with respect to conflicts of interest for at least three years from the termination or completion of the relevant grant, and will make such records available in appropriate circumstances for inspection and review upon request by the agency.

3. Food and Drug Administration requirements

Faculty Members and Investigators also should be aware of Food and Drug Administration (FDA) regulations (21 CFR Part 54) regarding conflicts of interest, which apply to any applicant who submits a marketing application for a human drug, biological product or device, and who submits clinical studies covered by the regulation. The regulations require the disclosure of conflicts or a certification that no financial conflicts exist.

4. Other requirements

Other sponsors may have specific requirements regarding the disclosure of financial interests. For more information, contact the sponsor or the Office of the Vice President for Research.

IV. PROCEDURES FOR REVIEW

A. Review of disclosure form; management of disclosed conflicts.

1. Faculty Members and Investigators shall supply the annual and ad hoc disclosures required by Section III on the annexed Disclosure Forms, for confidential review by the Administration. Each dean shall forward to the Provost and Executive Vice President a copy of each Disclosure Form submitted by a Faculty Member or Investigator, any related material submitted by a Faculty Member or Investigator, and the dean's recommendation for action.

2. If the dean, with the concurrence of the Provost and Executive Vice President, determines that the conduct disclosed is permissible under this Policy, the Faculty Member or Investigator shall be so informed in writing. Guidance on types of

conduct approved shall be provided the Faculty from time to time, without identifying Faculty Members or Investigators who received approval.

3. If the dean or the Provost and Executive Vice President determines that the conduct may present an actual conflict of interest, or reasonably appears to present a significant potential for such a conflict of interest, within the scope of this Policy, conditions or restrictions to manage or prohibit the conflict, agreeable to the Provost and Executive Vice President, may be imposed. Such conditions or restrictions may include, but are not limited to: Public disclosure of significant financial interests; monitoring of research by independent reviewers; modification of the research plan; disqualification from participation in all or part of an externally funded research project; divestiture of significant financial interests; and severance of relationships that create actual or reasonably apparent conflicts of interest.

4. It is not the object of this Policy to discourage outside activities by Faculty and Investigators that present no actual or reasonably apparent conflict of interest within the scope of this Policy. Instead, the review process is designed to allow Faculty Members and Investigators to undertake permissible activities without concern about later criticism, to provide the University accurate information about those Faculty and Investigator activities, and to be fair to all involved.

B. Procedures for resolving disputes about conflicts.

1. If a dean learns from a Faculty Member, Investigator or otherwise of conduct the dean believes presents a significant question under this Policy, the dean should discuss the conduct with the Faculty Member or Investigator; shall relate his or her findings to the Provost and Executive Vice President, and subject to the concurrence of the Provost and Executive Vice President shall advise the Faculty Member or Investigator whether (a) the conduct is permissible under this Policy without conditions or restrictions; (b) may be undertaken subject to conditions or restrictions as described in Section A.3 above; (c) or should cease, subject to further review. If the dean or Provost and Executive Vice President determines that conditions or restrictions should be imposed, the Faculty Member or Investigator shall, as the case may be, cease the conduct, accept the conditions or restrictions agreeable to the Provost and Executive Vice President, or seek review of the matter by the school's Conflicts Consultation Committee.

2. Any member of the University community ("Complainant") may bring directly to the attention of a school's Committee a probative and not frivolous matter alleged to be reportable under this Policy. A Faculty Member or Investigator whose activity has been questioned shall be entitled to know the identity of the person or persons bringing such allegations to the Committee and the full extent of the allegations.

3. A school's Conflicts Consultation Committee, unless otherwise authorized

by the Provost and Executive Vice President, shall be composed of at least five Faculty Members of the school, elected, ordinarily annually, by the Faculty of the school. The Committee's function shall be to conduct a hearing if necessary, to make written findings about any disputed facts, and to write a reasoned recommendation as to whether the conduct entails a reportable conflict of interest under this Policy and whether the conduct may be undertaken subject to conditions or restrictions.

4. The dean, the Provost and Executive Vice President, the Complainant, the Faculty Member or the Investigator may consult a member of the Conflicts Consultation Committee informally, with that member's consent, before the matter is referred to it, to discuss whether a given activity would entail a reportable conflict of interest under this Policy and/or what if any conditions or restrictions would be appropriate, but no such informal advice should bind any party to the process described above. The Committee member who has provided such consultation shall not participate in the hearing or decision.

5. The Provost and Executive Vice President shall review the Committee's recommendation, confer with the Dean, and render a formal decision.

6. A Faculty Member or Investigator dissatisfied with the Provost and Executive Vice President's decision may appeal it to the University Conflicts Resolution Panel ("Panel"), which shall be composed of five Faculty Members nominated by the Faculty Senate Executive Committee in consultation with the Provost and Executive Vice President and elected by the Faculty Senate. Members of the Panel shall ordinarily serve for staggered three-year terms.

7. The Panel shall be bound by the factual findings of the school Conflicts Consultation Committee unless in the judgment of the Panel the school Committee clearly failed to consider important facts submitted to it. Ordinarily there should be no need for a hearing before the University Panel and no augmenting of the factual record.

8. A member of the Panel from the school from whose Committee the appeal is taken may not participate in the appeal. No informal or other ex parte communication with members of the Panel shall be permitted as to a matter that has been or may be brought before the Panel.

9. The Panel shall render its report to the affected Faculty Member or Investigator, the dean, and the Provost and Executive Vice President. The conclusion of the Panel shall be forwarded to the Administration for final disposition.

10. To the extent that conduct of Faculty or Investigators who are identified in Section I.D.1. is ultimately determined to be impermissible under this Policy, the Provost and Executive Vice President (or other supervisors, for Investigators)

may impose sanctions not inconsistent with the substantive and procedural requirements of the Faculty Code (or other applicable procedures).

11. A Faculty Member or Investigator whose conduct has been ultimately determined to be permissible under this Policy shall be insulated from school or University sanction for that conduct. However, another Faculty Member or Investigator may not rely on an approval that addressed a different Faculty Member's or Investigator's conduct, as it may have been based on unique circumstances.

Website Addresses for This Policy

GW University Policies

Contacts

Subject	Contact	Telephone
Conflicts of Interest and Commitment	Office of the Provost and Executive Vice President for Academic Affairs	202-994-6510
Sponsored Research Requirements	Office of the Vice President for Research	202-994-6255

Related Information

RESOURCES FOR INFORMATION ON FINANCIAL CONFLICTS OF INTEREST

NSF home page:
www.nsf.gov

NSF "Award & Administration Guide, Chapter IV – Grantee Standards":
http://www.nsf.gov/publications/pub_summ.jsp?ods_key=aag

FDA home page:
www.fda.gov

FDA "IDE Financial Disclosure":
http://www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/HowtoMarketYourDevice/InvestigationalDeviceExemptionIDE/ucm051337.htm

DHHS final guidance "Financial Relationships and Interests in Research Involving Human Subjects: Guidance for Human Subject Protection":
http://www.hhs.gov/ohrp/policy/fguid.pdf

National Bioethics Advisory Committee publication: "Ethical and Policy Issues in Research Involving Human Participants":
http://bioethics.georgetown.edu/nbac/pubs.html

Association of American Medical Colleges and Association of American Universities report "Protecting Patients, Preserving Integrity, Advancing Health – Accelerating the Implementation of COI Policies in Human Subjects Research":
https://www.aamc.org/advocacy/research/coi/

Council on Governmental Relations, "Recognizing and Managing Personal Financial Conflicts of Interest" (2002) (available in hard copy from the University Office of the Vice President for Research)
http://www.cogr.edu/Pubs_Conflicts.cfm

See Appendix C for resources regarding conflicts of interest in PHS-funded research.

Appendices

Appendix A Annual Faculty Member and Investigator Financial Interest Disclosure Form
Appendix B Proposal-Specific Investigator Financial Interest Disclosure Form
Appendix C Additional Requirements for PHS Research Proposals and Awards

Who Approved This Policy

The George Washington University Board of Trustees
Faculty Senate of The George Washington University
Steven Lerman, Provost and Executive Vice President for Academic Affairs
Beth Nolan, Senior Vice President and General Counsel
Leo Chalupa, Vice President for Research

History/Revision Dates

Origination Date: **February 13, 1998**

Originally adopted by the George Washington University Board of Trustees February 13, 1998.

Last Amended Date: **March 31, 2005**

Revisions approved by the Faculty Senate of The George Washington University February 13, 2004, and by the George Washington University Board of Trustees May 14, 2004.

Revisions approved by the Faculty Senate of The George Washington University January 21, 2005, and by The George Washington University Board of Trustees February 11, 2005.

Next Review Date: **April 30, 2012**

Appendix C

Additional Requirements for PHS Research Proposals and Awards

This Appendix C to the Policy sets forth certain requirements that apply to PHS research proposals and awards (including grants, cooperative agreements, and contracts).[4] These requirements supplement any Investigator or University obligations under the Policy itself. To the extent of any conflict between a provision of the Policy and a provision of this Appendix C, the provision of this Appendix C shall govern.

Definitions

For purposes of this Appendix C, the following definitions apply.

"Institutional Responsibilities" means an Investigator's professional responsibilities on behalf of the University, which may include for example: activities such as research, research consultation, teaching, professional practice, University committee memberships, and service on panels such as Institutional Review Boards or data and safety monitoring boards.

"Investigator" means the project director or principal Investigator and any other person, regardless of title or position, who is responsible for the design, conduct or reporting of research funded by PHS, or proposed for funding by PHS, which may include, for example, consultants or collaborators.

"PHS Awarding Component" means the organizational unit within PHS that funds the research that is subject to this Appendix C.

"Research" means a systematic investigation, study, or experiment designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social-sciences research. The term encompasses basic and applied research (*e.g.*, a published article, book or book chapter) and product development (*e.g.*, a diagnostic test or drug). The term includes any such activity for which research funding is available from a PHS Awarding Component through a grant, cooperative agreement, or contract, whether authorized under the PHS Act or other statutory authority, such as a research grant, career development award, center grant, individual fellowship award, infrastructure award, institutional training grant, program project, or research resources award.

"Significant Financial Interest"[5] means, in addition to the interests described in Section III.A of the Policy, a financial interest[6] consisting of one or more of the following interests of the

[4] See 42 CFR Part 50, Subpart F, "Promoting Objectivity in Research," and 45 CFR Part 94, "Responsible Prospective Contractors." Appendix C does not apply to Small Business Innovation Research Program (including Small Business Technology Transfer Program) Phase I applications.

[5] Nothing in this Appendix C imposes an obligation beyond that required by the Policy to disclose the following types of financial interests: (1) salary, royalties, or other remuneration paid by the University to the Investigator if the Investigator is currently employed or otherwise appointed by the University, including intellectual property rights assigned to the University and agreements to share in royalties related to such rights; (2) income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly

Investigator (and those of the Investigator's spouse/domestic partner and dependent children) that reasonably appears to be related to the Investigator's Institutional Responsibilities:

(a) With regard to any *publicly traded entity*, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds $5,000. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (*e.g.*, consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;

(b) With regard to any *non-publicly traded entity*, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds $5,000, or when the Investigator (or the Investigator's spouse/domestic partner or dependent children) holds any equity interest (*e.g.*, stock, stock option, or other ownership interest);

(c) Intellectual property rights and interests (*e.g.*, patents, copyrights), upon receipt of income related to such rights and interests; or

(d) the occurrence of any reimbursed or sponsored travel.[7]

Financial Disclosures by Investigators

In addition to the disclosure obligations set forth in Section III.B and C of the Policy, each Investigator planning to participate in PHS-funded research must disclose to the dean or the dean's designee the Investigator's Significant Financial Interests (and those of the Investigator's spouse/domestic partner and dependent children) no later than the time of application for the PHS-funded research.

Each Investigator participating in PHS-funded research must update his or her disclosure annually during the period of the award to reflect any information not disclosed initially or updates to any previously-disclosed Significant Financial Interests (e.g., the updated value of previously disclosed equity interests). Investigators are also required to report a new Significant Financial Interest within 30 days of discovering or acquiring the interest.

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control the investment decisions made in these vehicles; (3) income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education; (4) income from service on advisory committees or review panels for a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education; or (5) travel that is reimbursed or sponsored by a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

[6] A financial interest is anything of monetary value, whether or not the value is readily ascertainable.

[7] Sponsored travel means travel that is paid on behalf of the Investigator and not reimbursed to the Investigator (so that the exact monetary amount may not be readily determined). The disclosure of reimbursed or sponsored travel must include, at a minimum, the purpose of the trip, the identity of the sponsor/organization, the destination, and the duration.

Review and Management of Financial Disclosures

Investigators' disclosures of Significant Financial Interests under this Appendix C must be reviewed by the dean or the dean's designee. Such review shall include a determination of whether an Investigator's Significant Financial Interest is related to a PHS-funded research project at the University and, if so, whether the Significant Financial Interest constitutes a financial conflict of interest.

An Investigator's Significant Financial Interest is related to PHS-funded research when (a) the Significant Financial Interest could be affected by the PHS-funded research or (b) the Significant Financial Interest is in an entity whose financial interest could be affected by the research.

A financial conflict of interest exists when an Investigator's Significant Financial Interest could directly and significantly affect the design, conduct, or reporting of PHS-funded research. The University will take such actions as are necessary to manage financial conflicts of interest in PHS-funded research, including, prior to the expenditure of PHS award funds, development and implementation of a management plan that specifies the actions that have been or will be taken to manage, reduce or eliminate the financial conflict of interest.[8] Management plans must be approved by the dean (or designee) and the Provost and Executive Vice President.

Whenever, in the course of an ongoing PHS-funded research project, a Significant Financial Interest is disclosed by a new Investigator or an existing Investigator discloses a Significant Financial Interest not previously reported**,** or it comes to the attention of University officials that a Significant Financial Interest related to the PHS-funded research was not disclosed in a timely manner by an Investigator, the interest shall be reviewed within 60 days and a decision shall be made as to whether the Significant Financial Interest constitutes a financial conflict of interest. If the University determines that a financial conflict of interest exists, the University shall implement, on at least an interim basis, a management plan that shall specify the actions that have been, or will be taken, to manage the Financial Conflict of Interest.

Financial Conflict of Interest Reports by the University

Prior to the expenditure of any funds under a PHS-funded research award, the University is required to submit to the PHS Awarding Component a financial conflict of interest report ("Report") regarding any Significant Financial Interests related to the PHS-funded research that the University finds to be conflicting and implement a management plan as set forth in this Appendix C. In addition, during the course of a PHS-funded research project, the University will provide the PHS Awarding Component with a Report, and implement a management plan,

[8] Examples of management strategies include but are not limited to: (i) Public disclosure of financial conflicts of interest (*e.g.*, when presenting or publishing the research); (ii) For research projects involving human subjects research, disclosure of financial conflicts of interest directly to participants; (iii) Appointment of an independent monitor capable of taking measures to protect the design, conduct, and reporting of the research against bias resulting from the financial conflict of interest; (iv) Modification of the research plan; (v) Change of personnel or personnel responsibilities, or disqualification of personnel from participation in all or a portion of the research; (vi) Reduction or elimination of the financial interest (*e.g.*, sale of an equity interest); or (vii) Severance of relationships that create financial conflicts.

within 60 days of identifying any Significant Financial Interest that the University identifies as conflicting subsequent to its initial Report.[9]

For any financial conflict of interest previously reported by the University to PHS, the University shall provide updated Reports annually for the duration of the PHS-funded research project (including extensions with or without funds) in the time and manner specified by the PHS Awarding Component.

Any required Reports shall be submitted to the PHS Awarding Component by the Office of the Vice President for Research.

Retrospective Reviews

If the University identifies a Significant Financial Interest that was not disclosed timely by the Investigator or, for whatever reason, was not previously reviewed by the University during an ongoing PHS-funded research project (e.g., was not timely reviewed or reported by a subrecipient), the University shall, within sixty days: review the Significant Financial Interest, determine whether it is related to PHS-funded research, determine whether a financial conflict of interest exists, and if so, implement, on at least an interim basis, a management plan that shall specify the actions that have been, and will be, taken to manage such financial conflict of interest going forward.

In addition, whenever a financial conflict of interest in PHS-funded research is not identified or managed in a timely manner, the University must, within 120 days of the determination of noncompliance, complete a retrospective review of the Investigator's activities and the PHS-funded research project to determine whether any PHS-funded research, or portion thereof, conducted during the time period of noncompliance, was biased in the design, conduct, or reporting of such research. The University is required to document the review in accordance with PHS requirements.

Based on the results of the retrospective review, the University will, if appropriate, update the previously submitted Reports affected by the review, specifying the actions that will be taken to manage the financial conflict of interest going forward. If the retrospective review determines that the research was biased in its design, conduct or reporting, the University, through the Office of the Vice President for Research, will promptly notify and submit a mitigation report to PHS.

Furthermore, in any case in which the U.S. Department of Health and Human Services determines that a PHS-funded project of clinical research evaluating the safety or effectiveness of a drug, medical device or treatment has been designed, conducted or reported by an Investigator with a conflicting interest that was not managed or reported by the University as required by this Appendix C, the University shall require the Investigator to disclose the conflicting interest in each public presentation of the results of the research and to request an addendum to previously published presentations.

[9] The University is not required to submit a financial conflict of interest report to PHS if it identifies and eliminates a financial conflict of interest prior to the expenditure of PHS-awarded funds.

Maintenance and Disclosure of Records

In accordance with PHS requirements, the University must maintain records relating to all financial disclosures made by Investigators engaged in PHS-funded research, as well as the University's review of, and response to, such disclosures (whether or not a disclosure resulted in the University's determination of a financial conflict of interest) and all actions taken under the Policy and this Appendix C (including any retrospective review, if applicable) for at least three years from submission of the final expenditures report for a grant or cooperative agreement and three years after final payment for a contract, or for such longer periods as prescribed in applicable regulations, and will make such records available in appropriate circumstances for inspection and review upon request by duly authorized agencies.

In addition, the University, through the Office of the Provost and Executive Vice President, will provide a written response to a requestor within five business days of a request for information concerning a Significant Financial Interest held by a Project Director/Principal Investigator and any other person identified by the University to PHS as senior/key personnel if the University has determined that the Significant Financial Interest constitutes a financial conflict of interest in PHS-funded research.

Subgrantees, Contractors, and Collaborators

If the University carries out PHS-funded research through a subrecipient (e.g., subgrantees, contractors, or collaborators), the University, through the Office of the Vice President for Research, will include in its written agreement with the subrecipient a statement as to whether the financial conflicts of interest policy of the University or that of the subrecipient applies to the subrecipient's Investigators.

If the subrecipient's financial conflicts of interest policy applies to subrecipient Investigators, the subrecipient shall certify as part of the agreement that its policy complies with the PHS regulations. If the subrecipient cannot make such a certification, the University's policy and this Appendix C will apply to subrecipient Investigators to the extent necessary for compliance with the PHS regulations.

If the subrecipient's financial conflict of interest policy applies, the University, through the Office of the Vice President for Research, will include in the subrecipient agreement time periods for the subrecipient to report all identified financial conflicts of interests to the University. Such time periods must provide the University with sufficient time to review the reports and make timely reports to PHS, as necessary.

If subrecipient Investigators are subject to the University's policy, the subrecipient agreement will specify time periods for the subrecipient to submit subrecipient Investigators' disclosures of Significant Financial Interests to the University so that the University has sufficient time to review the disclosures and comply timely with its review, management, and reporting obligations under this Policy.

Notification to PHS

The University, through the Office of the Vice President for Research, will promptly notify the PHS Awarding Component if failure of an Investigator to comply with the Policy or this Appendix C or with a management plan provided for hereunder has biased the design, conduct or reporting of PHS-funded research.

Training

Investigators engaged in PHS-funded research are required to complete training regarding their responsibilities under the Policy and this Appendix C prior to engaging in any PHS-funded research project and at least every four years. Investigators must complete such training immediately if they are new to the University, if the University revises the Policy, Appendix C, or its conflict of interest procedures in a manner that affects the requirements of Investigators, or if the University finds that the Investigator is not in compliance with the Policy or this Appendix C or a management plan adopted thereunder.

Resources

NIH home page:
www.nih.gov

NIH conflict of interest requirements:
http://www.grants.nih.gov/grants/policy/coi/

NIH list of conflict of interest information resources available on the Web:
http://grants1.nih.gov/grants/policy/coi/resources.htm

THE GEORGE WASHINGTON UNIVERSITY
WASHINGTON DC

Responsible University Official: Provost and Executive Vice President for Academic Affairs
Responsible Office: Office of the Provost and Executive Vice President for Academic Affairs

POLICY ON CONFLICTS OF INTEREST AND COMMITMENT FOR FACULTY AND INVESTIGATORS

Policy Statement

Faculty and investigator activities shall be conducted in a manner that avoids inappropriate conflicts of interest and commitment. Conflicts of interest may occur when there is a divergence between a Faculty Member's private interests and professional service to the University. The goal of the University is to establish boundaries within which conflicts of interest are tolerable and beyond which they are intolerable; processes for review of actual and apparent conflicts of interest; and appropriate mechanisms for management of tolerable conflicts of interest.

Reason for Policy/Purpose

This Policy is designed to assist faculty and investigators and the University in the identification of potential and actual conflicts of interest and to support compliance with applicable government regulations. For purposes of this Policy, the terms "Faculty" and "Faculty Member" mean those individuals defined in the Faculty Code, pages 1 and 2, section I, subsection B, items 1, 3, and 4, and the term Investigator refers to any person responsible for the design, conduct or reporting of externally sponsored University research, including without limitation Research Scientists, Senior Research Scientists and Lead Research Scientists.

Who Needs to Know This Policy

Faculty and investigators

Table of Contents Page

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POLICY ON CONFLICTS OF INTEREST AND COMMITMENT
FOR FACULTY AND INVESTIGATORS

Policy/Procedures

I. GENERAL STATEMENT

A. Purpose and scope of policy.

This Policy is designed to assist faculty and the University in the identification of potential and actual conflicts of interest and to support compliance with applicable government regulations. For purposes of this Policy, the terms "Faculty" and "Faculty Member" mean those individuals defined in the Faculty Code, pages 1 and 2, section I, subsection B, items 1, 3, and 4, and the term Investigator refers to any person responsible for the design, conduct or reporting of externally sponsored University research, including without limitation Research Scientists, Senior Research Scientists and Lead Research Scientists.

B. Underlying principles.

The Faculty Code states, "faculty shall have a primary responsibility of devoting their time, thought, and energy to service of the University." Of no less importance is a Faculty Member's responsibility to further his or her own professional development and the goals of his or her professional discipline. Normally a Faculty Member's participation in activities of governmental, industrial, and professional institutions is consistent with academic interests of the University and the Faculty Member.

Conflicts of interest may occur when there is a divergence between a Faculty Member's private interests and professional service to the University. Conflicts of interest differ in nature and degree. The goal of any institution cannot be to eliminate all conflicts of interest. Rather it should be to establish boundaries within which conflicts of interest are tolerable and beyond which they are intolerable; processes for review of actual and apparent conflicts of interest; and appropriate mechanisms for management of tolerable conflicts of interest.

Faculty activities shall be conducted in a manner that avoids inappropriate conflicts of interest. As specifically described in Sections II and III, conflicts of interest may require review and oversight when:

1. the University is deprived of appropriate (compensated) time and effort of the Faculty Member due to external commitments (for example, when a Faculty Member exceeds the limitations of the "one-day-a-week" rule set forth in Section

II.B.; or accepts obligations that may frequently conflict with scheduled classes or other academic responsibilities);

2. substantial use is made of human and material resources of the University for non-University purposes (for example, when a Faculty Member or Investigator inappropriately uses University equipment, supplies, personnel, and other facilities and resources for activities that yield financial benefit to the Faculty Member, Investigator or a third party; or receives outside financial incentives that distort scholarly activity or the shaping of academic goals; or facilitates the erroneous impression that the University endorses or is connected to an outside activity);

3. the Faculty Member's or Investigator's extra-University financial involvements affect, or reasonably appear to have a significant potential to affect, his or her academic responsibilities, or compromise basic scholarly activity or freedom of action (for example, when a Faculty Member or Investigator hires a family member; or enters into an agreement to limit or delay the free publication, or access to the results, of sponsored research, other than according to normal University practice (as in the case of patents); or has a reportable interest in a transaction described in Section III.B.; or when a Faculty Member, Investigator or his or her immediate family member is a founder, board member or equity stakeholder in a company sponsoring the Faculty Member's or Investigator's research); or

4. the University is deprived of appropriate potential financial gain (for example, when a Faculty Member or Investigator inappropriately seeks to obtain research support in a manner that substantially undermines responsibilities of the Office of the Vice President for Research ~~Services~~; or has an outside commitment that provides an individual or organization, other than the University, intellectual or tangible property rights, such as patent ownership or license rights, that ought to accrue to the University).

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C. Nature of policy.

Because precise boundaries are difficult to establish without reference to specific facts, it is prudent to establish a flexible, not formulaic, approach based on principles of fairness and trust. Fairness is advanced by policies firm enough to provide clear guidance and consistency, yet sufficiently flexible to accommodate diversity of discipline and unique circumstance. Trust is advanced by appropriate disclosure and discussion. In light of these principles, this Policy has two essential elements: (1) Faculty are provided a mechanism to report and seek guidance concerning significant actual, potential, and apparent conflicts of interest, thus to ensure appropriate disclosure and that the interests of the Faculty Member and the University are well served. To promote fairness, all faculty are required to report, as set forth in this Policy. (2) Each school shall administer in accordance with this Policy: a procedure for annual Faculty disclosure of reportable actual, potential, and apparent conflicts of interest; disclosure by Faculty of

information pertinent to such conflicts; and a procedure for review and resolution of any lack of agreement arising from disclosure of such conflicts.

D. Obligation of University.

In its promotion and administration of research and otherwise, the University shall be sensitive to prospective conflicts of interest involving Faculty and Investigators, including, for example, with respect to (1) the independence of Faculty and Investigators to determine subjects of research and scholarship and (2) enabling Faculty and Investigators to report accurately their time and effort.

II. CONSULTING, OTHER PROFESSIONAL ACTIVITIES, AND RESEARCH SUPPORT FROM OUTSIDE ENTITIES

A. The merit of external involvements.

Increasingly, industry and government rely on university faculties for advice. Such practical contributions from higher education institutions to the nonacademic world have provided many Faculty Members the opportunity to use their knowledge and talents constructively, to strengthen their competence through a greater variety of professional experiences, to enhance the Faculty Member's and the University's scholarly reputation, and to serve the public interest.

B. "One-day-a-week" rule.

A full-time Faculty Member may spend the equivalent of up to one working day a week on average during the academic year on outside consulting and other professional activities, provided such commitments do not interfere with University obligations. Payments for such activities are negotiated by the Faculty Member directly and do not involve the University. This privilege is not extended to research Faculty Members paid wholly from research grants or contracts, or other physician Faculty Members whose University contracts preclude such activities.

C. Administration of the rule.

The department chair (or, where applicable, head of other pertinent academic unit) and the dean are responsible for ensuring compliance with this Policy and that no Faculty Member abuses this privilege. In particular, Faculty involved in private income-producing activities shall not, absent prior written approval by the Provost and Executive Vice President for Academic Affairs ("Provost and Executive Vice President"), for such purposes substantially utilize University space or resources or the services of secretaries or other University staff, provided that this Policy does not prohibit incidental use of personal office space, local telephone, library resources, and personal computer equipment.

D. Need for written sponsored-research agreements.

Before the University enters into any arrangement in which an entity outside the University provides support for research, a clearly stated written agreement should be negotiated that sets forth the Faculty Member's, the Investigator's, the University's, and the external entity's expectations. Funding amounts and other financial arrangements, realistic timetables for mutually agreed objectives, and intellectual property agreements should be in writing before work begins. If the research project involves or may potentially involve a product or service with commercial potential, that prospect must be made known to all parties in advance.

III. REPORTABLE INTERESTS

A. Reportable interests (i.e., "significant financial interests") defined.

This Section III and the disclosure requirements contained in Section IV apply only to transactions and relationships, described in Section III.B, that involve a Faculty Member,[1] Investigator or immediate family member, the University, and an outside entity. For purposes of this Policy:

- "Immediate family member" means spouse/domestic partner and dependent children.
- "Significant financial interest" means (1) any stock, stock option, or similar ownership interest in the outside entity by the Faculty Member or Investigator that, alone or together with interests of immediate family members, is valued at least at the lesser of $10,000 or five percent of the total ownership interests in the outside entity, excluding any interest arising solely by reason of investment by a mutual, pension, or other institutional investment fund over which neither the Faculty Member, Investigator nor an immediate family member exercises control; or (2) receipt, individually or collectively by a Faculty Member, Investigator and immediate family members, of, or the right or expectation to receive, income, whether in the form of a fee (e.g., consulting), salary, allowance, forbearance, forgiveness, interest in real or personal property, dividend, royalty derived from the licensing of technology or other processes or products, rent, capital gain, real or personal property, or any other form of compensation, or any combination thereof, that over the last 12 months exceeded or over the next 12 months is expected to exceed $10,000 in income of all types; or (3) that the Faculty Member,

[1] Principal investigators should take the lead in identifying those individuals in their organizations who are "responsible for the design, conduct or reporting" of externally sponsored University research and therefore are Investigators potentially subject to conflict of interest disclosure requirements. Such individuals may not be limited to the PI and/or co-PI, but could include, depending on the circumstances, persons such as technicians, other staff members and unpaid lab workers.

Investigator or immediate family member provides services as a principal investigator for, or holds a management position in, an outside entity.[2]

B. Transactions covered.

Before the University enters into any transaction potentially presenting an apparent or actual conflict of interest, and annually thereafter, a Faculty Member or Investigator must submit to the school dean a written disclosure of any current or pending relationship of such Faculty Member, Investigator or immediate family member with the outside entity, the relationship of the proposed University activity to the entity, and, if desired, means by which the Faculty Member or Investigator will manage his or her University role in relation to the Faculty Member's, Investigator's or immediate family member's role or interest in the entity. The Disclosure Forms annexed to this Policy pursuant to Part IV.A.1. provide descriptions of covered transactions for which Faculty Members and Investigators must make disclosure. Some examples of such covered transactions are:

1. Gifts to the University of cash or property that will be under the control, or will directly support the teaching or research activities, of a Faculty Member or Investigator from an outside entity in which the Faculty Member, Investigator or immediate family member has a significant financial interest;

2. Sponsored-project proposals as to which the involved Faculty Member, Investigator or immediate family member has a significant financial interest in the proposed sponsor or in a proposed subcontractor, vendor or collaborator;

3. University technology-licensing arrangements with an outside entity in which the Faculty Member, Investigator or immediate family member has a significant financial interest;

4. Procurement of materials or services from an outside entity in which the Faculty Member, Investigator or immediate family member has a significant financial interest, if the Faculty Member or Investigator is personally involved in or has the ability to influence the formation or implementation of the procurement transaction; and

5. Submission to an external sponsor of an application for funding of University research in the design, conduct or reporting of which a Faculty Member or Investigator plans to participate that would reasonably appear to affect the Faculty Member's, Investigator's or immediate family member's interest in an outside entity or would reasonably appear to affect the entity's financial interests.

[2] "Significant financial interest" does not include: (1) salary, royalties or other remuneration from the University; (2) income from seminars, lectures or teaching engagements sponsored by public or non-profit entities; or (3) income from service on advisory committees or review panels for public or non-profit entities.

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A Faculty Member or Investigator who seeks funding from or who works on a project funded by an external sponsor must comply with that sponsor's additional requirements, if any, related to disclosure, management, and avoidance of conflicts of interest. (See Section III.D regarding sponsored research and Appendix C regarding Public Health Service ("PHS") research proposals and awards.)

C. Ongoing and elective disclosures.

In addition to disclosures required under Section III.B., Faculty members and Investigators shall disclose to the department chair (or, where applicable, head of other pertinent academic unit) or dean on an ad hoc basis current or prospective situations that are likely to raise questions of reportable conflict of interest under this Policy, including any new reportable significant financial interests, as soon as such situations become known to the Faculty Member or Investigator. In addition, a Faculty Member or Investigator may elect to disclose voluntarily other financial benefit to the Faculty Member, Investigator or immediate family member, related to an existing or contemplated relationship between the University and an outside entity with which the Faculty Member, Investigator or immediate family member is or expects to be involved, if the Faculty Member or Investigator deems it desirable to seek review in accordance with the procedures specified in Section IV.

D. Additional reporting procedures for research.

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Consistent with the requirements of external sponsors, including federal government agencies, this Policy is designed to identify potential, actual and apparent conflicts of interest and support compliance with applicable rules and regulations. A number of external organizations, in particular ~~the Public Health Service~~PHS and the National Science Foundation~~,~~ ("NSF"), have developed policies requiring the disclosure of financial conflicts of interest.

1. PHS requirements

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Appendix C of this Policy sets forth additional requirements that apply to PHS research proposals and awards. Investigators who plan to participate in PHS-funded research or who are engaged in PHS-funded research must comply not only with this Policy but also with Appendix C.

2. NSF requirements

Under ~~PHS and~~ NSF rules ~~and regulations~~,[3] a Faculty Member or Investigator utilizing or seeking ~~PHS or~~ NSF funding has a potential conflict of interest if the Faculty Member,

[3] ~~See PHS 42 CFR Part 50, Subpart F, "Responsibility of Applicants for Promoting Objectivity in Research for Which PHS Funding is Sought," and PHS 45 CFR Part 94, "Responsible Prospective Contractors." PHS excludes Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Program Phase I applications from its regulations.~~ NSF conflict of interest rules are incorporated into the NSF ~~Grant Policy Manual~~Award & Administration

Investigator or his/her immediate family member has a "significant financial interest" (as defined in paragraph III.A, above) that could directly and significantly affect the design, conduct or reporting of ~~the PHS- or NSF-funded research.[4] The University is required to report to PHS, prior to the expenditure of any funds under a PHS award, the existence (but not the nature) of any conflict and to assure PHS that the conflict has been managed, reduced or eliminated. For conflicting interests identified subsequent to the University's initial report under a PHS award, the University is obligated to report the conflict and manage, reduce or eliminate it, at least on an interim basis, within 60 days of its identification. NSF also~~NSF-funded research. NSF requires the University to report any conflict the University is unable to manage satisfactorily. As part of the NSF grant proposal process, the University additionally must certify that actual or potential conflicts were, or prior to funding will be, managed, reduced, or eliminated, or disclosed to NSF.

In order to manage conflicts of interest, the University may impose conditions or restrictions on itself, on the design and conduct of research, and on Faculty Members and Investigators, such as requiring:

1) public disclosure of significant financial interests;
2) monitoring of research by independent reviewers;
3) modification of the research plan;
4) disqualification from participation in all or part of the funded research;
5) divestiture of the significant financial interest; and/or
6) severance of relationships that create actual, potential or reasonably apparent conflicts of interest.

~~If a Faculty Member or Investigator fails to comply with this Policy and, as a result, has biased the design, conduct or reporting of PHS-funded research, the University will promptly notify PHS of the corrective action taken or to be taken. Furthermore, in any case where a PHS-funded project of clinical research evaluating the safety or effectiveness of a drug, medical device or treatment has been designed, conducted or reported by a Faculty Member or Investigator with a conflicting interest that was not disclosed or managed as required by this Policy, the University will require the Faculty Member or Investigator to disclose the conflicting interest in each public presentation of the results of the research, and the Faculty Member or Investigator shall do so.~~

In accordance with ~~PHS and~~ NSF requirements, the University will maintain all records of financial disclosures made by Faculty Members and Investigators and actions taken by the University with respect to conflicts of interest for at least three years from the termination or

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Guide, Ch. ~~V, Sec. 510~~IV.A, "Conflict of Interest Policies," NSF ~~Grant General Conditions and NSF Grant~~ Proposal and Award Policies and Procedures Guide. See Section V of this Policy for a list of resources providing information on financial conflicts of interest.

~~[4] PHS defines "research" as: "A systemic investigation designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social sciences research. The term encompasses basic and applied research and product development. As used in [the PHS regulations], the term includes any such activity for which research funding is available from a PHS Awarding Component through a grant or cooperative agreement, whether authorized under the PHS Act or other statutory authority."~~

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completion of the relevant grant, and will make such records available in appropriate circumstances for inspection and review upon request by ~~those agencies~~the agency.

3. ~~Furthermore, pursuant to~~ Food and Drug Administration requirements

~~PHS requirements, all subgrantees, contractors and collaborators on PHS-funded research at the University must either comply with this Policy or provide assurances to the University that enable the University to satisfy PHS regulations.~~

Faculty Members and Investigators also should be aware of Food and Drug Administration (FDA) regulations (21 CFR Part 54) regarding conflicts of interest, which apply to any applicant who submits a marketing application for a human drug, biological product or device, and who submits clinical studies covered by the regulation. The regulations require the disclosure of conflicts or a certification that no financial conflicts exist.

4. Other requirements

Other sponsors may have specific requirements regarding the disclosure of financial interests. For more information, contact the sponsor or the Office of the Vice President for Research ~~Services~~.

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IV. PROCEDURES FOR REVIEW

A. Review of disclosure form; management of disclosed conflicts.

1. Faculty Members and Investigators shall supply the annual and ad hoc disclosures required by Section III on the annexed Disclosure Forms, for confidential review by the Administration. Each dean shall forward to the Provost and Executive Vice President a copy of each Disclosure Form submitted by a Faculty Member or Investigator, any related material submitted by a Faculty Member or Investigator, and the dean's recommendation for action.

2. If the dean, with the concurrence of the Provost and Executive Vice President, determines that the conduct disclosed is permissible under this Policy, the Faculty Member or Investigator shall be so informed in writing. Guidance on types of conduct approved shall be provided the Faculty from time to time, without identifying Faculty Members or Investigators who received approval.

3. If the dean or the Provost and Executive Vice President determines that the conduct may present an actual conflict of interest, or reasonably appears to present a significant potential for such a conflict of interest, within the scope of this Policy, conditions or restrictions to manage or prohibit the conflict, agreeable to the Provost and Executive Vice President, may be imposed. Such conditions or restrictions may include, but are not limited to: Public disclosure of significant

financial interests; monitoring of research by independent reviewers; modification of the research plan; disqualification from participation in all or part of an externally funded research project; divestiture of significant financial interests; and severance of relationships that create actual or reasonably apparent conflicts of interest.

4. It is not the object of this Policy to discourage outside activities by Faculty and Investigators that present no actual or reasonably apparent conflict of interest within the scope of this Policy. Instead, the review process is designed to allow Faculty Members and Investigators to undertake permissible activities without concern about later criticism, to provide the University accurate information about those Faculty and Investigator activities, and to be fair to all involved.

B. Procedures for resolving disputes about conflicts.

1. If a dean learns from a Faculty Member, Investigator or otherwise of conduct the dean believes presents a significant question under this Policy, the dean should discuss the conduct with the Faculty Member or Investigator; shall relate his or her findings to the Provost and Executive Vice President, and subject to the concurrence of the Provost and Executive Vice President shall advise the Faculty Member or Investigator whether (a) the conduct is permissible under this Policy without conditions or restrictions; (b) may be undertaken subject to conditions or restrictions as described in Section A.3 above; (c) or should cease, subject to further review. If the dean or Provost and Executive Vice President determines that conditions or restrictions should be imposed, the Faculty Member or Investigator shall, as the case may be, cease the conduct, accept the conditions or restrictions agreeable to the Provost and Executive Vice President, or seek review of the matter by the school's Conflicts Consultation Committee.

2. Any member of the University community ("Complainant") may bring directly to the attention of a school's Committee a probative and not frivolous matter alleged to be reportable under this Policy. A Faculty Member or Investigator whose activity has been questioned shall be entitled to know the identity of the person or persons bringing such allegations to the Committee and the full extent of the allegations.

3. A school's Conflicts Consultation Committee, unless otherwise authorized by the Provost and Executive Vice President, shall be composed of at least five Faculty Members of the school, elected, ordinarily annually, by the Faculty of the school. The Committee's function shall be to conduct a hearing if necessary, to make written findings about any disputed facts, and to write a reasoned recommendation as to whether the conduct entails a reportable conflict of interest under this Policy and whether the conduct may be undertaken subject to conditions or restrictions.

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4. The dean, the Provost and Executive Vice President, the Complainant, the Faculty Member or the Investigator may consult a member of the Conflicts Consultation Committee informally, with that member's consent, before the matter is referred to it, to discuss whether a given activity would entail a reportable conflict of interest under this Policy and/or what if any conditions or restrictions would be appropriate, but no such informal advice should bind any party to the process described above. The Committee member who has provided such consultation shall not participate in the hearing or decision.

5. The Provost and Executive Vice President shall review the Committee's recommendation, confer with the Dean, and render a formal decision.

6. A Faculty Member or Investigator dissatisfied with the Provost and Executive Vice President's decision may appeal it to the University Conflicts Resolution Panel ("Panel"), which shall be composed of five Faculty Members nominated by the Faculty Senate Executive Committee in consultation with the Provost and Executive Vice President and elected by the Faculty Senate. Members of the Panel shall ordinarily serve for staggered three-year terms.

7. The Panel shall be bound by the factual findings of the school Conflicts Consultation Committee unless in the judgment of the Panel the school Committee clearly failed to consider important facts submitted to it. Ordinarily there should be no need for a hearing before the University Panel and no augmenting of the factual record.

8. A member of the Panel from the school from whose Committee the appeal is taken may not participate in the appeal. No informal or other ex parte communication with members of the Panel shall be permitted as to a matter that has been or may be brought before the Panel.

9. The Panel shall render its report to the affected Faculty Member or Investigator, the dean, and the Provost and Executive Vice President. The conclusion of the Panel shall be forwarded to the Administration for final disposition.

10. To the extent that conduct of Faculty or Investigators who are identified in Section I.D.1. is ultimately determined to be impermissible under this Policy, the Provost and Executive Vice President (or other supervisors, for Investigators) may impose sanctions not inconsistent with the substantive and procedural requirements of the Faculty Code (or other applicable procedures).

11. A Faculty Member or Investigator whose conduct has been ultimately determined to be permissible under this Policy shall be insulated from school or University sanction for that conduct. However, another Faculty Member or Investigator may not rely on an approval that addressed a different Faculty Member's or Investigator’s conduct, as it may have been based on unique circumstances.

Website Addresses for This Policy

GW University Policies

Contacts

Subject	Contact	Telephone
Conflicts of Interest and Commitment	Office of the Provost and Executive Vice President for Academic Affairs	202-994-6510
Sponsored Research Requirements	Office of the Vice President for Research	202-994-6255

Related Information

RESOURCES FOR INFORMATION ON FINANCIAL CONFLICTS OF INTEREST

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NSF home page:
www.nsf.gov

NSF "~~Grant Policy Manual~~Award & Administration Guide, Chapter ~~V~~IV – Grantee Standards":
~~http://www.nsf.gov/pubs/manuals/gpm05_131/gpm5.jsp~~

~~Frequently asked questions concerning PHS and NSF investigator conflicts of interest~~
~~www.nih.gov/grants/policy/coifaq.htm~~

http://www.nsf.gov/publications/pub_summ.jsp?ods_key=aag

FDA home page:
www.fda.gov

FDA "~~Device Advice: IDE~~ Financial Disclosure":
~~www.fda.gov/cdrh/devadvice/ide/financial.shtml~~

~~FDA guidance "Financial Disclosure by Clinical Investigators":~~
~~www.fda.gov/oc/guidance/financialdis.html~~

http://www.fda.gov/MedicalDevices/DeviceRegulationandGuidance/HowtoMarketYourDevice/InvestigationalDeviceExemptionIDE/ucm051337.htm

DHHS ~~draft interim~~final guidance "Financial Relationships ~~in Clinical Research: Issues for Institutions, Clinical Investigators~~ and ~~IRBs to Consider When Dealing with Issues of Financial~~ Interests ~~and~~in Research Involving Human Subjects: Guidance for Human Subject Protection":
~~http://www.hhs.gov/ohrp/nhrpac/mtg12-00/finguid.htm~~http://www.hhs.gov/ohrp/policy/fguid.pdf

National Bioethics Advisory Committee publication: "Ethical and Policy Issues in Research Involving Human Participants":
http://bioethics.georgetown.edu/nbac/pubs.html

Association of American Medical Colleges ~~Task Force on Financial Conflicts of Interest in Clinical Research~~ and Association of American Universities report "Protecting ~~Subjects~~Patients, Preserving ~~Trusts, Promoting Progress – Policy and Guidelines for~~Integrity, Advancing Health – Accelerating the ~~Oversight~~Implementation of ~~Individual Financial Interests~~COI Policies in Human Subjects Research":
~~Financial Conflicts of Interest in Academic Medicine – Research – AAMC~~

~~Association of American Universities Task Force on Research Accountability "Report on Individual and Institutional Financial Conflict of Interest":~~
~~http://www.aau.edu/research/COI.01.pdf~~

https://www.aamc.org/advocacy/research/coi/

Council on Governmental Relations, "Recognizing and Managing Personal Financial Conflicts of Interest" (2002) (available in hard copy from the University Office of ~~Research Services and the Medical Center Office of Health Research, Compliance and Technology Transfer~~the Vice President for Research)
http://www.cogr.edu/Pubs_Conflicts.cfm

See Appendix C for resources regarding conflicts of interest in PHS-funded research.

Appendices

Appendix A Annual Faculty Member and Investigator Financial Interest Disclosure Form
Appendix B Proposal-Specific Investigator Financial Interest Disclosure Form
Appendix C Additional Requirements for PHS Research Proposals and Awards

Who Approved This Policy

The George Washington University Board of Trustees
Faculty Senate of The George Washington University
Steven Lerman, Provost and Executive Vice President for Academic Affairs
Beth Nolan, Senior Vice President and General Counsel
Leo Chalupa, Vice President for Research

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History/Revision Dates

POLICY ON CONFLICTS OF INTEREST AND COMMITMENT
FOR FACULTY AND INVESTIGATORS

Origination Date: **February 13, 1998**

Originally adopted by the George Washington University Board of Trustees February 13, 1998.

Last Amended Date: **March 31, 2005**

Revisions approved by the Faculty Senate of The George Washington University February 13, 2004, and by the George Washington University Board of Trustees May 14, 2004.

Revisions approved by the Faculty Senate of The George Washington University January 21, 2005, and by The George Washington University Board of Trustees February 11, 2005.

Next Review Date: **April 30, 2012**

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Appendix C

Comment [JBS1]: Appendix C is new

Additional Requirements for PHS Research Proposals and Awards

This Appendix C to the Policy sets forth certain requirements that apply to PHS research proposals and awards (including grants, cooperative agreements, and contracts).[5] These requirements supplement any Investigator or University obligations under the Policy itself. To the extent of any conflict between a provision of the Policy and a provision of this Appendix C, the provision of this Appendix C shall govern.

Definitions

For purposes of this Appendix C, the following definitions apply.

"Institutional Responsibilities" means an Investigator's professional responsibilities on behalf of the University, which may include for example: activities such as research, research consultation, teaching, professional practice, University committee memberships, and service on panels such as Institutional Review Boards or data and safety monitoring boards.

"Investigator" means the project director or principal Investigator and any other person, regardless of title or position, who is responsible for the design, conduct or reporting of research funded by PHS, or proposed for funding by PHS, which may include, for example, consultants or collaborators.

"PHS Awarding Component" means the organizational unit within PHS that funds the research that is subject to this Appendix C.

"Research" means a systematic investigation, study, or experiment designed to develop or contribute to generalizable knowledge relating broadly to public health, including behavioral and social-sciences research. The term encompasses basic and applied research (*e.g.*, a published article, book or book chapter) and product development (*e.g.*, a diagnostic test or drug). The term includes any such activity for which research funding is available from a PHS Awarding Component through a grant, cooperative agreement, or contract, whether authorized under the PHS Act or other statutory authority, such as a research grant, career development award, center grant, individual fellowship award, infrastructure award, institutional training grant, program project, or research resources award.

"Significant Financial Interest" [6] means, in addition to the interests described in Section III.A of the Policy, a financial interest[7] consisting of one or more of the following interests of the

[4] See 42 CFR Part 50, Subpart F, "Promoting Objectivity in Research," and 45 CFR Part 94, "Responsible Prospective Contractors." Appendix C does not apply to Small Business Innovation Research Program (including Small Business Technology Transfer Program) Phase I applications.

[5] Nothing in this Appendix C imposes an obligation beyond that required by the Policy to disclose the following types of financial interests: (1) salary, royalties, or other remuneration paid by the University to the Investigator if the Investigator is currently employed or otherwise appointed by the University, including intellectual property rights assigned to the University and agreements to share in royalties related to such rights; (2) income from

Investigator (and those of the Investigator's spouse/domestic partner and dependent children) that reasonably appears to be related to the Investigator's Institutional Responsibilities:

(a) With regard to any *publicly traded entity*, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds $5,000. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (*e.g.*, consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;

(b) With regard to any *non-publicly traded entity*, a Significant Financial Interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds $5,000, or when the Investigator (or the Investigator's spouse/domestic partner or dependent children) holds any equity interest (*e.g.*, stock, stock option, or other ownership interest);

(c) Intellectual property rights and interests (*e.g.*, patents, copyrights), upon receipt of income related to such rights and interests; or

(d) the occurrence of any reimbursed or sponsored travel.[8]

Financial Disclosures by Investigators

In addition to the disclosure obligations set forth in Section III.B and C of the Policy, each Investigator planning to participate in PHS-funded research must disclose to the dean or the dean's designee the Investigator's Significant Financial Interests (and those of the Investigator's spouse/domestic partner and dependent children) no later than the time of application for the PHS-funded research.

Each Investigator participating in PHS-funded research must update his or her disclosure annually during the period of the award to reflect any information not disclosed initially or updates to any previously-disclosed Significant Financial Interests (e.g., the updated value of

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investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles; (3) income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education; (4) income from service on advisory committees or review panels for a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education; or (5) travel that is reimbursed or sponsored by a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

[6] A financial interest is anything of monetary value, whether or not the value is readily ascertainable.

[7] Sponsored travel means travel that is paid on behalf of the Investigator and not reimbursed to the Investigator (so that the exact monetary amount may not be readily determined). The disclosure of reimbursed or sponsored travel must include, at a minimum, the purpose of the trip, the identity of the sponsor/organization, the destination, and the duration.

previously disclosed equity interests). Investigators are also required to report a new Significant Financial Interest within 30 days of discovering or acquiring the interest.

Review and Management of Financial Disclosures

Investigators' disclosures of Significant Financial Interests under this Appendix C must be reviewed by the dean or the dean's designee. Such review shall include a determination of whether an Investigator's Significant Financial Interest is related to a PHS-funded research project at the University and, if so, whether the Significant Financial Interest constitutes a financial conflict of interest.

An Investigator's Significant Financial Interest is related to PHS-funded research when (a) the Significant Financial Interest could be affected by the PHS-funded research or (b) the Significant Financial Interest is in an entity whose financial interest could be affected by the research.

A financial conflict of interest exists when an Investigator's Significant Financial Interest could directly and significantly affect the design, conduct, or reporting of PHS-funded research. The University will take such actions as are necessary to manage financial conflicts of interest in PHS-funded research, including, prior to the expenditure of PHS award funds, development and implementation of a management plan that specifies the actions that have been or will be taken to manage, reduce or eliminate the financial conflict of interest.[9] Management plans must be approved by the dean (or designee) and the Provost and Executive Vice President.

Whenever, in the course of an ongoing PHS-funded research project, a Significant Financial Interest is disclosed by a new Investigator or an existing Investigator discloses a Significant Financial Interest not previously reported**,** or it comes to the attention of University officials that a Significant Financial Interest related to the PHS-funded research was not disclosed in a timely manner by an Investigator, the interest shall be reviewed within 60 days and a decision shall be made as to whether the Significant Financial Interest constitutes a financial conflict of interest. If the University determines that a financial conflict of interest exists, the University shall implement, on at least an interim basis, a management plan that shall specify the actions that have been, or will be taken, to manage the Financial Conflict of Interest.

Financial Conflict of Interest Reports by the University

Prior to the expenditure of any funds under a PHS-funded research award, the University is required to submit to the PHS Awarding Component a financial conflict of interest report ("Report") regarding any Significant Financial Interests related to the PHS-funded research that

[8] Examples of management strategies include but are not limited to: (i) Public disclosure of financial conflicts of interest (*e.g.*, when presenting or publishing the research); (ii) For research projects involving human subjects research, disclosure of financial conflicts of interest directly to participants; (iii) Appointment of an independent monitor capable of taking measures to protect the design, conduct, and reporting of the research against bias resulting from the financial conflict of interest; (iv) Modification of the research plan; (v) Change of personnel or personnel responsibilities, or disqualification of personnel from participation in all or a portion of the research; (vi) Reduction or elimination of the financial interest (*e.g.*, sale of an equity interest); or (vii) Severance of relationships that create financial conflicts.

the University finds to be conflicting and implement a management plan as set forth in this Appendix C. In addition, during the course of a PHS-funded research project, the University will provide the PHS Awarding Component with a Report, and implement a management plan, within 60 days of identifying any Significant Financial Interest that the University identifies as conflicting subsequent to its initial Report.[10]

For any financial conflict of interest previously reported by the University to PHS, the University shall provide updated Reports annually for the duration of the PHS-funded research project (including extensions with or without funds) in the time and manner specified by the PHS Awarding Component.

Any required Reports shall be submitted to the PHS Awarding Component by the Office of the Vice President for Research.

Retrospective Reviews

If the University identifies a Significant Financial Interest that was not disclosed timely by the Investigator or, for whatever reason, was not previously reviewed by the University during an ongoing PHS-funded research project (e.g., was not timely reviewed or reported by a subrecipient), the University shall, within sixty days: review the Significant Financial Interest, determine whether it is related to PHS-funded research, determine whether a financial conflict of interest exists, and if so, implement, on at least an interim basis, a management plan that shall specify the actions that have been, and will be, taken to manage such financial conflict of interest going forward.

In addition, whenever a financial conflict of interest in PHS-funded research is not identified or managed in a timely manner, the University must, within 120 days of the determination of noncompliance, complete a retrospective review of the Investigator's activities and the PHS-funded research project to determine whether any PHS-funded research, or portion thereof, conducted during the time period of noncompliance, was biased in the design, conduct, or reporting of such research. The University is required to document the review in accordance with PHS requirements.

Based on the results of the retrospective review, the University will, if appropriate, update the previously submitted Reports affected by the review, specifying the actions that will be taken to manage the financial conflict of interest going forward. If the retrospective review determines that the research was biased in its design, conduct or reporting, the University, through the Office of the Vice President for Research, will promptly notify and submit a mitigation report to PHS.

Furthermore, in any case in which the U.S. Department of Health and Human Services determines that a PHS-funded project of clinical research evaluating the safety or effectiveness of a drug, medical device or treatment has been designed, conducted or reported by an Investigator with a conflicting interest that was not managed or reported by the University as

[9] The University is not required to submit a financial conflict of interest report to PHS if it identifies and eliminates a financial conflict of interest prior to the expenditure of PHS-awarded funds.

required by this Appendix C, the University shall require the Investigator to disclose the conflicting interest in each public presentation of the results of the research and to request an addendum to previously published presentations.

Maintenance and Disclosure of Records

In accordance with PHS requirements, the University must maintain records relating to all financial disclosures made by Investigators engaged in PHS-funded research, as well as the University's review of, and response to, such disclosures (whether or not a disclosure resulted in the University's determination of a financial conflict of interest) and all actions taken under the Policy and this Appendix C (including any retrospective review, if applicable) for at least three years from submission of the final expenditures report for a grant or cooperative agreement and three years after final payment for a contract, or for such longer periods as prescribed in applicable regulations, and will make such records available in appropriate circumstances for inspection and review upon request by duly authorized agencies.

In addition, the University, through the Office of the Provost and Executive Vice President, will provide a written response to a requestor within five business days of a request for information concerning a Significant Financial Interest held by a Project Director/Principal Investigator and any other person identified by the University to PHS as senior/key personnel if the University has determined that the Significant Financial Interest constitutes a financial conflict of interest in PHS-funded research.

Subgrantees, Contractors, and Collaborators

If the University carries out PHS-funded research through a subrecipient (e.g., subgrantees, contractors, or collaborators), the University, through the Office of the Vice President for Research, will include in its written agreement with the subrecipient a statement as to whether the financial conflicts of interest policy of the University or that of the subrecipient applies to the subrecipient's Investigators.

If the subrecipient's financial conflicts of interest policy applies to subrecipient Investigators, the subrecipient shall certify as part of the agreement that its policy complies with the PHS regulations. If the subrecipient cannot make such a certification, the University's policy and this Appendix C will apply to subrecipient Investigators to the extent necessary for compliance with the PHS regulations.

If the subrecipient's financial conflict of interest policy applies, the University, through the Office of the Vice President for Research, will include in the subrecipient agreement time periods for the subrecipient to report all identified financial conflicts of interests to the University. Such time periods must provide the University with sufficient time to review the reports and make timely reports to PHS, as necessary.

If subrecipient Investigators are subject to the University's policy, the subrecipient agreement will specify time periods for the subrecipient to submit subrecipient Investigators' disclosures of Significant Financial Interests to the University so that the University has sufficient time to

review the disclosures and comply timely with its review, management, and reporting obligations under this Policy.

Notification to PHS

The University, through the Office of the Vice President for Research, will promptly notify the PHS Awarding Component if failure of an Investigator to comply with the Policy or this Appendix C or with a management plan provided for hereunder has biased the design, conduct or reporting of PHS-funded research.

Training

Investigators engaged in PHS-funded research are required to complete training regarding their responsibilities under the Policy and this Appendix C prior to engaging in any PHS-funded research project and at least every four years. Investigators must complete such training immediately if they are new to the University, if the University revises the Policy, Appendix C, or its conflict of interest procedures in a manner that affects the requirements of Investigators, or if the University finds that the Investigator is not in compliance with the Policy or this Appendix C or a management plan adopted thereunder.

Resources

NIH home page:
www.nih.gov

NIH conflict of interest requirements:
http://www.grants.nih.gov/grants/policy/coi/

NIH list of conflict of interest information resources available on the Web:
http://grants1.nih.gov/grants/policy/coi/resources.htm

A RESOLUTION ON INFORMATION SYSTEMS NEEDED TO SUPPORT FACULTY RESEARCH EFFORTS (12/2)

Whereas: Principal investigators and sponsored research staff are responsible for monitoring grants and contracts, purchasing and maintain equipment, buying materials, subcontracting to various vendors of services and for the appointment and compensation of research staff

Whereas: these tasks cannot be accomplished efficiently and effectively without access to timely information on past expenditures and projections of future financial commitments over the life of a grant or contract which extends over several years

Whereas: the current information provided on periodic paper reports to principal investigators and staff is neither timely nor informative regarding past expenditures and has no capacity to update and forecast future expenditures; indeed, currently multi-year grants appear as a series of one year projects

Whereas: the lack of timely and comprehensive financial information hampers principal investigators and university administrators in complying with their fiduciary responsibility to monitor past expenditures and future commitments, and detracts from the time available to conduct research and pursue funding

Whereas: current systems do not integrate grant application with budgeting, accounts payable, or human resources and do not permit analysis of financial flows over the several years of a grant or contract because human resources, grant application, and budgeting systems do not "talk" to one another

Whereas: systems have been developed at other universities that provide electronic access to current financial statements from the point of grant application through final closeout, allow inquiry by the user, and allow monitoring of both past expenditure and projection of future expenditure patterns so that these can be compared with expected resources

Whereas if the University is to move into the first ranks of research institutions, its information systems must be competitive with those available elsewhere, and

Whereas: such information systems, if implemented at the University, would facilitate the operations of the Office of Sponsored Research in addition to the substantial benefits to faculty engaged in sponsored research, NOW, THEREFORE,

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

1. That the Faculty Senate recommends that the University administration and the Board of Trustees provide funding to purchase and install the software required to implement a financial information system for sponsored projects competitive with the systems at other research institutions; and

2. that this effort be conducted in consultation with the Senate Research Committee and the Advisory Council on Research to insure that the information systems are useful and used by faculty participating in sponsored research and the staff with whom they work.

Adopted by the Senate Committee on Research 23 March 2012, Anthony Yezer, Chair

Adopted, May 11, 2012

DONNA SCARBORO
ASSOCIATE PROVOST FOR INTERNATIONAL PROGRAMS

FACULTY SENATE

MAY 11, 2012

2008 Strategic Plan for International

- ✓International Venture Fund for Development focus
- ✓Structural, sustainable leadership for collaborations
- ✓Bring more international students to campus

2008-2012 Topics

- Reputation
- Research
- Professional development offerings
- Internationalized curriculum
- Diversified & enriched study abroad experiences
- Alumni relations outreach
- Streamlined international operations & policies

Accomplished since 2008 plan

- Travel policy and compliance mechanism
- Reports on international collaboration in all schools
- Seed funding for research
- Communications network
- Operations network
- Increased exchange activity
- Increased science and engineering study abroad
- Improved returned-student integration
- Dedicated leadership position (SIO)

2008 Open-Ended Recommendation

Strengthen leadership, strategic planning, and coordination of GW's international initiatives

2011 Vision

Research that

- **engages an audience of scholars worldwide**
- **adds to knowledge in critical areas**
- **advances international scholarly collaboration**
- **addresses issues of global importance**
- **builds on discovery and generates discovery**
- **provides unbiased analysis of important public policy issues**
- **serves to better the lives of all peoples**

Education that

- **achieves excellence and meets the highest goals of students**
- **promotes cross-cultural understanding**
- **develops deep understanding of international issues**
- **unites knowledge with action in international contexts**
- **prepares students for work in a global economy**
- **produces citizens who represent the best in knowledge and engagement**

Community that

- **unites students of diverse backgrounds in a common experience**
- **is able to benefit from a university with international quality and scope**
- **engages international alumni, friends, and donors in our mission**
- **partners with others who share our passion for discovery & solutions**

Common 2011 & 2012 Goals

Research

That engages an audience of scholars worldwide

That **adds to knowledge in critical areas**

That advances international scholarly collaboration

That **addresses issues of global importance**

That **builds on discovery and generates discovery**

That **provides unbiased analysis of important public policy issues**

That serves to better the lives of all peoples

Education

That achieves excellence and meets the highest goals of students

That **promotes cross-cultural understanding**

That **develops deep understanding of international issues**

That unites knowledge with action in international contexts

That **prepares students for work in a global economy**

That **produces citizens who represent the best in knowledge and engagement**

Community

That **unites students of diverse backgrounds in a common experience**

That is able to benefit from a university with international quality and scope

That engages international alumni, friends, and donors in our mission

That partners with others who share our passion for discovery & solutions

2011 Global Themes

Great international universities tackle important issues around the world and make a difference.

2011 Global Themes

Technology

Global women's issues

Natural resource and energy

Medicine and health

Demographics

Policy and Governance

Security

New since the 2011 Plan

- **Regional strategy/response groups**
- **GWSB China (Masters' degrees)**
- **International Summer**
- **Expanded EAP and (under discussion) ESL**

2012 Discussions

- **Themes: Global Development, Global Justice, Global Security**
- **Threads throughout: Global Women's Issues, Global Culture**
- **Locations: Asia (China), Latin America (Brazil), Africa (Sub-Saharan)**
- **Study Abroad driven by themes and curriculum**

Vision

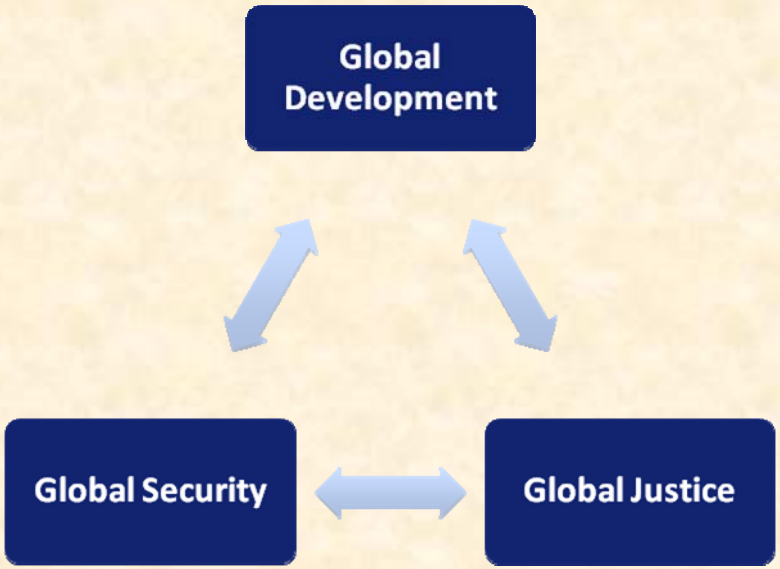
Globalization

- Targeting areas that align with GW's intellectual and pedagogical goals
- Developing deep institutional relationships in strategic locations
- Embed all of issues in study of the diversity, variation, and complexities of global cultures

Two Transformational Strategies

1. Target specific areas to build academic and research strengths

- Substantive issues that the university, its scholars and its students care about intellectually
- Issues that carry relevance across schools and disciplines



2. Develop deep institutional relationships in strategic locations

- Move toward a mindset of multi-dimensional matrices and system of networks

Asia (initially through China and India)

Latin America (led by Brazil)

Africa (within a network approach to the **Sub-Saharan Africa)**

University Budget Update

Faculty Senate Committee on Fiscal Planning and Budgeting

Joseph Cordes, Chair

May 11, 2012

Outline

- FY 2012 vs. FY 2011
- Trends in Operating Performance
- Debt and Borrowing
- Financing of Science and Engineering Hall

FY 2011 and FY 2012

- Consolidation of Budgets for Medical Center and “Rest of the University”
- Trends in the Operating Margin

FY 2011 and FY 2012 (Combined) Budgets

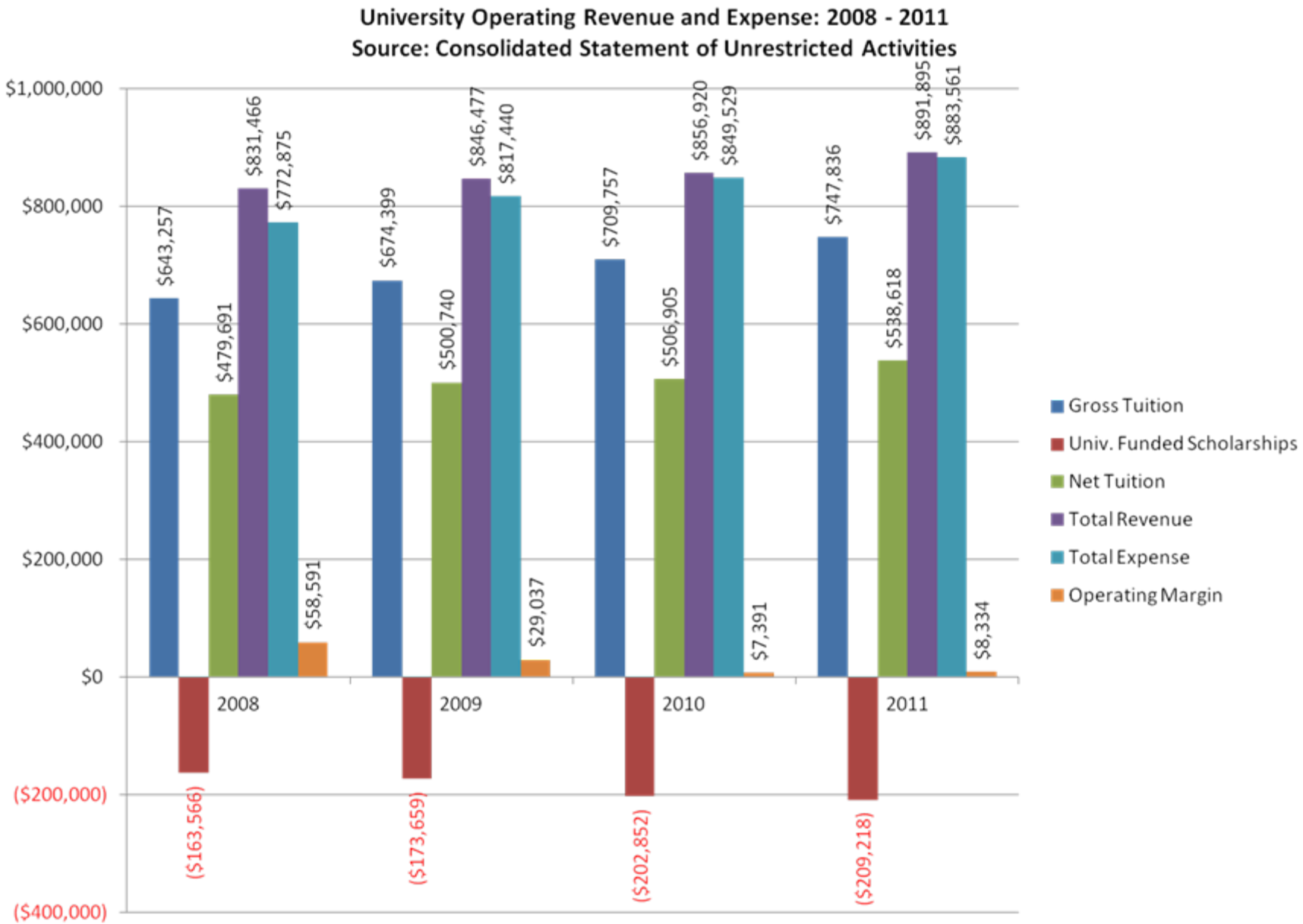
	2011 Actual	2012 Budgeted	2012 Projected Actual		2012 Projected Actual Variance: Favorable (Unfavorable)			Projected 2012 vs. 2011 Actual % Chng.
					$	%		
Tuition and Fees	$747,836	$779,797	$783,707		3,910.00	0.5%		4.8%
University Funded Scholarships	(195,933)	(204,107)	(205,162)		-1,055.00	0.5%		4.7%
Net Tuition and Fees	551,903	575,690	578,545		2,855.00	0.5%		4.8%
Indirect Cost Recoveries	21,641	21,568	21,568		0.00	0.0%		-0.3%
Auxiliary Entereprises	96,903	98,885	97,685		-1,200.00	-1.2%		0.8%
Contributions Net	17,345	24,476	20,814		-3,662.00	-15.0%		20.0%
Affiliated Medical Center Agreements	46,926	47,618	47,713		95.00	0.2%		1.7%
Other Income	24,643	21,658	22,252		594.00	2.7%		-9.7%
Total Revenue	759,361	789,895	788,577		-1,318.00	-0.2%		3.8%
Salaries and Wages	410,773	424,555	425,742		-1,187.00	-0.3%		3.6%
Fringe Benefits	91,392	99,574	99,766		-192.00	-0.2%		9.2%
Purchased Services	117,795	109,282	113,066		-3,784.00	-3.5%		-4.0%
Supplies	10,552	14,294	14,760		-466.00	-3.3%		39.9%
Equipment	12,442	13,122	12,362		760.00	5.8%		-0.6%
Bad Debt	491	2,995	1,605		1,390.00	46.4%		226.9%
Occupancy	54,041	57,159	56,731		428.00	0.7%		5.0%
Scholarships and Fellowships	11,070	10,483	10,548		-65.00	-0.6%		-4.7%
Communications	4,850	5,336	5,347		-11.00	-0.2%		10.2%
Travel and Training	15,766	13,350	13,557		-207.00	-1.6%		-14.0%
Other	25,673	27,357	27,273		84.00	0.3%		6.2%
Total Expenses	754,845	777,507	780,757		-3,250.00	-0.4%		3.4%
Operating Margin	$4,516	$12,388	$7,820		-4,568.00	-36.9%		73.2%

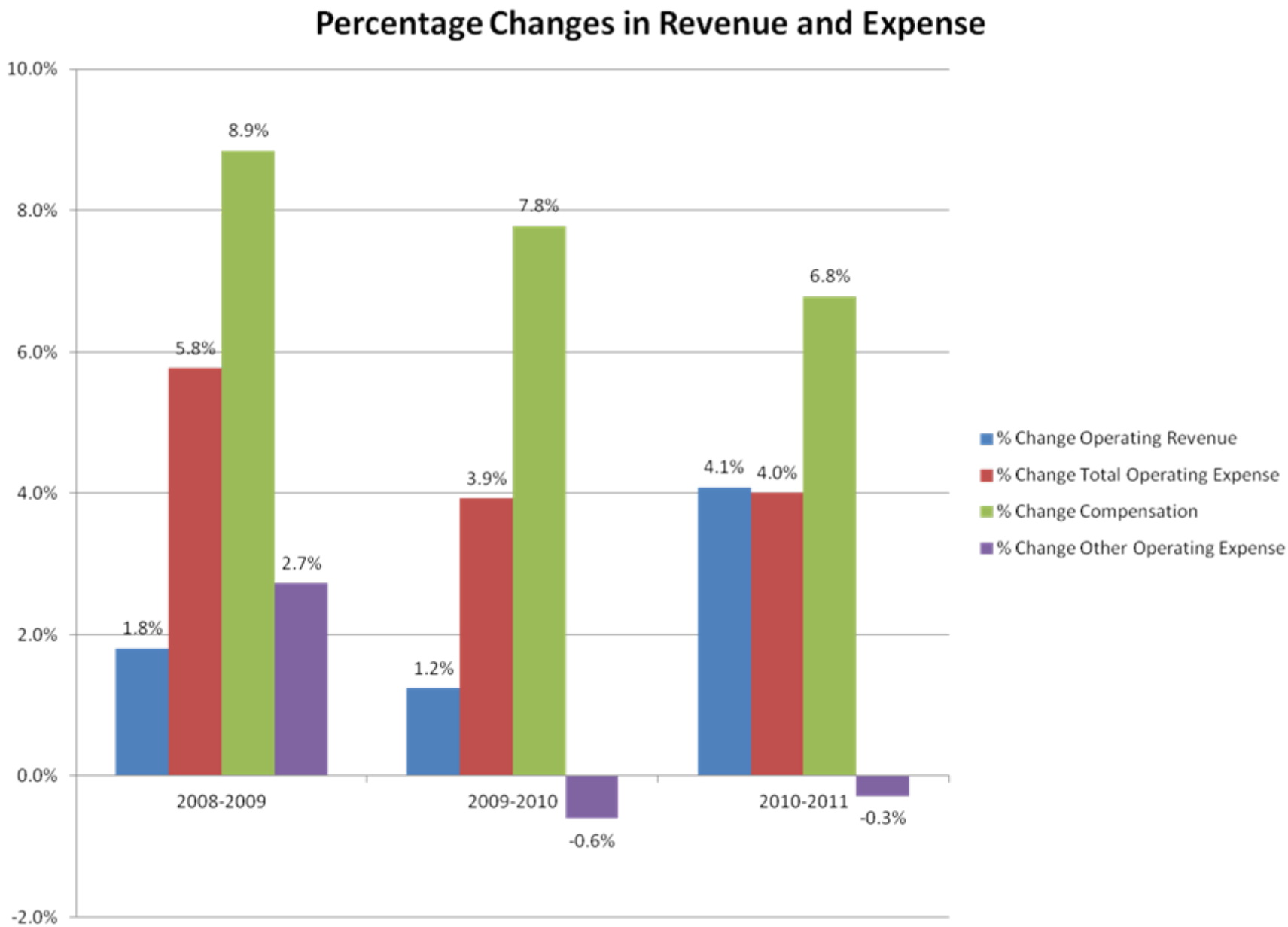
FY 2011 & 2012 Combined Other (Decreases) Increases in Net Assets

Other (Decreases) Increases in Net Assets	2011 Actual	2012 Budgeted	2012 Projected Actual		2012 Projected Actual Variance: Favorable (Unfavorable)			Projected 2012 vs. 2011 Actual % Chng.
Debt Service and Mandatory	(50,250)	(53,830)	(51,402)		2,428.00	-4.5%		2.3%
Endowment Support	53,693	53,103	56,310		3,207.00	6.0%		4.9%
Capital Expenditures	(16,062)	(16,210)	(13,526)		2,684.00	-16.6%		-15.8%
Support/Investment	8,103	4,548	798		-3,750.00	-82.5%		-90.2%
Total Other Changes in Net Assets	(4,516)	(12,389)	(7,820)		4,569.00	-36.9%		73.2%
Operating Results	0	0	0					

Trends in the Operating Margin

- Operating margin
  - By no means the only indicator of financial performance, but important nonetheless
- Downward trend in margin: (see slide: *University Operating Revenue and Expense: 2008-2011*)
- Main factors
  - Increased university financial aid accounts for about $20 million of overall drop (see slide: *University Operating Revenue and Expense: 2008-2011*)
  - Increased expenditures for faculty/staff the other major factor (see slide: *Percentage Changes in Operating Revenue and Expense*)


University Operating Revenue and Expense: 2008 - 2011
Source: Consolidated Statement of Unrestricted Activities
$1,000,000
$800,000
$600,000
$400,000
$200,000
$0
($200,000)
($400,000)
$643,257
$479,691
$831,466
$772,875
$58,591
($163,566)
2008
$674,399
$500,740
$846,477
$817,440
$29,037
($173,659)
2009
$709,757
$506,905
$856,920
$849,529
$7,391
($202,852)
2010
$747,836
$538,618
$891,895
$883,561
$8,334
($209,218)
2011
Gross Tuition
Univ. Funded Scholarships
Net Tuition
Total Revenue
Total Expense
Operating Margin


Percentage Changes in Revenue and Expense
10.0%
8.0%
6.0%
4.0%
2.0%
0.0%
-2.0%
8.9%
7.8%
6.8%
5.8%
4.1%
4.0%
3.9%
2.7%
1.8%
1.2%
-0.6%
-0.3%
2008-2009
2009-2010
2010-2011
% Change Operating Revenue
% Change Total Operating Expense
% Change Compensation
% Change Other Operating Expense

Debt and Borrowing

- With most recent debt issue of $300 million, GWU total rated debt equals approximately $1.39 billion.
- Both S&P and Moody's affirmed A+(S&P) and A1 (Moody's) ratings and maintained outlook as "Stable."
- http://www.financeoffice.gwu.edu/annual_reports.html
- http://financeoffice.gwu.edu/financialreports/2012%20$300M%20GW%20OS.pdf
- http://financeoffice.gwu.edu/financialreports/RatingReport_Moodys_3-20-12.pdf
- http://financeoffice.gwu.edu/financialreports/SP%20GW%20Series%202012%20Final%20Report.pdf
- Ratings reflect both strengths and challenges (next slides)

How the Credit Rating Agencies See Us: S&P

The 'A+' rating reflects our view of the university's:

· Stable enrollment and strong demand characteristics for its comprehensive academic programs;
· Continued operating surpluses through fiscal 2011, though margins have decreased since fiscal 2008 because the rate of revenue growth has been slower than that of the expense base;
· Good revenue diversity and demonstrated successful fundraising; and
· Experienced management team, which continues to focus on improving the university's visibility and stature, strengthening undergraduate quality, and increasing the endowment.

In our opinion, partially offsetting credit factors include:
· A high level of nominal debt, with large bullet maturities in 2017, 2019, 2022, and 2023 that management plans to extend at maturity;
· A moderately high pro forma maximum annual debt service (MADS) burden at 7.3%, excluding the bullet maturities;
· Adequate financial resources compared with pro forma debt; and
· A significant portion of its investment portfolio allocated to real estate, which generates income but is not immediately liquid.

How Credit Ratings Agencies See Us: Moody's

STRENGTHS

*Large urban comprehensive university with solid student demand located in the nation's capital, serving 21,124 full-time equivalent students in fall 2011. Undergraduate selectivity was 33.0% in fall 2011, with a yield of 31.5%.

*Large base of financial resources totaling $1.66 billion at the end of FY 2011, providing a relatively healthy cushion to debt and operations. Expendable financial resources of $1.44 billion covered pro forma direct debt by 1.0 times and annual operating expenses by 1.4 times. Moody's calculation of pro forma direct debt ($1.39 billion) includes $226 million of non-recourse mortgage debt related to the university's direct real estate investments near the campus.

*Healthy base of flexible reserves with monthly liquidity of $617 million covering demand debt by 179% and equating to 239 days cash on hand.

*Manageable capital needs with our rating outlook reflecting of lack of plans for additional debt through the end of fiscal year 2014. *…..*The university has no plans for additional debt through the end of fiscal year 2014 (from elsewhere in Moody's report)

CHALLENGES

*Uncommonly high operating leverage with pro forma debt of $1.3 billion at 1.39 times operating revenue.

*Thin debt service coverage relative to rating with FY 2011 operating cash flow of 10.5% covering debt service 1.9 times combined with escalating debt service commitments through this additional debt.

*Pressure on ability to grow net tuition revenue could continue to challenge the university's operating performance, with student charges comprising nearly 62% of Moody's adjusted operating revenue in FY 2011. Fixed priced tuition program limits the university's financial flexibility compared to peers.

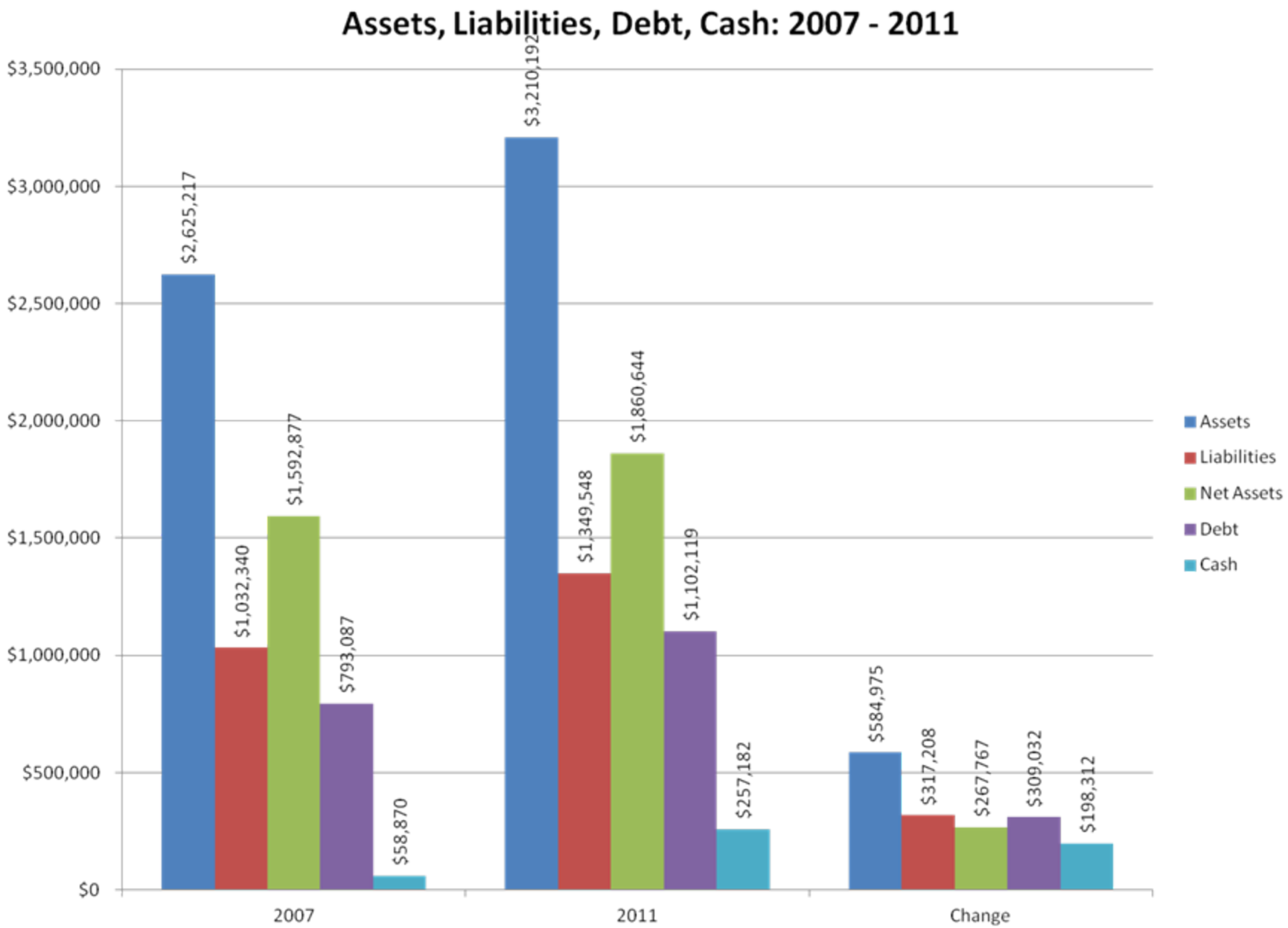
*University's financial resources include relatively concentrated commercial real estate holdings near the urban campus, with the holdings comprising a significant 35% of total investments at the end of fiscal 2011, including the rental payments GWU expects to receive from Boston Properties, Inc. (senior unsecured rating of Baa2) for the long-term ground lease of the university's Square 54 site.

*Debt structure includes $756 million of bullet maturities in general obligation and non-recourse debt as well as 168 million of debt backed by letters of credit.

*The university has limited capacity for additional debt at the A1 level. (from elsewhere in Moody's report).

Recent GW Bond Issues and Due Dates

Bond Issue Date	Amount ($)	Due Date
2007	50,000.000	2017
2009	200,000,000	2019
2010	138,000,000	Various: 2010-2020
2011	150,000,000	2021
2012	300,000.000	2022


Assets, Liabilities, Debt, Cash: 2007 - 2011
$3,500,000
$3,000,000
$2,500,000
$2,000,000
$1,500,000
$1,000,000
$500,000
$0
$2,625,217
$1,032,340
$1,592,877
$793,087
$58,870
$3,210,192
$1,349,548
$1,860,644
$1,102,119
$257,182
$584,975
$317,208
$267,767
$309,032
$198,312
2007
2011
Change
Assets
Liabilities
Net Assets
Debt
Cash

The Operating Margin: Opportunities and Challenges

- Opportunities
  - Tuition
    - 3.7% (Undergraduate)
    - 5.5% to 8.5% (Graduate)
  - Moderating Tuition Discount rate
    - 43.3% in FY 2010
    - 35.2% for Fall 2011 entering class
    - Objective to lower discount rate (relative to 2010) by 0.5% per year until reach target of 37%
  - Managing the On-Campus Enrollment Cap
    - Without adjustment, cap => tuition $'s grow by (roughly) amount of annual % increase
    - Adjustments: mix of students; off-campus courses; on-line courses
  - Innovation Task Force
    - New revenue sources
    - Cost savings available for reallocation
- Challenges
  - Annual growth rate in expenses
    - Staffing costs of increased University investments in science and technology
    - Operating costs of new facilities under construction
  - External factors: federal budget, course of interest rate.

Science and Engineering Hall: Brief Summary

- Report from Executive Vice President Katz (Dec. 9, 2011)
  - Initial financing of SEH to come from internal and external borrowing
  - Square 54 revenues cover 50-60% of estimated $275 million construction costs
  - Remainder to come from Philanthropy ($100 million), Increased sponsored research recoveries ($55 million)
- Report from Vice President Morsberger (March 9, 2012)
  - Amount raised as of the date of VP Morsberger's report: $20 million
    - $14 million in programmatic support
    - $ 6 million in capital support
  - Active plan in place for fundraising related to SEH
    - Proposed naming gift of $50 million
- Increased Indirect Cost Recoveries
  - $55 million capitalized estimate implies increased indirect cost recovery of roughly $3 to $4million per year.

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

Final Report 2011-12
May 7, 2012

The ASPP committee had an active year this year. We met six times in the 2011-12 academic year and considered the following topics:

Faculty salaries: The Provost presented a document *Core Indicators of Academic Excellence* to the Faculty Senate in February 2012. It is noted that as a University, we are above the 80th percentile of AAUP averages at all ranks. The Associate and Assistant Professor ranks in GSEHD are not doing well and they are below the 60th percentile of AAUP averages; we are always reminded of the Faculty Senate resolution on the books that states that no school should be below the 60th percentile. The Provost promised to meet with Dean Michael Feuer about GSEHD's Associate and Assistant Professors; he recently informed us that GSEHD has a large number of contract faculty who are not paid as well as the tenured/tenure track faculty and this is the reason why GSEHD stays behind the 60th percentile.

In his report *Core Indicators of Academic Excellence* to the Senate, Provost Lerman also included information on **enrollment caps**. This is very important data as we approach enrollment cap. Count every 9 units as FTE at graduate level; 12 units for undergrad. GW employees who are also students do not count against the cap; same is true for off-campus doctoral students and ABD's. The question is whether DC will relent on the cap? Would D.C. be better served if the cap on graduate students was relaxed? Provost Lerman talked to the Deputy Mayor about the economic contribution GW makes. GU's neighborhood ANC is pushing for a 1000 student reduction in enrollment—students live in neighborhoods surrounding GU. AU is going through its own issues. They want to build dorms on campus, but neighbors don't want that.

Salary Equity Committee: This committee was formed in the academic year 2010-11 and its Chair, Professor Steve Tuch, provided updates to the ASPP committee on the workings of his committee. Through the computer based analysis, 141 cases have been identified and marked for further analysis. Assistant VP Annie Wooldridge is reviewing these cases; this review is labor intensive, was expected to finish by the end of the current academic year, but is presently bogged down due to a shortage of personnel in Annie's office. We have requested the Provost to provide more personnel so this task can be completed and those, for whom salary adjustment may be warranted, are identified and provided prompt salary adjustments.

Faculty Career Cycle Projects: Vice Provost Dianne Martin brought this issue to our committee. Faculty retirement is a national issue. Goal is to identify retirement factors that influence a decision to retire. After several sets of possible plans were considered, the ASPP committee advised the administration to construct plans that are like bell shaped curve—lower incentives at both ends of the age groups and higher incentive in the middle. These plans will be further discussed in the fall semester with possible availability in the next year. Three tracks are

presently being considered under this plan: *Immediate Payout Plan Phased Retirement Plan Voluntary Retirement of Tenure / Change of Faculty Status available to faculty.*

BAC (Benefits Advisory Committee): There have been several meetings of BAC this year. Different options were considered for health care benefits and it was decided that in 2012 the co-payments and deductibles would remain the same although monthly premiums would increase. At the request of the faculty members of BAC, a special meeting was held where the University's methodology for forecasting the faculty/staff portion of the health care premiums was discussed. University consultants to the process presented a description of the methodology, process, and assumptions used to determine contributions. It is noted that while GW premiums have gone up 6.8% on average, this increase is low relative to increases in health care costs across the nation.

Review of proposed health care benefits information for 2012: We had extensive discussions in BAC and ASPP committees on the health care benefits. In 2012, premiums increased by 6.8% with no changes to copayments and deductibles. The providers not in-network continue to be covered in full by UHC (this applies to the providers who were seen by the employees in 2010). Most employees (64%) are in the Choice Plus Blue plan; this is the plan for low use of healthcare by employees and their premiums increased by 2.4%. Choice Plus Buff plan has 20% of the employees and their premiums increased by 9.2%. The Choice plan is chosen by 16% of the employees and their premiums increased by 15%. The employees continue to pay 26% ($9.3m) and GW pays 74% ($26m).

For 2013, there is a proposal to add a new tier (employee + children) to the medical premium structure: employee, employee plus spouse, employee plus family, and an added level of *employee plus children.* GW currently has a two tier premium structure for full-time employees who make above or below $30K. We thought it is advisable to increase that threshold to $40k. GW has introduced a new Health Advocate (at no cost to employees) who began in October. This Advocate will help individuals better navigate the healthcare system.

Short Term Disability. There is no change to the voluntary short term disability (STD) program available to faculty with less than two years of service at GW. Also, there is no change for faculty with two or more years of service, and one month or less disability. New proposal in place this year after extensive discussions with the ASPP committee: The funding for full time faculty with more than one month disability and more than 2 years service will now come from the fringe benefits account rather than departmental funds. The current application process has been changed and the employee will now apply to Unum rather than the department Chair, Unum recommends a decision to GW Provost, and GW provides the money. This change takes the private medical info out of the department hands. There is an appeal process to Unum's decision. The revisions to the management of short term disability went into effect on December 1, 2011.

Sabbatical for faculty on partial retirement: The question we considered this year was: Are the faculty on partial retirement contracts eligible for sabbatical and, if so, what should the policy be? After consultations with the ASPP committee, the administration has decided that, in general, faculty on partial retirement contracts are ineligible for sabbaticals.

Compilation of Top Administration Salaries; Comparison with Faculty Salaries and Tuition Increases: ASPP Chair Murli Gupta compiled the top administrators' salaries (W2 and 1099 amounts, excluding "retirement and other deferred compensation" and "nontaxable benefits") for the tax year ending December 2009 (from IRS filing Form 990) as well as the averages of faculty salaries and new student tuition for the past six years. (This information is enclosed.) It is noted that in 2009, there was a 9% decrease in the average of top administrators' salaries listed in this compilation.

Respectfully Submitted

Murli M. Gupta, Mathematics (May 7, 2012)
Acting Chair, ASPP Committee

Membership of ASPP Committee (2011-12)

Abravanel, Eugene, Psychology
Achrol, Ravi, Marketing
Brown, Karen, Law
Bura, Efstathia, Statistics
Green, Colin, Teacher Prep, & Spec. Ed.
Malone-France, Derek, University Writing Program
Marotta, Sylvia, Counseling, Human and Organizational Studies
Mazur, Amy J., Special Education
Pintz, Christine, Nursing
Plack, Margaret, Health Care Sciences
Schanfield, Moses S., Forensic Sciences
Vincze, Eva, Forensic Sciences
Wasylkiwskyj, Wasyl, Engineering and Applied Science
Wirtz, Philip W., Decision Sciences
Zaghloul, Mona, Electrical Engineering and Computer Science

Ex officio

Galston, Miriam, Executive Committee Liaison
Ellis, Sabrina, Vice President for Human Resources
Katz, Louis H., Executive Vice President and Treasurer
Lerman, Steven, Provost and Executive Vice President for Academic Affairs
Lopez, Jennifer, Executive Director of Tax, Payroll and Benefits Administration
Martin. Dianne, Vice Provost for Faculty Affairs
Stewart, Andrea W., Gelman Library
Wolken, Teresa, AVP HR Total Rewards

The George Washington University

Compilation of Top Administration Salaries; Comparison with Faculty Salaries and Tuition Increases

November 27, 2011

GW Compensation Data from IRS Form 990 Schedule A (Salaries reported to IRS.)

(The salaries reported below differ from "Total Compensation" as they exclude the "Retirement and other deferred compensation" and "Nontaxable benefits")

President and Vice Presidents		Year Ending Dec-09	Year Ending Dec-08	1 year % Change 12/08-12/09	Year Ending Dec-07	2 year % Change 12/07-12/09	Year Ending Dec-06	3 year % Change 12/06-12/09	Year Ending Dec-04	5 year % Change 12/04-12/09	Year Ending Dec-03	6 year % Change 12/03-12/09
Steven Knapp	President*	**$905,277**	**$895,305**	**1.1%**	$715,627	**26.5%**						
Stephen Joel Trachtenberg	President Emeritus**	**$623,165**	**$789,020**	**-21.0%**	$1,025,875		$691,204		$630,021		$609,837	
John Williams	Provost & VP Health	**$773,705**	**$867,913**	**-10.9%**	$772,500	**0.2%**	$676,584	**14.4%**	$593,516	**30.4%**	$578,616	**33.7%**
Louis Katz	Exec VP & Treasurer	**$740,880**	**$809,733**	**-8.5%**	$618,557	**19.8%**	$544,371	**36.1%**	$503,209	**47.2%**	$496,233	**49.3%**
Robert Chernak	Senior VP SASS	**$539,131**	**$623,957**	**-13.6%**	$450,374	**19.7%**	$403,755	**33.5%**	$341,894	**57.7%**	$331,617	**62.6%**
Don Lehman	Exec VP Acad Affairs	**$598,987**	**$549,675**	**9.0%**	$445,956	**34.3%**	$386,770	**54.9%**	$320,070	**87.1%**	$306,954	**95.1%**

*** President Knapp joined GWU on 08/01/2007 and was paid $298,178 as salary for 5 months which is annualized and reported above as 2007 salary ($298,178 x 12/5)**

****President Trachtenberg was paid $3,578,566 on retirement (7/31/2007); of this amount $2,980,139 was "payout of deferred compensation and accrued sabbatical leave".**

The difference $598,427 constitutes salary for 7 months which is annualized and reported above as 2007 salary ($598,427 x 12/7)

Average Total Senior Administration Increases:	Over 1 year:	**-9.0%**	Over 2 years:	**18.5%**	Over 3 year:	**34.7%**	Over 5 years:	**55.6%**	Over 6 years:	**60.2%**

Tuition and fees (New Undergraduates) **http://www.gwu.edu/~ire/tuition_fees.htm**	**2011/12**	**2010/11**	**2009/10**	**2008/09**	**2007/08**	**2006/07**	**2005/06**
	$44,148	$42,905	$41,655	$40,437	$39,240	$37,820	$36,400
Annual Tuition Increase:		**2.90%**	**3.00%**	**3.01%**	**3.05%**	**3.75%**	**3.90%**

Total Increase in Tuition for New Undergraduates over 6 years (2005/06-2011/12)--> 21.29%

Faculty Salaries Data from GW Fact Book (Average Regular Full Time Salaries, excludes School of Medicine)
http://www.gwu.edu/~ire/fsas.htm

	Average Salaries 2010/11	Average Salaries 2009/10	1 year % Change 6/09-6/10	Average Salaries 2008/09	2 year % Change 6/09-6/11	Average Salaries 2007/08	3 year % Change 6/08-6/11	Average Salaries 2006/07	4 year % Change 6/07-6/11	Average Salaries 2005/06	5 year % Change 6/06-6/11	Average Salaries 2004/05	6 year % Change 6/05-6/11
Professor	$146,400	$142,900	**2.4%**	$134,788	**8.6%**	$128,500	**13.9%**	$123,936	**18.1%**	$118,802	**23.2%**	$110,288	**32.7%**
Associate Professor	$100,200	$98,600	**1.6%**	$97,025	**3.3%**	$92,600	**8.2%**	$89,450	**12.0%**	$84,307	**18.9%**	$80,677	**24.2%**
Assistant Professor	$82,100	$81,000	**1.4%**	$78,764	**4.2%**	$75,100	**9.3%**	$72,132	**13.8%**	$69,306	**18.5%**	$63,157	**30.0%**

:al Faculty Increases over time period:	1 year:	**1.8%**	2 years:	**5.4%**	3 years:	**10.5%**	4 years:	**14.7%**	5 years:	**20.2%**	6 years:	**29.0%**

May 11, 2012

FACULTY SENATE COMMITTEES
2012-13 Session

STANDING COMMITTEE CHAIRS		2012-13 Executive Committee Liaison
1.	ADMISSIONS POLICY, STUDENT FINANCIAL AID, AND ENROLLMENT MANAGEMENT Chair: to be elected	Dickson
2.	APPOINTMENT, SALARY, AND PROMOTION POLICIES (INCLUDING FRINGE BENEFITS) Acting Chair: Professor Murli M. Gupta	Acquaviva
3.	ATHLETICS AND RECREATION Chair: Professor Gary L. Simon	Fairfax
4.	EDUCATIONAL POLICY Chair: Professor Robert J. Harrington	Dickson
5.	FISCAL PLANNING AND BUDGETING Chair: Professor Joseph J. Cordes	Castleberry
6.	HONORS AND ACADEMIC CONVOCATIONS Chair: Professor Scheherazade S. Rehman	Rehman
7.	LIBRARIES Chair: Professor David W. McAleavey	McAleavey
8.	PHYSICAL FACILITIES Chair: Professor Hermann Helgert	Greenberg
9.	PROFESSIONAL ETHICS AND ACADEMIC FREEDOM Chair: Professor Charles A. Garris, Jr.	Acquaviva
10.	RESEARCH Chair: Professor Anthony M. Yezer	Rehman
11.	UNIVERSITY AND URBAN AFFAIRS Chair: Professor Kathryn Newcomer	Dickson
12.	JOINT COMMITTEE OF FACULTY AND STUDENTS Faculty Co-Chair: to be elected	McAleavey

MEMBERS OF THE FACULTY SENATE COMMITTEES
2012-13 Session

EXECUTIVE COMMITTEE

2134 G Street, N.W. #423	Michael S. Castleberry (GSEHD), Chair	4-1510
900 23rd Street, NW, #6187	Acquaviva, Kimberly D. (SON)	4-7735
Monroe Hall, #480	Bruce Dickson (ESIA)	4-4186
2000 H Street, N.W.	Fairfax, Roger A. (GWLS)	4-1150
Phillips Hall, Room T-737	Charles A. Garris, Jr. (SEAS)	4-3646
2100-W Pennsylvania Ave. NW, 8th floor	Alan E. Greenberg (SPHHS)	4-0612
Rome Hall, Rm. 655	David W. McAleavey (CCAS)	4-6515
Funger 401E	Scheherazade S. Rehman (SB)	4-6813
ACC 2B-418	Robert Shesser (SMHS)	741-2911
Rice Hall, 8th Floor	Steven Knapp (President), *ex-officio*	4-6500

DISPUTE RESOLUTION COMMITTEE

Chair: Professor Kurt J. Darr (SPHHS)

ADMISSIONS POLICY, STUDENT FINANCIAL AID, AND ENROLLMENT MANAGEMENT

***Chair: to be elected**
Carter, Geoffrey, English
Hamano, Shoko, East Asian Languages & Literatures
LeLacheur, Susan, Physician's Assistant Studies
Zderic, Vesna, Electrical Engineering & Computer Science

Non-voting:
Amundson, Elizabeth A., Registrar
TBD, Student Liaison
Boyer, Chris, Deputy Director of Athletics
Chernak, Robert A., Senior Vice Provost and Senior Vice President for Student and Academic Support Services
***Dickson, Bruce, Political Science and International Affairs, Executive Committee Liaison**
Napper, Kathryn, Executive Dean, Undergraduate Admissions
Nero, Patrick, Director of Athletics
Rypkema, Geri, Director, Office of Graduate Student Support
Siegel, Fred, Associate Vice President
Small, Daniel, Executive Director, Student Financial Assistance
Smith, Dolsy, Instruction Librarian, Gelman Library
Williams, Kristin, Director, Graduate Student Enrollment Management

***Member of the Senate**

APPOINTMENT, SALARY, AND PROMOTION POLICIES, (INCLUDING FRINGE BENEFITS)

Acting Chair: Gupta, Murli M., Mathematics (will continue if asked)
Abravanel, Eugene, Psychology
Achrol, Ravi, Marketing
Brown, Karen, Law
Bura, Efstathia, Statistics
Mazur, Amy J., Special Education
Malone-France, Derek, University Writing Program
Marotta, Sylvia, Counseling, Human and Organizational Studies
Pintz, Christine, Nursing
Plack, Margaret. Health Care Sciences
Schanfield, Moses S., Forensic Sciences
Sidawy, Anton, Surgery
*** Swaine, Edward T., Law**
Vincze, Eva, Forensic Sciences
***Wirtz, Philip W., Decision Sciences**

Non-voting:

*** Acquaviva, Kimberly D., Nursing, Executive Committee Liaison**
Katz, Louis H., Executive Vice President and Treasurer
Lerman, Steven, Provost and Executive Vice President for Academic Affairs
Martin, C. Dianne,Vice Provost for Faculty Affairs
Stewart, Andrea W., Associate University Librarian for Administration, Development, and Human Resources, Gelman Library

ATHLETICS AND RECREATION

***Chair: Simon, Gary L., Medicine**
DiPietro, Loretta, Exercise Science
***Fairfax, Roger A., Jr., Law**
Falk, Nancy, Nursing
Friedenthal, Jack H., Law
McHugh, Patrick, Management
Nerotti, Lisa,
*** Shesser, Robert, Emergency Medicine**

Non-voting:

Brown, Ann, Reference and Instruction Librarian, Gelman Library
Chernak, Robert A., Senior Vice Provost and Senior Vice President for Student and Academic Support Services
Julien, Andre, Assistant Athletic Director
Director of Athletics and Recreation
Linebaugh, Craig W., Senior Associate Provost for Academic Operations
TBD, Student Liaison
***Simon, Gary, Medicine, Executive Committee Liaison**
Warner, Mary Jo, Senior Associate Director of Athletics and Recreation

***Member of the Senate**

EDUCATIONAL POLICY

***Chair: Harrington, Robert J., Engineering**
Davis, Sandra L., Nursing
Doebel, Hartmut, Biology
Kristensen, Randi, University Writing Program
Smith, Andrew M., Near Eastern Languages and Cultures
***Wirtz, Philip W., Decision Sciences**

Non-voting:
Amundson, Elizabeth A., Registrar
Beil, Cheryl, Associate Provost for Academic Planning and Assessment
Chernak, Robert A., Senior Vice Provost and Senior Vice President for Student and Academic Support Services
***Dickson, Bruce, Political Science and International Affairs, Executive Committee Liaison**
Ehrmann, Steve, Vice Provost for Teaching and Learning
Feuer, Michael J., Dean, Graduate School of Education and Human Development
Gaspar, Debbie, Coordinator of Education and Instruction, Gelman Library
TBD, Student Liaison
Konwerski, Peter, Senior Associate Vice President and Dean of Students
Napper, Kathryn, Executive Dean, Undergraduate Admissions
Small, Daniel, Executive Director, Student Financial Assistance

FISCAL PLANNING AND BUDGETING

***Chair: Cordes, Joseph J., Economics—**
Biles, Brian, Health Policy
Cherian, Edward J., Information Technology Management
Griffith, William B., Philosophy, Emeritus
***Ku, Leighton, Health Policy**
Lang, Roger, Electrical and Computer Engineering
Lindahl, Frederick, Accountancy
***Parsons, Donald O., Economics**
Wright, Stephanie, Nursing
***Yezer, Anthony M., Economics**

Non-voting:
Brown, Michael E., Dean, Elliott School of International Affairs
Burke, Kathleen, Dean, College of Professional Studies (fall semester 2011 only)
***Castleberry, Michael S., Executive Committee Liaison**
Charles, Leroy, Assistant Vice President for Health Affairs
Chernak, Robert A., Senior Vice Provost and Senior Vice President for Student and Academic Support Services
Guthrie, Doug., Dean, GW School of Business
Katz, Louis H., Executive Vice President and Treasurer
Lerman, Steven, Provost and Executive Vice President for Academic Affairs
Maltzman, Forrest, Senior Vice Provost for Academic Affairs and Planning
Morsberger, Mike, Vice President for Development and Alumni Relations
Rose, Vanessa R., Chief Budget Officer
Siggins, Jack A., University Librarian

***Member of the Senate**

HONORS AND ACADEMIC CONVOCATIONS

***Chair: Rehman, Scheherazade S., International Business and International Affairs**
***Castleberry, Michael S., Special Education and Disability Studies**
Ingraham, Loring J., Professional Psychology
Ismail, Catheeja, Health Sciences
Khamooshi, Homayoun, Decision Sciences

Non-voting:
Baldassaro, Sarah G., Assistant Vice President for Communications
TBD, Student Liaison
Kinniff, Jennifer, Public Servics and Outreach Librarian, Gelman Library
Martin, C. Dianne, Vice Provost for Faculty Affairs
***Rehman, Schcherazade S., Executive Committee Liaison**
Siegel, Fred, Associate Vice President, Student and Academic Support Services

LIBRARIES

***Chair: McAleavey, David W., English**
Berkovich, Simon, Engineering and Applied Science
Fon, Vincy, Economics
Gomez, Carmen F., Theatre and Dance
Liang, Chunlei, Mechanical and Aerospace Engineering

Non-voting:
Ehrmann, Steve, Vice Provost for Teaching and Learning
Linton, Anne, Director, Library Services, Himmelfarb Health Sciences Library
***McAleavey, David W., Executive Committee Liaison**
Pagel, Scott B., Director, Law Library
Siggins, Jack A., University Librarian
TBD, Student Liaison

PHYSICAL FACILITIES

***Chair: Helgert, Hermann J., Engineering and Applied Science**
Anderson, Catherine, Interior Design
Bardet, Phillippe, Mechanical and Aerospace Engineering
Gallo, Linda L., Biochemistry and Molecular Biology, Emeritus
Greenberg, Alan, Epidemiology and Biostatistics
Junghenn, Hugo, Mathematics
King, Michael M., Chemistry
Lipscomb Diana L., Biology
Packer, Randall, Biology

Non-voting:
Amundson, Elizabeth A., Registrar
Beheler, Melia, Financial Director, Gelman Library
***Greenberg, Alan E., Executive Committee Liaison**
Katz, Louis H., Executive Vice President and Treasurer
O'Neil Knight, Alicia M., Senior Associate Vice President for Operations
Linebaugh, Craig W., Senior Associate Provost for Academic Operations

***Member of the Senate**

PHYSICAL FACILITIES (cont.)
TBD., Student Liaison
Weinshel, Seth, Director of Housing Assignments–

PROFESSIONAL ETHICS AND ACADEMIC FREEDOM
***Chair: Garris, Charles A., Jr., Engineering**
***Acquaviva, Kimberly, Nursing Education**
***Barnhill, Theodore M., Finance**
Butler, Joan, Clinical Research and Leadership
Cawley, James, Prevention & Community Health
Darr, Kurt J., Health Services Management & Leadership
Kyriakopoulos, Nicholas, Engineering
Loew, Murray, Engineering
Robinson, Lilien F., Art History
Roth, Katalin, Medicine
Watkins, Ryan, Educational Leadership
Wilmarth, Arthur E., Jr., Law
Windsor, Richard, Prevention and Community Health
***Wirtz, Philip W., Decision Sciences**

Non-voting:
***Acquaviva, Kimberly D., Executive Committee Liaison**
Barratt, Marguerite (Peg), Dean, Columbian College of Arts and Sciences
Berman, Paul S., Dean, GW Law School
Kinder, Robin, Coordinator of Reference Services, Gelman Library
Martin, C. Dianne, Vice Provost for Faculty Affairs
Weitzner, Richard, Associate General Counsel

RESEARCH

***Chair: Yezer, Anthony M., Economics** **Bura, Efstathia, Statistics** **Briscoe, William, Physics** **Clayton, Jennifer, Educational Leadership** **Dimri, Goberdhan, Biochemistry** **Dhuga, Kalvir, Physics** **Ekmekci, Ozgur, Clinical Leadership** **Gastwirth, Joseph, Statistics** **Jain, Vivek, Pulmonary, Critical Care & Sleep Medicine**	**Ishizawa, Hiromi, Sociology** **Umpleby, Stuart A., Management** **Leng, Yongsheng, Mechanical and Aerospace Engineering** **Opper, Allena K., Physiology** **Savickas, Robert, Finance** **Umpleby. Stuart A., Management**

Non-voting:
Barratt, Marguerite (Peg), Dean, Columbian College of Arts and Sciences
Chalupa, Leo M., Vice President for Research
Dolling, David S., Dean, School of Engineering and Applied Science
Ladisch, Stephan, Director, GWU Institute of Biomedical Sciences

***Member of the Senate**

RESEARCH(cont.)

Mandeville-Gamble, Steven, Associate University Librarian for Collections and Scholarly Communication, Gelman Library
***Rehman, Scheherazade, Executive Committee Liaison**
TBD, Student Liaison

UNIVERSITY AND URBAN AFFAIRS

***Chair: Newcomer, Kathryn, Public Policy and Public Administration**
Chalofsky, Neal, Human and Organizational Learning
***Fairfax, Roger A., Jr., Law**
McRuer, Robert, English
Pulcini, Joyce, Nursing
Ruth, Richard, Professional Psychology
Umpleby, Stuart A., Management

Non-voting:

Cannaday Saulny, Helen, Associate Vice President, Student and Academic Support Services
Cohen, Amy, Executive Director, Civic Engagement and Public Service
Demczuk, Bernard, Assistant Vice President for District of Columbia Affairs
** Dickson, Bruce, Political Science and International Affairs, Executive Committee Liaison**
Katz, Louis H., Executive Vice President and Treasurer
Konwerski, Peter, Senior Associate Vice President and Dean of Students
Raiford, Meredith Evans, Director of the Special Collections Research Center, Gelman Library
Robinson, Sammie, Associate Director, Undergraduate Admissions
Scarboro, Donna, Associate Vice President for International Programs
TBD, Student Liaison

The following Committee is not a Standing Committee of the Faculty Senate, but is listed for your information:

JOINT COMMITTEE OF FACULTY AND STUDENTS

Faculty Members:

Co-Chair: to be elected
Doebel, Hartmut, Biology
Jain, Vivek, Medicine
Mazur, Amy J., Special Education
Rapelyea, Jocelyn, Radiology
Roddis, Kim, Civil and Environmental Engineering

Student Members

To be appointed

***Member of the Senate**

REPORT OF THE FACULTY SENATE TO THE ACADEMIC AFFAIRS COMMITTEE OF THE BOARD OF TRUSTEES
May 17, 2012

On behalf of the Faculty Senate I offer the following report.

ACTION ITEMS

The Faculty Senate adopted one resolution at its April meeting to enlarge the membership of the Senate. The resolution will be transmitted to the University Administration. If approved, the Resolution would require approval by the Faculty Assembly [the meeting is scheduled for October 2, 2012] before consideration by the Board of Trustees.

At the April meeting the Faculty Senate approved the changes to the Conflict of Interest policy necessitated by new requirements imposed by the National Institutes of Health. The resolution will be transmitted to the University Administration.

REPORTS

Report of the Athletic Director

Patrick Nero spoke to the Senate at the April meeting on his plans for the collegiate, club, and intramural athletics programs at the University. Among items mentioned was the low level of funding in comparison to other schools in the athletic conference and the general state of the athletic programs. The Senate has requested regular updates on the implementation of the Athletics Strategic Plan approved last year.

Update on the Strategic Planning Process

The Provost has provided updates at the last two Senate meetings on the status of the University Strategic Planning process. The Committee continues to meet and the plan will be the main topic of the Board of Trustees retreat in June. The expectation is that it will be completed in time for presentation at the Faculty Assembly on October 2, 2012.

GRIEVANCES

The tenure revocation case before the Dispute Resolution Committee continues. There is also a nonconcurrence from Columbian College of Arts and Science (CCAS) that will be heard by the Executive Committee of the Faculty Senate. At this time we have received no further letters of transmittal on nonconcurrences.

Respectfully submitted,

Michael S. Castleberry, Chair
Faculty Senate Executive Committee

REPORT OF THE EXECUTIVE COMMITTEE
11 May, 2012
Michael S. Castleberry, Chair

COMMITTEE REPORTS

We have forwarded to you or have on the tables today reports from all the Senate Standing Committees that have submitted a final report on the 2011-2012 activities and actions of the Committee. We request that any Committee that has not yet submitted a report do so as soon as possible. We will be reviewing the work of our Committees pursuant to developing a charge to guide our activities during the coming session. Again, we thank the Committee Chairs and the members of the Committees for their efforts.

We begin today the 2012-2013 Senate Session. With the finalization of the Strategic Planning Committee's work we expect that there will be much for us to do next year. We request that all members of the Faculty Senate monitor the work done in committees and, when possible, attend committee meetings.

ACTIONS OF THE EXECUTIVE COMMITTEE

We appreciate the presentation today of International Programs Director Donna Scarboro on the year-long study of International Programs that was completed in Fall, 2011. We hope the members of the Senate will share this information within the schools to better inform all faculty of the depth and scope of our international efforts. We will be monitoring the incorporation of the recommendations in the final University Strategic Plan in Fall, 2012. During the first meeting of the fall semester we will be calling on Provost Lerman to report on the progress of the Strategic Planning group as it nears completion.

Personnel Matters

The grievance in the School of Public Health and Health Services previously reported remains in process.

We expect, but have not been formally notified of, two administrative non-concurrences from the School of Business.

As reported last month, Professor Darr, Chair of the Dispute Resolution Committee, has requested that the Executive Committee add alternate temporary members to the Committee. We have submitted a list with the names of Professors, Galston, Corry, and Marotta, as well as the names of the members of the Executive Committee to serve as emergency alternates during a time when there is significant Committee activity. We anticipate needing further members to support this important work and we will be asking members of the Senate for names from their schools. This Committee does crucial work for the faculty and we again commend and thank Professor Darr for his longstanding leadership of this group and his supervision of the important but very detailed work of the Committee. We will continue to address the Committee membership needs at the next meeting of the Executive Committee.

Next Meeting of the Executive Committee

The next meeting of the Executive Committee is scheduled for August 24, 2012. Please submit resolutions, reports and any other matters for consideration prior to that meeting. The next meeting of the Faculty Senate will be on September 14, 2012.

As this is the final meeting of the 2011-2012 Academic Year, I would like to thank the members of the Senate for the time and effort they expend on the work of this body. The beginning of the next academic year will be busy and there is at least one Resolution that will come before the Faculty Assembly in October. We will be prepared to address these matters in the first meeting of the fall semester. My personal thanks to the members of the Executive Committee for their work this year. As Professors Simon and Galston step down from the committee after valued service we have already put Professors Shesser and Fairfax to work.

The work of this body is ongoing and requires the efforts of all of the membership, the committees, the chairs, and the administration representatives to be successful. I thank you all for your hard work. Have an enjoyable summer and be thinking about the Strategic Plan during all your free moments!