The George Washington University
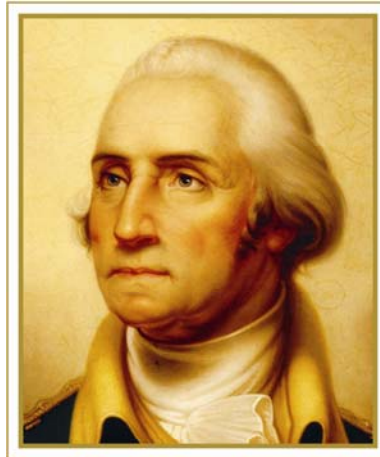
THE GEORGE
WASHINGTON
UNIVERSITY

WASHINGTON DC

Academic Excellence:
Sustaining Momentum, Maximizing Strength

Middle States Commission on Higher Education
2007 Self-Study

August 2007
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CHAPTER 1

Introduction

The George Washington University (GW) was chartered by Congress in 1821 to become the embodiment of George Washington's vision of a great national university in the nation's capital. Washington's hope was that students would come from all parts of the country to be instructed in the arts and sciences and to learn firsthand about the American form of government. Today, the University offers much more than Washington dared dream. Students now come from all 50 states and some 125 different countries to learn not only about the arts and sciences and American-style democracy but also about engineering, medicine, business, education, law, international affairs, and public health in the nine colleges and schools on GW's three campuses.

Currently, the University's enrollments total more than 24,500 students. Of these students, 10,500 are undergraduates, almost 13,000 are graduate and professional students, and more than 1,000 are nondegree students.

The Colleges and Schools

Columbian College of Arts and Sciences

Columbian College (CCAS), the original college of liberal arts and sciences of The George Washington University, is home to all undergraduate and graduate programs in the arts and sciences, offering bachelor's, master's, and doctoral degrees. A rich and diverse arts and sciences curriculum, featuring broad-based general education offerings, is designed to strengthen students' critical thinking and writing abilities through the study of various disciplines within the humanities, the social sciences, and the mathematical and natural sciences. The college offers 50 departmental or interdisciplinary majors, along with opportunities for preprofessional education in a variety of fields. At the graduate level, CCAS programs span a wide range of disciplines, supported by world-class research in many fields. The college also offers several nationally recognized professional-degree programs in areas such as museum studies, speech-language pathology, and psychology.

CCAS currently has nearly 450 full-time faculty. Dr. Marguerite Barratt assumed the deanship of the college on August 1, 2007. Enrollment in CCAS during the fall 2006 semester covered 5,584 undergraduate and 2,195 graduate students.

School of Business

Organized as the School of Government in 1928, the School of Business (GWSB) focuses on preparing individuals for leadership positions in both the national and international business communities. The school offers bachelor's, master's, and doctoral degrees. It is made up of nine departments, including Accountancy, Decision Sciences, Finance, Information Systems and Technology Management, International Business, Management, Marketing, Strategic Management and Public Policy, and Tourism and Hospitality Management. GWSB moved into the newly constructed Duquès Hall and a fully renovated Funger Hall in January 2006.

Susan Phillips, professor of finance, has served as dean of the school since 1998. The school currently has 121 full-time faculty. In fall 2006, GWSB enrolled 1,555 undergraduate students and 2,129 graduate students.

School of Engineering and Applied Science

The School of Engineering and Applied Science (SEAS) was organized in 1884 as the Corcoran Scientific School of Columbian University. Today, the school has five departments: Civil and Environmental Engineering, Computer Science, Electrical and Computer Engineering, Engineering Management and Systems Engineering, and Mechanical and Aerospace Engineering. SEAS offers undergraduate study leading to the degrees of Bachelor of Science (with majors in biomedical engineering, civil engineering, computer engineering, computer science, electrical engineering, mechanical engineering, and systems engineering) and Bachelor of Arts (with majors in applied science and technology and in computer science). The school also offers graduate study leading to the degrees of Master of Science and Doctor of Science and to the professional degrees of Engineer and Applied Scientist.

Timothy Tong, professor of mechanical engineering, has served as the dean of the school since September 2000. SEAS has 88 full-time faculty. In the fall of 2006, the school enrolled 528 undergraduate students and 1,779 graduate students.

Graduate School of Education and Human Development

Teacher education began at GW in 1904, and a teachers college was established within the University in 1909. The School of Education was established in 1928, and doctoral programs in education were first offered in 1933. The school became the Graduate School of Education and Human Development (GSEHD) in 1994. It is organized as three departments—Counseling/Human and Organizational Studies, Educational Leadership, and Teacher Preparation and Special Education—and offers the degrees of Master of Arts in Education, Master of Education, Doctor of Education, and Education Specialist. In addition to its degree programs, GSEHD offers credit and noncredit workshops designed to meet the unique needs of metropolitan-area school systems.

Mary Futrell, professor of education, became dean of the school in 1995 after having served as interim dean for five months. GSEHD has 73 full-time faculty and in fall 2006 enrolled 1,775 students.

Elliott School of International Affairs

The Elliott School of International Affairs (ESIA) traces its origins to the establishment of the School of Comparative Jurisprudence and Diplomacy in 1898. In 1966, the school separated from the School of Government, Business, and International Affairs to become an independent unit, the School of Public and International Affairs. In 1987, the name was changed to the School of International Affairs, and in 1988, the school was renamed in honor of Evelyn E. and Lloyd

H. Elliott. Lloyd Elliott was the president of The George Washington University from 1965 to 1988.

ESIA offers bachelor's and master's degrees in a variety of fields designed to prepare leaders for an increasingly globalized society. Michael Brown, professor of international affairs and political science, has served as dean since 2005. ESIA has 42 full-time faculty budgeted directly to the school but draws heavily on CCAS faculty in such departments as Political Science, Economics, Anthropology, and Geography. ESIA also employs some 60 part-time faculty who include foremost experts on foreign affairs. In fall 2006, the school enrolled 2,119 undergraduate students and 688 graduate students.

Law School

Established in 1865, The George Washington University Law School is the oldest law school in the District of Columbia. It was a founding member of the Association of American Law Schools in 1900. The degree of Juris Doctor was established in 1936.

Frederick Lawrence, Robert Kramer Research Professor of Law, was named dean of the school in 2005. The school has 79 full-time faculty, supplemented by more than 170 part-time faculty, who are drawn from government agencies and prestigious law firms based in the nation's capital. In fall 2006, 1,919 degree candidates were enrolled at the Law School. This number includes 1,366 full-time and 270 part-time J.D. candidates, and 283 post-J.D. candidates from the United States and more than 30 foreign countries.

School of Medicine and Health Sciences

The School of Medicine and Health Sciences (SMHS) was born in 1825, when CCAS added a department of medicine; it became a 4-year school of medicine in 1894. In 1928, the school officially became the School of Medicine, the School of Nursing, and the University Hospital. Today, SMHS offers the degree of Doctor of Medicine, along with Bachelor of Science degrees from health sciences programs that prepare health science professionals in selected disciplines.

Dr. James Scott, professor of emergency medicine, became dean of the school in 2004. SMHS has 627 full-time faculty, of whom 68 are in the basic science departments (Anatomy, Biochemistry, Microbiology, Pharmacology) and 559 are in Clinical Medicine. In fall 2006, the school enrolled 1,242 students, including 665 in the M.D. program.

School of Public Health and Health Services

The School of Public Health and Health Services (SPHHS) was established within The George Washington University in 1997. Degree programs offered by the school include the Bachelor of Science (with majors in athletic training, exercise science, and public health); the Master of Public Health; the Master of Health Services Administration; the Master of Science (in the fields of exercise science, health policy, and public health microbiology and emerging infectious diseases); and the Doctor of Public Health. Seven departments form SPHHS: Environmental and

Occupational Health, Epidemiology and Biostatistics, Exercise Science, Global Health, Health Policy, Health Services Management and Leadership, and Prevention and Community Health.

Ruth Katz, Walter G. Ross Professor of Health Policy, was appointed dean of the school in 2003. SPHHS has 74 full-time faculty. In fall 2006, the school enrolled 191 undergraduate and 750 graduate students.

College of Professional Studies

The College of Professional Studies (CPS) was established in 2001 to offer unique programs not available in the University's traditional colleges and schools. CPS offers associate's, bachelor's, and master's degrees in professional studies, along with a range of certificate programs in such varied fields as legislative affairs, molecular biotechnology, paralegal studies, professional service firm management, healthcare corporate compliance, and publishing. CPS also is home to GW's Graduate School of Political Management (GSPM).

Roger Whitaker, professor of higher education and immediate past president of the University Continuing Education Association, was appointed as the founding dean of the college and continues to serve in that role. CPS has 12 full-time faculty and in fall 2006 enrolled 445 students.

CPS also operates the University's three main off-campus Learning Centers (Alexandria, Arlington, and Hampton Roads, Virginia) and provides administrative and logistical support for all of the graduate education programs offered at those centers.

The Campuses

The Foggy Bottom Campus, located four blocks west of the White House and three blocks north of the National Mall, has served as GW's main campus since 1918. Encompassing 43 acres, the campus includes more than 90 buildings, including recently constructed or renovated facilities for two schools—Business and International Affairs—and several Columbian College departments, as well as 14 residence halls. A new campus plan, recently approved by the District of Columbia Zoning Commission, will guide the development of the campus through 2025.

GW's Virginia Campus was established in 1991 as a research and graduate education campus on 50 acres donated to the University. The campus now features three buildings on 95 acres located in Northern Virginia's high-tech corridor, with proximity to Dulles International Airport. The campus is home to such important research efforts as the National Crash Analysis Center, the Center for Nuclear Studies, and the Center for Intelligent Systems Research. The Schools of Business, Education, and Engineering offer graduate programs on the campus.

In 1998, GW affiliated with the former Mount Vernon College to establish The George Washington University at Mount Vernon College. Now simply the Mount Vernon Campus of The George Washington University, the campus includes four main academic buildings (including the Eckles Library), a campus center, six residence halls, and athletic facilities. The

academic offerings of the campus are fully integrated with those of the Foggy Bottom Campus, and undergraduate students regularly take courses on both campuses.

Accreditation

GW became a member of the Middle States Commission on Higher Education (MSCHE) in 1922. The last reaffirmation of accreditation status was completed in 2003.

The Law School is a charter member of the Association of American Law Schools and is approved by the Section of Legal Education and Admissions to the Bar of the American Bar Association. The School of Medicine and Health Sciences has had continuous approval by its accrediting body, which is currently the Liaison Committee on Medical Education, sponsored jointly by the American Medical Association and the Association of American Medical Colleges. The School of Public Health and Health Services' public health programs have full accreditation from the Council on Education for Public Health.

All Bachelor of Science engineering curricula of the School of Engineering and Applied Science (excluding systems engineering) are accredited by the Engineering Accreditation Commission of ABET, Inc. The Bachelor of Science computer science curriculum is accredited by the Computing Accreditation Commission of ABET, Inc.

The Graduate School of Education and Human Development is a charter member of the American Association of Colleges for Teacher Education and is accredited by the National Council for Accreditation of Teacher Education and the state education agency—the Board of Education of the District of Columbia—for its eligible master's, specialist, and doctoral degree programs. The master's programs in school and community counseling and the doctoral program in counseling are accredited by the Council for the Accreditation of Counseling and Related Educational Programs; the master's program in rehabilitation counseling is accredited by the Council on Rehabilitation Education.

The School of Business is a member of AACSB International—the Association to Advance Collegiate Schools of Business, which accredits its undergraduate and graduate business administration and accountancy programs. The programs in accountancy satisfy the educational requirements for the Certified Public Accountant and the Certified Management Accountant professional examinations.

The Elliott School of International Affairs is a member of the Association of Professional Schools of International Affairs.

Reaffirmation of MSCHE Accreditation: 2007–2008

Several important changes have occurred within the University since the last accreditation self-study and site visit in 1998. The *Strategic Plan for Academic Excellence: Sustaining Momentum, Maximizing Strength* (SPAE) was developed and its implementation initiated, the College of Professional Studies was established, seven of the nine schools have received at least one new dean, and Steven Knapp became the 16th president of the University effective August 1, 2007.

The current self-study was undertaken within this context of significant change and extensive efforts to strengthen the University.

The Leadership

The reaffirmation effort is being directed by a 25-person Steering Committee that includes faculty, senior administrators, staff, and students. The following members make up the leadership of the Steering Committee:
Chair: Forrest Maltzman, Professor of Political Science
Cochair, effective September 17, 2007: Cheryl Beil, Assistant Vice President for Academic Planning, Institutional Research, and Assessment and Assistant Research Professor of Psychology
Cochair, through September 17, 2007: Craig Linebaugh, Associate Vice President for Academic Planning; Chief Academic Operating Officer/GW Virginia Campus; Professor of Speech and Hearing Science

The Self-Study Design

In June 2003, the SPAE was presented to the University's Board of Trustees as the guiding vision for GW. The University's current effort to reaffirm accreditation made this a good time to take a comprehensive look at the implementation of the plan. To that end, the Steering Committee identified the MSCHE Planning and Assessment Selected Topics model as an ideal self-study design to guide this assessment. A self-study design that mapped the six goals of the SPAE against the four planning and assessment standards was developed and approved by MSCHE. This self-study design is most readily conveyed in the matrix on the following page. The cells marked with an "X" show those areas that were examined in detail.

The Steering Committee appointed six working groups to address each of the six goals of the SPAE. A member of the Steering Committee became chair of each working group, and at least one other member served on each working group as well. Other members of the working groups included faculty, administrators, and students.

The Steering Committee supplied a list of "hot topics" for review and a series of research questions to guide each working group's efforts. The groups conducted extensive research that obtained information from virtually all University constituencies. The working groups met numerous times and prepared detailed reports of their findings and recommendations. During preparation of the reports, each working group shared its findings and recommendations with appropriate campus organizations. All of the working groups presented their findings to the Council of Deans and to one or more Faculty Senate committees. The individual reports were incorporated into this final Self-Study Report (chapters 2–7), and the full report was made available to the entire University community for review and comment prior to its being submitted to MSCHE. The comments from the University community will appear in an Appendix to the Self Study upon completion of the public comment period.

	Goal 1 Quality Undergraduate Education & Top-ranked Graduate Programs	Goal 2 Strategically Strengthen & Expand Graduate Professional Education	Goal 3 Enhanced Facilitation of Faculty Scholarship & Research	Goal 4 Develop a Strong Sense of Community	Goal 5 Strengthen GW's Infrastructure	Goal 6 Maintain a Strong Financial Base
Standard 2: Planning, Resource Allocation	X	X	X	X	X	X
Standard 3: Institutional Resources	X	X	X	X	X	X
Standard 7: Institutional Assessment	X	X	X	X	X	X
Standard 14: Assessment of Student Learning	X	X		X	X	

CHAPTER 2

Working Group 1:
Undergraduate Engagement and Challenge,
Doctoral Excellence, and Signature Programs

Barbara Myklebust, Cochair as of June 1, 2007 (Assistant Dean for Student Affairs in the School of
Engineering and Applied Science, Research Professor of Engineering)
Carol Sigelman, Cochair as of June 1, 2007 (Associate Vice President for Graduate Studies and Academic
Affairs, Professor of Psychology)

Mary Gowan, Chair through June 1, 2007 (Associate Dean for Undergraduate Education and Associate
Professor of Management Science in the School of Business)

Cheryl Beil, Liaison from Steering Committee Leadership (Assistant Vice President for Academic
Planning, Institutional Research, and Assessment and Assistant Research Professor of Psychology)

Undergraduate Engagement and Challenge Subcommittee:

Grae Baxter (Executive Director of Undergraduate Honors, Fellowships, and Research)
Paul Duff (Associate Dean for Undergraduate Studies in the Columbian College of Arts and Sciences,
Professor of Religion)
Margaret Gonglewski (Director of the Language Center, Associate Professor of German and International
Affairs)
Barbara Myklebust (Assistant Dean for Student Affairs in the School of Engineering and Applied
Science, Research Professor of Engineering)

Doctoral Program Subcommittee:

Carol Sigelman (Associate Vice President for Graduate Studies and Academic Affairs, Professor of
Psychology)
Michael Moses (Associate Dean for Graduate Studies in the Columbian College of Arts and Sciences,
Associate Professor of Mathematics)

Signature Programs Subcommittee:

Richard Thornton (Professor of History and International Affairs)
Pradeep Rau (Professor of Marketing)
Melinda Knight (Executive Director of the University Writing Program, Professor of Writing, of
American Studies, and of Strategic Management and Public Policy)

Student Member of Working Group 1:

Ross Mankuta

SPAE Goal 1: Move GW solidly into the ranks of the first-tier educational institutions through quality undergraduate education and selected top-ranked graduate programs, especially at the doctoral level.

The committee examined GW's progress in creating a first-tier academic institution by raising the educational quality of undergraduate and graduate programs and leveraging the improvement into an enhanced reputation for the University. The working group's topic comes from the first goal of the SPAE, which specifies three strategies to move GW toward achieving the aim (see Supporting Document **2.01**):

- At the undergraduate level, GW will enhance student engagement and learning through academic challenge and a rigorous intellectual environment that permeates every aspect of student life.
- At the graduate level, GW will increase investment in those doctoral programs in which faculty members are conducting forefront research and scholarship at the level necessary to raise program distinction and attract and retain the very best doctoral students.
- To further enhance GW's stature, visibility, and competitive advantage, GW will provide new resources for the academic programs with the greatest potential for national and international distinction.

The Self-Study Steering Committee directed WG 1 to examine three guiding questions to shed light on progress in implementing these strategies and meeting the goal. The group formed subcommittees to examine each of these questions in detail:

- How successful are the University's programs (e.g., the University Writing Program, the Honors Program, undergraduate research support) designed to engage and challenge undergraduate students?
- To what extent is GW achieving its goals of building and sustaining quality doctoral education?
- To what extent do signature programs enhance the quality of education and achievement of the goals of the University?

Working Group 1 met regularly over the summer and through the fall semester of 2006 to formulate a plan and collect data to answer the guiding question and specific questions related to Goal 1. In early spring 2007, the group worked on writing the report and editing drafts. During the first few meetings, in 2006, discussion centered on the definitions of academic engagement and challenge and of academic excellence. These conversations guided the group as it sought data and formed recommendations.

Data Collection Process: Undergraduate Engagement and Challenge

The Undergraduate Engagement Subcommittee gathered information on the programs at GW designed specifically to boost engagement and challenge for undergraduate students. The subcommittee:

- prepared and submitted questions to the directors and undergraduate deans to build an inventory of undergraduate programs or initiatives currently underway to enhance engagement and challenge for undergraduate students (see Supporting Documents **2.02**–**2.08**);
- prepared and submitted written questions to the executive vice president for academic affairs (EVPAA) regarding the University-wide planning, budgeting, and assessment processes currently or potentially affecting efforts to increase engagement and challenge for undergraduates (see Supporting Document **2.09**);
- surveyed faculty members who have taught Dean's Seminars (see Supporting Document **2.10**); and
- reviewed documented assessments of the Dean's Seminars and University Writing Program (see Supporting Document **2.11**).

Data Collection Process: Doctoral Excellence

The members of the Doctoral Programs Subcommittee:

- reviewed previous planning documents, including the report on doctoral education in the strategic plan (see Supporting Document **2.12**);
- surveyed the deans regarding their follow-up and implementation of the recommendations stemming from the Doctoral Program Review of 2003–4 (see Supporting Document **2.13**);
- collected institutional data on strategic investments in doctoral student support packages, on trends in doctoral program admissions rates, and on trends in doctoral student GRE scores (see Supporting Documents **2.14**–**2.19**);
- reviewed Web sites of market basket universities to determine the competitiveness of support packages (see Supporting Document **2.20**); and
- commissioned and reviewed a report on trends in doctoral students' satisfaction with their programs (see Supporting Document **2.21**).

Some of the analyses were done as part of a separate project for the EVPAA to assess the competitiveness of current doctoral student support packages and make recommendations for the future.

Data Collection Process: Signature Programs

The members of the Signature Programs Subcommittee:

- met with the EVPAA to understand the process for identifying and reviewing signature programs and to obtain his insight on the success of these programs;
- interviewed individuals involved in the signature programs; and
- reviewed the yearly reports submitted by each program (see Supporting Documents **2.22**–**2.33**).

Undergraduate Engagement and Challenge

Guiding question: How successful are the University's programs (e.g., University Writing Program, Honors Program, undergraduate research support) designed to engage and challenge undergraduate students?

Over the past several years, GW has built into the curriculum an array of programs at both the University and individual school levels specifically designed to intensify the intellectual experience of GW undergraduates. At the University level, the Honors Program and the University Writing Program (UWP) draw up rigorous and engaging courses for undergraduates. The Honors Program serves the needs of a select group of students capable of advanced work in areas across the spectrum of disciplines in the University. The UWP engages all undergraduate students in writing-intensive courses that foster intellectual growth and important skills.

School-based seminars, classes, and related experiences engage freshmen intensively. The elective dean's seminars in the Columbian College of Arts and Sciences (CCAS) and the required First-Year Development Program (FYDP) for all students in the School of Business (GWSB) demonstrate the range of the school-level programs. The Undergraduate Engagement and Challenge Subcommittee highlights these four programs—Honors, UWP, Dean's Seminars, and FYDP—as examples of University- and school-level initiatives and will use them as the primary basis for answering the specific questions related to the guiding question. It is important to note that there are many other University-wide programs, and each school within GW has unique programs designed to engage and challenge students. The subcommittee uses these four programs to represent the programs and to show how such programs are managed and assessed. Additional programs, such as research experience for undergraduate (REU) programs, are identified and described in Undergraduate Engagement and Challenge Initiatives (see Supporting Document **2.08**).

University Programs

The University Honors Program, now in its 16th year, serves all five undergraduate schools. The program historically has provided academic and intellectual enrichment through intensive seminars on a range of special topics, as well as a "community of scholars" for selected students with a record of unusually high academic achievement. Overall enrollment in the past few years has ranged from over 965 students (10% of the undergraduate student body) to the current 638 (6.7%). The numbers have been intentionally trimmed to make it more selective and to build up the sense of community. Participants are students of their degree-granting schools and are required to take only one honors course each semester; they may choose to take more. Honors courses are referred to as proseminars and have enrollment caps of 20 or fewer students. The Honors Program is described in more detail on its Web site (see Supporting Document **2.34**).

The University Writing Program (UWP) broadly encompasses the First-Year Writing Program (UW 20), the Writing in the Disciplines (WID) component, and the University Writing Center. The University-wide writing requirement calls for UW 20 (a four-credit freshman writing seminar) and two writing-intensive courses ideally taken in the sophomore and junior years and

offered by individual departments throughout the University. The UWP is designed to promote scholarship and critical thinking across all schools and undergraduate degree programs. This program is predicated on the idea that writing and learning are inseparable and that the University should produce students who will be able to write well in any number of areas and forms. Universities throughout the country have developed similar programs and have reported an improvement in their students' writing skills and in the degree to which students are intellectually challenged and engaged by their courses of study. Additional information about the UWP can be found on its Web site (see Supporting Document **2.35**).

School Programs

The CCAS Dean's Seminars are topic-based courses limited to 20 first-year students per class and delivered by full-time, research-active faculty. Roughly 40 Dean's Seminars are offered annually, serving more than half of the freshman class. The Dean's Seminars provide an alternative to the large introductory classes that incoming university students typically encounter. Faculty teaching these seminars are encouraged to employ active, problem-based learning, as opposed to the more traditional freshman introductory course lecture model. Dean's Seminars are described in further detail on the Web (see Supporting Document **2.36**).

The First-Year Development Program (FYDP) in the School of Business is a two-semester sequence of developmental experiences that introduce students to the world of business and prepare them to become successful business students and future business professionals. For this required, noncredit course, students meet in a large group three to four times each semester and then participate with upper class student mentors in breakout activities. A common reading assignment with discussion sessions guided by faculty, alumni executives, and guest speakers combines with service learning projects to engage and challenge the students. Additional information about FYDP appears on the Web and in the syllabi (see Supporting Documents **2.37**–**2.39**).
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Standard 2: Planning/Resource Allocation

To what extent are the processes for identifying and prioritizing programs that may yield increased undergraduate engagement and learning adequately integrated into the overall strategic planning process?

The focus on undergraduate engagement and challenge, an integral component of decisions about undergraduate education at the University level, has spurred new University-wide programs as well as guidance for efforts at the school level. The University's Academic Excellence Committee planned many of the existing undergraduate programs, initially through the report entitled "Enhancing the Intellectual Engagement of GW Undergraduate Students" (Supporting Document **2.40**). For example, the committee's conclusion that writing is a top priority for strengthening undergraduate engagement led directly to a substantial investment of time, financial resources, and intellectual energy to create the University Writing Program. Two recommendations stemming from the committee's work are still under consideration: changing to a 4x4 curricular structure (four four-credit courses per semester) to enhance academic engagement and academic challenge and developing a University-wide quantitative literacy

program similar to UWP (see Supporting Document **2.41**). The University has not yet determined whether these ideas can or should be carried out.

Deans often set priorities within their schools that reflect the ongoing effort to enhance academic engagement and challenge. The success of these efforts, whether central or distributed, is measured in part by retention rates, a metric specified in the University's Strategic Plan for Academic Excellence (see Supporting Document **2.01**).

Standard 3: Institutional Resources

How well does the unified budget model support the development and implementation of programs designed to engage and challenge students?

The current GW budget model was not conceived from the viewpoint of student academic engagement or challenge, yet it provides revenue sharing that can be used for this purpose. The unified budget model supports experimental or challenging programs through revenue-sharing incentives. It motivates deans and faculty members to build innovative programs in line with the strategic goal of intensifying the undergraduate experience as a means of improving student retention. When new programs are successful and enhance enrollments, the schools stand to gain greater financial support for their programs.

There are some drawbacks to the current budget model, however. Because budgets are currently created for only one year and are approved just a few months before the beginning of the fiscal year, and because revenue depends upon making enrollment targets in a tight, one-year time frame, planning long-range programs that engage and challenge students at the individual school level is difficult. Two common problems interfere with academic planning for engagement and challenge. First, budget shortfalls cause all school activities to be scrutinized in light of cost rather than academic challenge or outcome. Second, fiscal management at the University perceives programs that engage and challenge students as an enhancement to existing programs rather than anything substantively new for budget purposes. If, for instance, a budget shortfall occurs, programs that are perceived as merely enhancing the educational experience may be vulnerable. Such programs—like the Columbian College's Teaching Initiatives (2003–2005), which funded innovative courses, unified science curriculum development, undergraduate tutors, and other initiatives—make opportune targets for cuts. In fact, the CCAS Teaching Initiatives were cut as a result of a budget shortfall in 2006, presumably because they were perceived as a lower priority than the school's basic programs. Some deans and faculty express concerns that University-wide initiatives are not always well enough funded. Although reallocation of resources is one effective means of reshaping priorities and funding new initiatives, questions have sometimes been raised within the University community about whether the reallocation strategy is relied on too heavily. However, the Board of Trustees has now made substantial allocations for the UWP and other new initiatives through special endowment payouts (see Supporting Document **2.42**).

Faculty are also concerned about limited ongoing support for developing innovative curricula that are not either summer or technology-based. Although funding was committed in the past for the creation of the University Honors Program and although some Selective Excellence and

school-based funds have been devoted recently to curriculum development projects, no single office has been charged with supporting curricular innovation. The Center for Innovative Teaching and Learning (see Supporting Document **2.43**) reports to the assistant vice president for academic technologies, and the staff are heavily committed to Blackboard® and to working on courses for the Summer Distance Learning Initiative. The center needs to have a broader mission than "integrating technology into the classroom." The subcommittee was told, however, that the center is currently developing a 3-year plan for broad pedagogical development. Special and International Programs reports to its own assistant vice president within Academic Affairs and encourages proposals from faculty for summer institutes, faculty-led study-abroad programs, and undergraduate distance learning. All of these activities are required to be self-supporting and depend upon faculty for extensive contributions to their design and sometimes their administration.

Standard 7: Institutional Assessment

To what extent has GW been successful in developing and implementing programs to more fully engage and challenge undergraduate students?

GW has made an earnest effort to create new programs as well as support and enhance existing programs that aim to increase engagement and challenge for undergraduates. Over the past five years, GW has initiated the University Writing Program, Dean's Scholars in Globalization in CCAS, and other innovative programs such as those described in the summary of programs (see Supporting Document **2.08**).

GW's commitment to improve or enhance existing programs can be seen in the recent extensive academic program review of the University Honors Program and the resulting revision of the program for students entering in fall 2007. Within the limits of its relatively marginal role in a select group of students' overall undergraduate careers, the former program was demonstrably successful in engaging and challenging its students. The small seminar-style classes, faculty who love to teach and learn with undergraduate students, and the focus on individual student learning are a few of the reasons the program has succeeded.

However, as confirmed in the 2003 academic program review, the program's marginality in a student's overall undergraduate experience compromised its power to fully engage and challenge students. Consistent with its historical purpose as "enrichment" only, the program developed in deference to students' more primary academic obligations to their major departments and schools. Specific problems and weaknesses included "fitting" an Honors experience in and around an increasing number of departmental requirements, the lack of a coherent Honors curriculum, and the dominant academic culture at GW that promotes traditional, specialized, disciplinary, and preprofessional training for undergraduates over broader, interdisciplinary, or cross-cultural perspectives.

To address these challenges, the faculty Advisory Committee and staff of the Honors Program have presented to the University community a plan entitled: "Fulfilling the Promise: A Proposed Strategic Plan for the Next Decade" (see Supporting Documents **2.44**–**2.47**). Essentially, the plan proposes that the program transition from providing random "enrichment" to providing a strong

honors interdisciplinary general education core in the first two years, full integration with departmental Honors in the third and fourth years, and an Honors capstone experience—a Global Issues Practicum. The Honors general education core presents an alternative to the current general curriculum requirements for 5% of the undergraduate student body selected from the incoming classes of the five undergraduate schools. The three new first-year proseminars will be offered for the first time in the fall of 2007.

The University Writing Program is being assessed extensively by the Office of Academic Planning and Assessment (see Supporting Documents **2.48**–**2.50**) and by faculty teaching in the program (see Supporting Document **2.50**). Students' self-assessments of University Writing 20 (UW 20), the first-year writing course, show that three quarters of the students believe they were engaged in the course and rated their level of intellectual challenge as high. Most thought they learned a great deal and that their writing had improved. The skills most frequently cited as being enhanced by the class were researching (locating sources and using them effectively) and developing and supporting an argument.

Students also have found the upper level Writing in the Disciplines (WID) courses engaging and report that they are intellectually challenging. Many affirm that the writing component helped them better learn and understand the content of the course. Three quarters of the students thought they put forth more effort in the WID course than they did in their other courses. Many observed that writing in a new way offered a significant intellectual challenge, forcing them to reflect on the material and to develop their own ideas about the topic.

What evidence exists that these programs are achieving their overall goals and objectives?

On the whole, newer University-wide programs have extensive assessment components, and the results are provided to the deans of each school and made available to the larger University community (for example, via the UWP Web site). The assessment demonstrates how the programs have enhanced undergraduate challenge and engagement. For other programs, assessment is less well structured and may be limited to student satisfaction ratings.

In the Honors Program, students complete detailed course evaluations in class at the end of each semester. The return rate is generally very high, and Honors students tend to write informative comments about the value and challenge of the course. For the past two years, the program has administered its own exit survey to graduating seniors and has used that information to generate a comprehensive analysis and report. There are several positive indicators that the program is achieving its overall goals and objectives. For instance, close to 70% of the students earn special departmental honors in their majors. A significant number of Honors students win competitive fellowships and research awards: Ten of 16 awards and fellowships for GW students were won by Honors students in 2004; 9 of 26 in 2005; and 32 of 75 in 2006—when honors students represented less than 10% of the undergraduate student body. Retention and graduation rates of honors students are substantially higher than those of the undergraduate population as a whole. The latest data available indicate that the 4-year graduation rate of honors students was 12 to 14.5% higher than that of the undergraduate population as a whole, and the 6-year rate was 9.3% higher. Finally, anecdotal evidence and student commentary indicate a correlation between the number of Honors courses taken and the level of engagement and challenge of the student.

The University Writing Program reports a high level of student engagement and challenge in both UW 20 and the WID courses (see Supporting Document **2.49**). Of the students taking UW 20, 70% reported that they were very engaged or engaged in the course, and 72% rated their level of intellectual challenge as high. Moreover, 76% of the students thought they put forth more effort in UW 20 than they did in the other courses they took during the same semester. Over two thirds of the students thought that their critical thinking, research, and writing skills improved, with significant improvements in their analytical writing ability (71%). According to the students' responses, their ability to synthesize ideas from a number of sources was enhanced (71%), their ability to construct a persuasive argument was improved (67%), and their ability to analyze and evaluate arguments in the readings was improved (66%).

In addition to pre- and postcourse surveys completed by students, faculty assessed UW 20 research papers in the summer of 2006. Rubrics, described in "Using Text Based Assessment to Enhance Student Learning–2006 Report" (see Supporting Document **2.51**), were developed and used to evaluate two of the five goals of the course: (1) to gain a functional grasp of rhetorical principles and (2) to demonstrate the habit and discipline of careful editing and proofreading. Sixteen readers, including UW 20 and WID faculty and graduate writing preceptors, a competitively selected group of graduate teaching assistants from several disciplines, were trained to use the rubrics. "Using Text Based Assessment to Enhance Student Learning" describes the results of this assessment (see Supporting Documents **2.51** and **2.52** for the actual rubrics). Of the two goals assessed, Goal 4 (to demonstrate the habit and discipline of careful editing and proofreading) was clearly achieved most fully. For usage conventions such as paragraphing, syntactic complexity, and word choice, 48% of the papers were assessed to be in the top two scoring categories ("strong" and "exceptional"). For grammar and proofreading, 59% of the papers were assessed to be in the top two scoring categories ("strong" and "exceptional"). The University Writing Program attributes these high scores in part to an early emphasis on grammar and proofreading in faculty workshops during the first 2 years of the program, and we recommend a return to this emphasis in future orientations of new faculty.

Goal 2 (to gain a functional grasp of rhetorical principles) was divided into four learning outcomes. Of those four learning outcomes, only the first—focusing on purpose and genre—had a large number of papers (47%) scoring in the "strong" and "exceptional" range. The three remaining learning outcomes—focusing on audience expectations; structure; and format, tone, and levels of formality—were dominated by scores of "adequate" rather than scores of "strong" or "exceptional." While the vast majority of the papers assessed for Goal 2 at least met GW's minimum standards for "adequate," the University is not striving for mere adequacy: GW's goal is excellence.

To help students learn these rhetorical principles, the University Writing Program will establish a Curricular Review Committee this spring. That committee will collect course descriptions, syllabi, and assignments for all of the UW20 courses and will then review every course offered by the program to ensure that all of the courses follow the UW20 template. Emphasizing consistency will highlight not only Goal 2 but *all* the goals established in the template in the assignment designs. In June 2007, two additional goals were assessed (Goals 1 and 3) leaving one (Goal 5) remaining.

Thus, UWP has been using the results of this 2-year assessment project to determine whether the original objectives of the program are being met and, if not, to take measures to meet them. The faculty development workshop held in August, prior to the beginning of the fall 2007 semester, used the instruments created to structure discussions about grading. Finally, these rubrics will be used as a starting point for assessing WID courses, in the first phase of an assessment plan focusing on the second component of the new University Writing Program (see Supporting Document **2.52**).

Data suggest that 71% of the students in the WID courses reported being very engaged or engaged, and 68% rated their level of intellectual challenge as high. Three quarters found the assignments challenging, and two thirds thought that the writing component of the course helped them learn and understand the content material presented in the course, thereby meeting a major program goal of using writing to enhance learning. A set of questions was included on the 2007 graduating senior survey for CCAS students, and a text-based assessment of WID courses is planned in the near future.

Assessment of school-level programs appears in the new *Guidelines for Academic Program Reviews* (APR), revised in 2005 (see Supporting Document **2.53**). Departments and programs must conduct these reviews on a 5-year cycle. The APR calls for each program to identify program goals, to map curriculum in terms of learning goals, to provide evidence about the achievement of learning outcomes, and to assess the evidence in terms of program strengths and areas for improvement. In addition, assessment is linked into the metrics of the University's strategic plan and is tracked by the deans of each school and the EVPAA through annual reports. The deans have identified metrics within their domain that begin with a baseline value, established as of July 2004, and including an optimal value to be obtained in 3 to 5 years and the current value established at the end of each year (30 June). In their annual reports, the deans provide updates on progress toward the optimal value on these metrics. The annual reports are used to evaluate each dean's performance for merit pay increases.

The Dean's Seminars are assessed in three ways: through student evaluations created specifically for these seminars in consultation with the Office of Academic Planning and Assessment (see Supporting Document **2.11**), through a student engagement questionnaire sent to all faculty members who taught Dean's Seminars in the past 3 years (see Supporting Document **2.10**), and through the Collegiate Learning Assessment (CLA), which will include a sample of GW students who enrolled in a Dean's Seminar and a group who did not. Although the CLA was first administered in the 2005–06 academic year, results judging the effectiveness of the Dean's Seminars will not be available for a few years.

Evidence gathered thus far indicates that the program has been quite successful in engaging students. First, the students' evaluations indicate a high level of engagement. In the fall 2003 semester, 71% of the students in Dean's Seminars reported a very high or high level of academic engagement. In spring 2004, 77% reported a very high or high level of engagement. In the 2005–06 academic year, 66% reported a very high or high level of engagement. Second, the faculty survey specifically asked faculty to compare the level of engagement in their Dean's Seminar to the level of engagement in other introductory courses that they had taught. Although the survey

is unscientific, we were encouraged to find that most faculty members who taught Dean's Seminars and other introductory-level classes thought that the former were more academically engaging.

The First-Year Development Program (FYDP) in GWSB is assessed at the end of each year via student evaluations of the program (see Supporting Document **2.54**)**.** To date, the evaluation has focused on gathering qualitative data on the student's experience in the course and the perceived value of that experience. Further, extensive anecdotal feedback from students as they move through their academic career indicates that FYDP engages students with the school and prepares them for success in GWSB.

Overall, at the University and school levels, the existing programs have succeeded in engaging and challenging students, but there continues to be room to refine these programs and to improve the assessment of engagement and challenge. Also, other attempts to transform the overall undergraduate program to more fully engage and challenge students are still being reviewed. The aforementioned 4x4 curriculum proposal and consideration being given to a University quantitative program (similar to the University Writing Programs) are examples of prospective efforts under discussion on campus.

How are current metrics for assessing these programs used to provide feedback and guidance to the deans and program directors?

The results of the Honors Program review have guided the redesign of the program (see Supporting Document **2.45**). It is still very early in the process of the initial assessment of the UWP and WID, but personnel involved in these programs from the beginning are committed to assessing the results and making changes as appropriate.

The student evaluations of the Dean's Seminars (see Supporting Document **2.11**) have informed CCAS about the types of courses that best engage and challenge students, and changes have been made accordingly. As a result of the evaluations, some faculty were not invited back to teach in the seminars.

How well do faculty understand and support the institutional assessment of these programs?

The revision of the Honors Program involved extensive faculty effort. At least those faculty members who participated in the review understand and support the institutional assessment of the program. As noted above, the University Writing Program has just completed its assessment of two of the goals of the program. The three remaining goals are slated for review, and the assessment on writing samples from WID courses will be repeated. At this point, most faculty have been receptive to the assessment and have assisted by providing copies of students' writing assignments. The University Writing Program leadership is strongly committed to creating a culture of assessment within the UWP.

Two facts suggest that the involved faculty members appreciate the importance of assessing the Dean's Seminars. First, the faculty members regularly administer the specific evaluation that was designed for the Dean's Seminars. Second, a significant number of faculty members responded

to the faculty survey. In the School of Business, faculty have been involved in FYDP activities and are being included in an assessment of the program.

Overall, the faculty involved in these programs understand and appreciate the institutional assessment of the programs that are specifically designed to engage and challenge students.

Standard 14: Assessment of Student Learning

How effective are the processes that are in place to assess student learning in these programs?

With the exception of the UWP, assessment of student learning is primarily done in the classroom by the instructor. In the University Writing Program, the Honors Program, the CCAS Dean's Seminars, and FYDP, the small seminar-style classes or breakout sections emphasize preparation, participation, and conversation. This environment encourages students to demonstrate the depth and breadth of their understanding and challenges them to apply what they have learned. (In some classes, participation counts for over 25% of a student's final grade.) Further, small classes engender close relationships between students and faculty. In these settings, instructors or, in the case of FYDP, upper class students serve as mentors. In writing-intensive programs, such as UWP and many Honors courses, faculty read every paper and thus have firsthand and detailed exposure to the students' writing skills and the degree of learning taking place.

In the School of Engineering and Applied Science (SEAS), methods to evaluate student learning are guided by the Accreditation Board for Engineering and Technology (ABET). ABET accredits only Bachelor of Science programs; nonetheless, the same mechanisms of student assessment are used in the SEAS Bachelor of Arts programs. ABET requires that each program demonstrate that students have abilities and understanding in 11 areas: (a) in mathematics, science, and engineering; (b) to design and conduct experiments, analyze and interpret data; (c) to design systems/processes that meet needs within given constraints (economic, environmental, social, political, ethical, health); (d) to work in multi-disciplinary teams; (e) to formulate and solve engineering problems; (f) in professional and ethical responsibility; (g) in effective communication; (h) for a broad education in which the impact of engineering is examined in global, economic, environmental, and societal contexts; (i) for lifelong learning; (j) in contemporary issues; (k) with modern engineering tools. Every academic program defines its own mechanism to evaluate student learning, as well as strategies to improve academic programs. Data about student learning come in the form of homework, tests, laboratory experiments, independent design projects, and team projects. Improvements come through faculty committees designed for course or programmatic evaluation and change. Approximately every 6 years, ABET critically examines each program's ability to evaluate student learning through a rigorous self-study process, followed by a site visit by experts in each of the engineering or computer science disciplines. The evaluation assesses the course syllabus and samples of student performance (best, worst, and average) for every course in the curriculum. Engineering programs are being reviewed in October 2007; the computer science program has just received full accreditation for 6 years.

The revised Honors Program will add other means to assess student learning. Performance in the Global Issues Practicum in their last year will indicate how well students use what they know and will highlight what they do not know. It will allow them to perform as team members in solving important, complex problems. Additional assessment strategies, for the program as a whole and for each of the five new interdisciplinary proseminars, will be incorporated, based on the learning outcomes identified and pedagogical approaches used. These may include a portfolio history for each student, a record of student success in attaining departmental honors, and revised student and faculty evaluation procedures.

Faculty involved in the UWP have worked closely with the Office of Academic Planning and Assessment to ensure that UW 20 and WID courses are carefully evaluated using both pre- and postcourse surveys (see Supporting Documents **2.48**–**2.51**). UW 20 was evaluated by means of a survey of students' high school writing experiences, an end-of semester course evaluation, and an assessment of research papers of students enrolled in the fall semester of 2006. At the beginning of the first WID courses offered (2004–2005), students were asked why they had enrolled in the course. At the end of the semester, students completed an end-of-semester survey and provided final drafts of a writing assignment for the course. The postcourse UWP surveys addressed the students' level of engagement and challenge, time spent on the course, self-reported learning outcomes, self-reported research skills, the level of interaction with the instructor and other students, and the quality of instruction.

What changes have resulted from these assessments?

The results from the assessment of UW 20 research papers were released as this report was being written; therefore, it is premature to discuss any changes stemming from the assessment. The UWP established a Curricular Review Committee in the spring of 2007 to address concerns about student learning of rhetorical principles. That committee will collect course descriptions, syllabi, and assignments for all of the UW20 courses and will then review every course offered by the program to ensure that all of the courses follow the UW 20 template. This greater emphasis on consistency will ensure that faculty address the goals established in the template in their course designs.

The substantial changes to the Honors Program that resulted from assessment have already been addressed in this section of the report, as have changes to the Dean's Seminars and the FYDP.

How well do faculty understand, support, and implement the assessment of learning outcomes?

UWP and Honors Program faculty understand and fully support the assessment of learning outcomes as described above. For UWP, faculty understand that the main goals are to improve students' writing skills and to enhance students' critical thinking and analytic abilities through writing. The Honors Program's focus and the faculty's reason for being in the program are to develop each student to full potential in a community of scholars who are accountable to one another. AACSB, the accrediting body for schools of business, has mandated setting learning outcomes for all programs; therefore, the GW School of Business is developing these learning outcomes. As a required course, FYDP is part of that process.

The guiding question for this section addresses the success of those University programs designed specifically to enhance students' engagement and level of challenge. The subcommittee sees evidence that specific programs are successful; however, improvements will be necessary for GW to fully achieve its goals and to make sure that existing and future programs achieve their potential. These areas are next addressed in light of Standards 2, 3, 7, and 14.

Standard 2: Planning/Resource Allocation

Metrics have been identified to support the strategic goals of each school and are being applied in performance reviews. However, inconsistency persists regarding planning and resource allocation across the four highlighted programs; planning for academic engagement and challenge is done well in some instances, less well in others. The subcommittee recommends that the EVPAA and the academic deans of the schools collaborate closely to set strategic priorities and allocate resources to ensure a coherent and coordinated approach for boosting engagement and challenge. The planning process could also benefit from strengthened means for formally adjusting plans and metrics as needed, taking action when schools do not achieve measures of appropriate progress, and building on successes in future planning.

Standard 3: Institutional Resources

Standard 3 addresses the adequacy of human, financial, facilities, and other resources to achieve the University's mission and goals as well as the need for an ongoing evaluation to determine whether the resources are being used effectively and efficiently. When the University launches initiatives such as the UWP, it must allocate appropriate resources to initiate and sustain them.

As a case in point, aside from those directly related to the University Honors Program and international/special programs budgeted by the EVPAA, there appear to be few resources to support innovative teaching and inquiry-based courses at GW, although they are recognized as an essential means to engage and challenge students in learning. Even with the supplemental funds that were provided this year for the WID courses, this component of the UWP is still largely perceived as an unfunded and unsustainable mandate.

University-wide, the Honors Program must compete with Dean's Seminars and departmental demands for the time and attention of regular full-time faculty. In CCAS, the Dean's Seminars and WID courses have the potential to compete with each other for faculty. Departments in CCAS and other schools need full-time faculty to teach larger classes at the same time that the WID initiative and programs such as the Dean's Seminars offer faculty the luxury of teaching smaller classes. Departments end up hiring more part-time faculty to cover courses because full-time faculty cannot meet all the demands.

A related issue is the lack of funding noted for innovative curricula that are not technology based, with the exception of the resources budgeted for the University Honors Program and small allocations through the Office of Special and International Programs. The subcommittee

recommends that the University allocate funds to resurrect the Center for Teaching and Learning, an office headed by a director charged with professional development in pedagogical and technical areas. Short of this, the mission of the Center for Innovative Teaching and Learning (CITL) should be altered to implement its 3-year plan to extend its current technology focus and to provide resources to faculty who wish to improve learning experiences and outcomes for students. The subcommittee also recommends that no new teaching initiatives be rolled out until 3 to 5 years of funding has been set aside, to ensure success from launch to sustained and established functioning.

Overall, resources and their strategic uses are a concern, in terms of both the University's ability to develop new programs and the sustainability of initiatives. For instance, when funds are reallocated from one area to support an initiative, or when incentives are not tied to the right outcomes, unexpected and unhelpful consequences can occur. Decision makers must keep programs from cannibalizing each other, sustain programs over time, and set a process in place to assess and terminate programs that are no longer viable.

Standard 7: Institutional Assessment

Newer programs are more likely to have carefully developed assessment plans than older programs, given that assessment has become more of an expectation recently. For example, an assessment plan was built into the UWP from the outset. At this point, approval of a new program at the University level requires learning outcomes and an assessment plan in the program's initial plan. At the central administration level, the necessity of assessment is clearly understood. We have already noted the metrics that are submitted by each school to the EVPAA each year; these contribute to assessing the performance of the deans. This process could be improved by including a specific mechanism for adjusting those goals and metrics as program needs change.

Standard 14: Assessment of Student Learning

Of the programs reviewed by the subcommittee, the UWP is the only one that includes course-embedded assessment of individual student learning. Other programs, such as the Honors Program, use indirect measures (GPA, numbers of fellowships, student and faculty evaluations, etc.). Several accrediting bodies, such as the AACSB, which accredits the School of Business, and ABET, which accredits engineering, have begun to require embedded assessment measures, and GW programs accredited by these bodies are now developing and implementing these direct assessments of student learning. For example, the accreditation process for SEAS engineering and computer science programs permits a great deal of flexibility in the ways faculty may assess student learning and make improvements in courses and the curricula. Nonetheless, rigor must be demonstrated in 11 key areas of learning in each program. Further, the Office of Academic Planning and Assessment is available to assist programs in developing such measures.

The subcommittee recommends requiring all new programs to assess learning outcomes and embed assessment measures in course assignments, reports, and exams. The rationale for this requirement is twofold: (1) Faculty who design new programs will think about what they want students to learn, and the assessment tools will provide feedback on the success of their efforts;

and (2) the information can be communicated to students to help them understand what is expected of them and the value they will receive from the program.

Direct assessment of student learning and increased academic engagement and challenge of students demand serious, lasting effort on the part of faculty. Some faculty face a fundamental rethinking of their priorities and time allocation. Currently, the University is seeking to achieve greater prominence as a research university, a goal that intensifies competition among the demands on faculty time. GW must strive to find the appropriate balance between teaching and research—and put in place the appropriate incentive structure—to achieve the undergraduate engagement and challenge components of Goal 1 of the Strategic Plan for Academic Excellence. A 2001–2002 Report of the Academic Excellence Strategic Planning Committee entitled *Enhancing the Intellectual Engagement of GW Undergraduate Students* addressed some of the same issues we have noted, including the need for appropriate faculty incentives (see Supporting Document **2.40**).

Excellence in Doctoral Education

> *Guiding question: To what extent is GW achieving its goals of building and sustaining quality doctoral education?*

GW faculty and administrators have spent a lot of time and energy evaluating and rethinking doctoral education. While it is still early in the implementation of the changes, results suggest that the University has gone a long way toward building quality doctoral education and that the good results of these efforts will continue.

Standard 2: Planning/Resource Allocation

What impact did the doctoral program review have on funding and other resources allocated to doctoral programs?

GW undertook a University-wide review of its doctoral programs in 1995–1996 and a more formal review in 2002–2004, in conjunction with its Strategic Plan for Academic Excellence. The latter review culminated in quality designations (see Supporting Document **2.55**) and identification of program strengths and weaknesses. The administration suspended or terminated two programs and consolidated several others, leaving 33 where there had been 48. In view of evidence of the role of financial support in successful graduate student recruitment, retention, and graduation, the University also committed an additional $1.5 million to graduate student support packages in the years from 2002 to 2005. The strategic planning process set a number of institutional goals with regard to doctoral programs: raising the minimum stipend plus salary to $15,000, providing more packages to the strongest doctoral programs, and supporting doctoral students in top programs for 5 years.

Early investments of new stipend funds were determined by the first doctoral program review and by indicators of program quality that were subsequently incorporated in the Doctoral Program Review of 2002–2004. The deliberations and recommendations of the committee then guided continuing investments of the new stipend funding, as well as allocation of other

discretionary funds such as increases to the graduate student support budget and assignment of Presidential Merit Fellowships. In addition, some deans increased their investments in certain departments and decreased their investments in others, based on the outcomes of the doctoral program review (with respect, for example, to the approval of new hires, starting salaries and start-up packages, and allocation of the school's resources for graduate student support).

The $1.5 million in stipend increases was supplemented by approximately $400,000 in discretionary investments. Selective Excellence awards to signature programs (see Signature Programs section) and Academic Excellence awards to other top programs directed much of the new funding to those programs ranked highest in the doctoral program review. Overall, 14 departments with top doctoral programs received $1,535,714; $1,169,802 of it from the original $1.5 million in new stipend funding (see Supporting Document **2.14**).

Data from the Columbian College of Arts and Sciences, the school that benefited most from new funding, provide a useful "before and after" picture (see Supporting Document **2.16**). The table shows changes in both the number and size of support packages from academic years 2001–2002 to 2006–2007 in programs rated high, upper middle, middle, and low in the doctoral program review. Clearly, numbers and sizes of packages increased markedly during this period, especially in the most highly ranked programs.

Standard 3: Institutional Resources

To what extent has the allocation of additional fellowships and assistantships to selected doctoral programs resulted in the recruitment and retention of a stronger cohort of doctoral students?

It is too early to properly assess the effects of the infusion of new resources on GW's strongest doctoral programs. It will take some years to track retention and graduation rates of recent cohorts of students compared with earlier ones. The University is, however, developing methods for making useful comparisons as it collects data for the NRC Assessment of Research Doctorate Programs. The data will help GW determine whether increased doctoral student support and other program reforms and enhancements instituted since the doctoral program review have led to shorter times to degree, higher graduation rates, and better outcomes after graduation.

Meanwhile, the University is already able to assess improvements in the recruitment of doctoral students. The analysis of the census admissions data for all doctoral programs (see Supporting Document **2.17**) shows trends in admissions from 2001 to 2006 for all doctoral programs. The share of applicants admitted decreased from 28.2% to 21.5% over this period, suggesting greater selectivity. The yield of admitted students decreased, from 53.9% in 2001 to 49.0% in 2006. Columbian College, where most of the new funding was invested, evinced the most improvement. Over the 2001-to-2006 period, the admission rate in CCAS dropped from 24.4% to 13.2%, and the yield of admitted students increased from 45.9% to 51.4% (see Supporting Document **2.18**). Moreover, average GRE scores have increased in CCAS doctoral programs (see Supporting Document **2.19**; see especially the "Max" column, which contains the GRE scale score most relevant to success in the particular field of study). Overall, GW's doctoral student demographic changed as a result of the improvements in the doctoral programs across campus. A

number of programs went from having a large population of students who were local and working full time to a more diverse group of students who were nationally competitive.

How do current resources for doctoral students compare to those provided by peer institutions?

A survey of the Web sites of GW's market basket universities (see Supporting Document **2.20**) suggests that GW's current graduate student support packages, many of which are now in the $17,000-to-$18,000 range, are comparable to those at many of the private universities that compete with us, though below those offered by Columbia and NYU. However, although solid figures are not obtainable, highly ranked private universities often indicate that they provide full support to all or almost all doctoral students. In 2005–2006, GW provided partial support to 42% of its doctoral students and full support (defined as stipend and/or salary of $14,990 or more, plus tuition) to 22% (372 of 1695 students in four schools). In addition, many competitor universities fully subsidize health insurance for doctoral students; GW subsidizes $1,000 of a $1,700 health plan for graduate assistants only. Based on these analyses, the Office of Graduate Studies and Academic Affairs prepared a proposal in the fall of 2006 to bring GW into better alignment with peer institutions (see Supporting Document **2.15**).

Standard 7: Institutional Assessment

Are the results of ongoing assessments being used effectively to examine the viability and quality of doctoral programs and to strengthen those programs?

The committee discussed the results of the 2003–2004 Doctoral Program Review with each dean of a school with doctoral programs. The results were revised and then communicated in a memorandum from the EVPAA to the deans, who in turn passed them on to the relevant program faculties and worked with the programs to implement key recommendations.

The precise processes and outcomes varied from school to school:

- In Columbian College, the dean met with three to four representatives of each program in three 3-hour meetings. They first discussed the summary memo from the EVPAA, then formulated a plan for the next 3 years in each program, and finally developed a draft of the recommendations of the dean. The final version of the dean's recommendations, issued in October 2005, called for annual reviews over the 3-year time frame. Programs were challenged to benchmark themselves against peer programs and to work toward measurable goals, such as increasing sponsored research and student fellowships. As we noted earlier, two programs have been phased out, graduate student support has been increased, and program selectivity has improved.
- The School of Business consolidated four major fields incorporating nine program areas into one degree program, the PhD in business administration. GWSB reformed its curriculum to strengthen the methodological core, tighten criteria for mentorship of doctoral students, and reduce program size. Preliminary data suggest an increase in average GMAT scores from 680 in 2002 to 710 in 2006 (see Supporting Document **2.56**).

- The GW Institute for Biomedical Sciences consolidated its six doctoral programs into three more-robust programs: molecular medicine, biochemistry and molecular genetics, and microbiology and immunology. The faculty designed two new core courses and strengthened a partnership with NIH by restricting students to performing research in the laboratories of collaborating pairs of GW and NIH researchers.
- The School of Public Health and Health Services added faculty strength to both the biostatistics and epidemiology programs.
- The Graduate School of Education and Human Development held meetings of each program's faculty to discuss the findings and has taken steps to reduce the size of doctoral program cohorts, tighten admission requirements, add research methods faculty, enhance support for student research and dissertation preparation, and otherwise improve programs and curricula.
- In the departments of the School of Engineering and Applied Science, changes attributable to the doctoral program review have included limiting the number of doctoral students whom one faculty member can mentor, requiring GRE scores for admission, strengthening program focus on areas of research strength, and improving evaluation of teaching assistants.

Ongoing, institution-wide evaluation processes are also being used to monitor changes in GW's doctoral programs. Individual faculty members and departments submit annual reports to their deans and in turn to the EVPAA; these reports allow for assessment of significant changes in indicators of doctoral program quality (e.g., curricular changes, faculty publications, grants, and awards).

In addition, the periodic academic program review of each department requires an assessment of the doctoral program using the same criteria employed in the doctoral program review, thus applying the same standards to every doctoral program approximately every 5 years (see Supporting Documents **2.53** and **2.57**). Finally, constructing a database for the National Research Council (NRC) Assessment of Research Doctorate Programs will facilitate tracking of student outcomes going forward.

Standard 14: Assessment of Student Learning

What do the outcome indicators being used to examine GW's doctoral programs reveal?

The University will be able to properly assess outcomes of the changes brought about by the doctoral program review only when recently admitted students complete their programs 5 to 10 years after the 2005 class entered.

In the meantime, the subcommittee has analyzed data from GW's yearly graduation survey to determine how doctoral graduates perceive their programs and whether any preliminary trends are evident (see Supporting Document **2.21**). We compared results in programs rated high/upper middle and programs rated middle/low in the period from 2002 to 2005. As the number of respondents from high/upper middle programs was low, and there were many uncontrolled differences between the comparison groups, the data should be viewed as suggestive. Overall, students in programs rated high/upper middle were somewhat less satisfied with their academic

experience, similarly likely to have secured employment, and more likely to be entering the professoriate than students graduating from middle/low programs. These and other differences can now be tracked.

The University is currently assembling data for the NRC Assessment of Research Doctorate Programs in 2006–2007, for CCAS and SEAS programs only. These detailed data will cover retention and graduation as well as the employment status of graduates.

How are the data being used to enhance programs?

Although it is not yet possible to evaluate the full effects of initiatives to improve doctoral education at GW, it is clear that these initiatives are data driven. For example, extensive data on graduate student support contributed to the plan to increase stipend funding and informed deployment of the funds, and the Doctoral Program Review Committee's study of time-to-degree and graduation rates resulted in specific recommendations to certain programs, especially in the humanities, to speed the time required for doctoral candidates to finish their degrees.

Overall Summary and Recommendations for Doctoral Excellence

Overall, the subcommittee concludes that GW has instituted and carried out a systematic, data-driven, and effective strategic planning process for its doctoral programs. Faculty and administrators have carefully evaluated the doctoral programs and their resources and have developed and implemented strategies for improving programs. It will now be critical to continue gathering data to ensure that recommended program reforms and enhancements are made and to better assess their effects on students.

Areas in need of attention in the near future include: (1) provision of financial support to a greater proportion of doctoral students for more years through growth of the graduate student support budget and research and endowment funding; (2) increases in support package size to keep up with the growing cost of attending GW and to match or exceed competitors' support packages; (3) an increase in the health insurance subsidy and extension of it to fellowship recipients; (4) extension of NRC data gathering and analysis to programs not included in the NRC study; (5) more systematic collection of data on student professional achievements before and after graduation; (6) resolution of issues associated with the fact that graduate enrollment projections rather than undergraduate enrollment projections determine how much funding is available for teaching assistants and, in turn, what workload funded doctoral students carry, and (7) development of better mechanisms for the sharing of best practices in doctoral education across schools.

Signature Programs

> *Guiding question: To what extent do signature programs enhance the quality of education and achievement of the goals of the University?*

In 2003, the University president and the Board of Trustees authorized the administration to raise the educational component of the University to "a place of distinction among its peers." That

directive led to the identification of seven signature programs, selected because they had the potential to enhance academic excellence at GW (see Supporting Document **2.58**). In 2007, GW selected and funded an additional 13 areas of excellence (see Supporting Documents **2.59–2.61**).

Standard 2: Planning/Resource Allocation

To what extent are processes in place to identify and fund appropriate signature programs that enhance the mission of the University?

The first step in the initial funding cycle process was to form a committee, chaired by the EVPAA, with two deans of schools, at least two faculty members from each of the various academic units, and Board of Trustees members to produce a strategic plan for the University. The ensuing year-long effort focused on improving graduate and undergraduate programs and the quality of faculty and students. One of the decisions made during this time was to implement a multistage plan identifying selected programs for accelerated investment and development.

The long-term plan sought to improve all of the University's varied programs gradually, but the first steps were to identify a handful of the "strongest and most promising academic programs" for initial upgrading. The administration employed a dynamic, interactive process to select the programs. Department heads and program managers throughout the University were asked to submit budget requests to the Academic Excellence Committee. Out of the proposals generated at the department and program level, 24 proposals were sent forward for consideration. Selection criteria included quality of faculty scholarship, national importance of the program, use of internal resources, and the ability to attract and leverage external resources. All of these criteria were designed to enhance the quality of education and the achievement of the goals of the University.

The review process led to the selection of seven signature programs, based upon their potential for development and the feasibility of their stated goals. Each selected program's goals intersected with and supported the larger goals of the University's strategic plan. After further discussion between the administration and the Board of Trustees, new money was authorized from University endowment funds to finance these seven programs (see Supporting Documents **2.22–2.33** and **2.62**):

1. Human evolution, a project combining the medical and anthropological faculties to address the area where "human development and the molecular basis of development intersect";
2. Political science, with the intention of increasing the stature of the department to "one of the nation's premier departments";
3. Biomedical engineering**,** with the goal of combining the efforts of the engineering, computer science, and medical faculties to improve patient quality of life and reduce the cost of health care to citizens;
4. Transportation safety and security, to become "one of the top in the nation" in addressing transportation safety and security;
5. the Sigur Center, tasked with improving the "quality and international visibility" of the University's Asian studies program;

6. Public policy and public administration, with the goal of enhancing academic excellence in education and research on policymaking, policy analysis, and public service; and
7. History, with the goal of increasing the writing component in the undergraduate curriculum.

In 2007, the University trustees approved a $4.5 million endowment payout to fund another round of signature programs and additional areas of excellence (see Supporting Document **2.42**). The selection process involved a rigorous review by a seven-member panel of deans and faculty members. Proposals had to address a specific goal of the University's Strategic Plan for Academic Excellence and identify substantial matching funds. Selection was based on whether the proposed investment would address the goals of the strategic plan and enhance the University's prestige and reputation (see Supporting Documents **2.59**–**2.61**). Thirteen proposals, eight from faculty members and five from deans and administrators, received funding.

The deans' and administrators' proposals were funded as strategic initiatives and will add funds to the University Writing Program, language instruction, international initiatives, an electronic classroom at Gelman Library for the University Writing Program, and podcasting. The faculty proposals are funded as signature programs and include Discovering and Interpreting the Diversity of Life; Urban Inequality: Costs, Consequences, and Policy Responses; Systems Biology: Virus-Host Interaction; Doctoral Study in Special Education; the Institute for Corporate Responsibility; the Institute for Integrating Statistics in Decision Sciences; the Center for Biomimetics and Bioinspired Engineering (COBRE); and High-Performance Computing Technology and Applications. (See Supporting Document **2.42** for the amount of funding for both the deans' and faculty proposals.)

Standard 3: Institutional Resources

How effective have the resources dedicated to the signature programs been for enhancing and sustaining these programs?

One component of the original planning document recognized that building greater excellence and a unique institutional identity will require that GW invest additional resources in its strongest and most promising academic programs (i.e., signature programs).

The EVPAA devised an assessment/investment formula for each program, with an initial investment of $500,000 in the seven programs collectively, supplemented by three subsequent annual increments of $250,000 each, for a total investment in the seven programs of $1,250,000 from FY03 to FY06. There were no funding guarantees; each program was subjected, and continues to be subjected, to a rigorous, annual self-assessment examining how actions taken lead to enhancement of the program.

The annual self-evaluations have provided the necessary metrics on which the administration assesses each program. In addition, the EVPAA conducts an ongoing evaluation of programs and discusses findings with program heads and the Board of Trustees. All of the programs have achieved successes. As expected, the rate of progress has varied with each program. Some of the

programs were entirely new concepts and so progressed rapidly, while established programs were inherently less likely to develop rapidly.

Human Evolution expanded its graduate program, adding two graduate assistantships and two post-doctoral fellowships. The Anthropology Department is now ranked sixth among top anthropology departments in the country, based on a new Faculty Scholarly Productivity Index. The number of fellowships funded at a competitive level more than doubled, while student selectivity rose. The number of publications has grown as well (see Supporting Documents **2.22**–**2.24**).

The Political Science Department has enhanced its graduate program while continuing to work on improving its national ranking from that of 55th when the program began. Applications have increased from 152 in 2001 to 393 in 2006 as selection has become more rigorous. Twenty-four political science graduate students received research funding in 2006; that number was zero in 2001 (see Supporting Documents **2.25**–**2.27**).

Biomedical Engineering has added new courses and increased the number of students, also adding more space for classrooms and faculty offices. Research funding has risen from $200,000 to $920,000 per year, and a new undergraduate biomedical engineering program now (spring 2007) enrolls 110 students (see Supporting Document **2.28**).

After early difficulty, Transportation Safety and Security now operates at the national level, particularly regarding the automotive industry. Graduate student selectivity has improved, and an undergraduate transportation program has been established in the Department of Civil and Environmental Engineering (see Supporting Documents **2.29** and **2.30**).

The Sigur Center has added an associate director and a new faculty line, and in 2005–2006 it raised more than $1 million in outside funding for graduate fellowships, Gelman Library resources, conferences, and programming. The Sigur Center has also been awarded $510,000 for foreign language and area studies fellowships in a rigorous review process, competing against schools such as Columbia, Yale, and Berkeley (see Supporting Document **2.31**).

The GW Institute of Public Policy has increased external funding from its initial $600,000 to $1.4 million in 2006, and the quality of incoming PhD students in the School of Public Policy and Public Administration has improved, allowing the doctoral program to become more selective (e.g., 33 out of 170 applicants accepted in 2006–2007). (For additional information, see Supporting Document **2.32**.)

History has added graduate teaching assistantships and developed two new programs for undergraduates: the Writing in the Discipline program and the Dean's Seminar. History also has seen hikes in applicants' standardized test scores, grade-point averages, and overall credentials. Exit surveys indicate that academic engagement and challenge have increased by more than fourfold since history was identified as a signature program (see Supporting Document **2.33**).

What has been the impact of the investment in the signature programs on the resources available for other programs?

The administration intends to fund the most competitive programs while adding new programs for additional investment, reflecting its commitment to raise the University to a level of distinction among its peers. Contrary to the concern of some, the investment in selected programs has not reduced the funds available for the University community in general. The Board of Trustees has determined a strategy of using the University's endowment payout to expand overall investment in the institution rather than shifting existing resources from one program to another. This year, the administration has added 13 additional programs to the fast-track approach.

Standard 7: Institutional Assessment

How effective are the processes intended to monitor and assess the signature programs? Are the data needed to effectively evaluate the contributions of these programs to the achievement of the goals of the Strategic Plan for Academic Excellence being obtained and analyzed?

Assessment calls for each signature program to complete an annual report. Data required to evaluate the contributions of these programs to the achievement of the goals of the Strategic Plan for Academic Excellence are obtained and analyzed, and are used in making decisions about future funding. Data collected include:

- annual amount of internal GW funds allocated for signature program initiatives;
- annual amount of external funds raised from private gifts, grants, and other sources for signature program initiatives;
- amount of internal reallocation for signature program initiatives; and
- achievements of signature program initiatives as measured by faculty publications, external funding, curricular initiatives where appropriate, and program evaluations and rankings.

The original seven signature programs have now been in place for 5 years, and the University is in the process of evaluating further investment in them. This evaluation will also gauge whether additional or different data are needed from the programs in the future to substantiate their successes.

Standard 14: Assessment of Student Learning

To what extent have those signature programs that include a direct educational component contributed to enhanced student learning?

At all levels and in all programs, the very attempt to raise the intellectual level has *ipso facto* also enhanced the level of student learning. Additional financial resources, new and improved facilities, innovative approaches to learning, and imaginative programs have resulted, and these

should lead to greater student interest, involvement, and learning. In the future, formal assessment of learning outcomes needs to be established for all programs as appropriate.

Overall Summary and Recommendations for Signature Programs

The University's strategy for selecting signature programs appears straightforward. However, at the time of inception and well into implementation, faculty expressed concerns about the lack of transparency of the overall process. Some complained that budget cuts were caused by investment in the signature programs. Others questioned the selection decisions. Still others complained that the return on the investment was inadequate. These may all have been legitimate expressions of concern but were not well founded from the perspective of the administration.

The subcommittee's review of the annual reports and other information about the programs suggests that they are fulfilling their promise to bring in greater funding and recognition to the University and adding to the research efforts at GW. More efforts should be expended to share information about the success of these programs with University faculty. A document similar to an annual report or investors' report summarizing the activities and "pay off" for each of the programs should be prepared and distributed to faculty rather than expecting faculty to go to each program's Web site or relying on a single news article. Such a report would also be useful for sharing with funding agencies and others interested in the research and related activities of the University. Faculty also need to have clear guidelines for continued funding of the programs.

Supporting Documents

2.01   Strategic Plan for Academic Excellence (SPAE)
2.02   Questions Sent to Directors and Deans Regarding Engagement and Challenge
2.03   CCAS Middle States UG
2.04   ESIA Undergraduate Engagement
2.05   GWSB Activities
2.06   Honors Program Engagement and Challenge
2.07   WLP Undergraduate Engagement
2.08   Undergraduate Engagement and Challenge Initiatives
2.09   Response from EVPAA Regarding Undergraduate Engagement and Challenge
2.10   Dean's Seminars Survey Responses 2006
2.11   Dean's Seminars Evaluations 2003–2006.pdf
2.12   Academic Excellence at GW—Report 6-21-02
2.13   Doctoral Program Review 2003–4
2.14   Selective Doctoral Investments 2002–2005
2.15   Status Report on Support of Doctoral Students
2.16   Doctoral Award Packages
2.17   Census Admissions Data, ALL Doctoral Programs
2.18   Census Admissions Data, CCAS Doctoral Programs
2.19   GRE Percentile Averages of Incoming Class
2.20   Graduate Teaching Assistance at Market Basket Schools
2.21   Grad Student Graduation Survey 02–05 - Selected Findings on Doctoral Students
2.22   Signature Programs - Human Evolution Annual Report 2004
2.23   Signature Programs - Human Evolution Annual Report 2005
2.24   Signature Programs - Human Evolution Annual Report 2006
2.25   Signature Programs - Political Science Annual Report 2003
2.26   Signature Programs - Political Science Annual Report 2004
2.27   Signature Programs - Political Science Annual Report 2005–06
2.28   Signature Programs - IBE Annual Report 2006
2.29   Signature Programs - Transportation 3-Year Report 2005
2.30   Signature Programs - Transportation Annual Report June 2006
2.31   Signature Programs - Sigur Center Annual Report 2006
2.32   Signature Programs - GWIPP and SPPPA Annual Report 2006
2.33   Signature Programs - History Annual Report 2006
2.34   Honors Program Web Site
2.35   University Writing Program (UWP) Web Site
2.36   Dean's Seminars Web Site
2.37   First-Year Development Program (FYDP) Info
2.38   FYDP Syllabus 2006–07
2.39   FYDP Syllabus Spring 2007
2.40   Enhancing the Intellectual Engagement of GW Undergraduate Students
2.41   Task Force Report on a 4x4 Curricular Structure
2.42   Special Endowment Payout for Investment in SPAE
2.43   Center for Innovative Teaching and Learning (CITL) Web Site
2.44   Fulfilling the Promise: A Proposed Strategic Plan for the Next Decade

CHAPTER 3

Working Group 2:
Strategically Strengthen and Expand
Graduate Professional Education

Diane Brewer, Chair (Associate Professor of Speech and Hearing Science)

Cheryl Beil, Liaison from Steering Committee Leadership (Assistant Vice President for
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College of Professional Studies:

Miriam Galston, Chair (Associate Professor of Law)
Gerald Kauvar (Special Assistant to President Trachtenberg), Through August 1, 2007
Ginger Smith (Associate Dean for Academic Program Development, CPS; Associate Professor
in the College of Professional Studies; Associate Professor of Tourism Studies), Through August
2007

Distance Learning:

Scott Filter, Chair (Graduate Student, GSEHD, Higher Education Administration)
Ginger Smith (Associate Dean for Academic Program Development, CPS; Associate Professor
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Reputation, Rigor, and Relationship:

Hugh Agnew, Chair (Associate Dean for Faculty and Student Affairs, ESIA; Professor of
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Dorothy Holmes (Director of the Professional Psychology Program; Professor of Clinical
Psychology)

SPAE Goal 2: Solidify, strengthen, and strategically expand graduate professional education including programs that meet the needs of midcareer and continuous learning audiences.

Working Group 2 examined the success of GW's graduate professional education, including programs designed for midcareer students and continuous learning audiences. Goal 2 of the SPAE states that these programs should be solidified, strengthened, and expanded, and it specifies a number of strategies to reach the goal (see Supporting Document **3.01**):

- to increase the national rankings of selected professional graduate programs that address vital national issues, workforce training needs, and market opportunities;
- to expand alliances and partnerships with Washington-area business, government, non-profit, and K–12 educational institutions;
- to create professional master's, certificate, and continuing education programs that target new markets of learners and support regional economic and community development;
- to invest in new globally focused master's programs that build on GW's international strengths;
- to increase the use of distance learning to address individual learning needs and high student demand for programs;
- to provide customized professional programming and consulting services for government and private-sector partners;
- to develop educational offerings for alumni and nontraditional learners seeking personal enrichment; and
- to encourage collaborative partnerships between the GW schools and the College of Professional Studies (CPS) to develop new programs (Strategic Plan for Academic Excellence p. 15).

To gauge progress on these goals and strategies, Working Group 2 examined three topics relating to the ways in which graduate professional programs have been developed, strengthened, and expanded at GW. The committee developed guiding questions for each of the three topics and, under each guiding question, identified additional points that addressed MSCHE standards 2, 3, 7 and 14. The three topics, combined with their guiding questions, are:

1. Reputation, rigor, and relationship to the community of professional degree and continuing professional education programs: To what extent have graduate professional and continuing professional education programs enhanced GW's reputation and its relationship to the outside community?
2. Integration of CPS into the University: To what extent has CPS contributed to strengthening and expanding professional education at GW?
3. Distance-learning programs: What impact has distance learning had on graduate professional education at GW?

Working Group 2 met seven times from May 2006 to March 2007. The committee's first task was to define graduate professional education; to this end, committee members reviewed definitions from the Council of Graduate Schools (see Supporting Document **3.02**). The decision was made to eliminate classical programs (considered steppingstones to a PhD) and to include

both applied programs (focused on specific disciplines) and professional programs (crossing the boundaries of disciplines to meet workplace needs). Next, discussion centered on information that would need to be gathered to address the guiding questions. The committee also discussed approaches to the self-study plan. Information gathered and discussed during the first three meetings covered identification of programs in each area and selection of specific programs to study. To answer questions about programs, the committee developed a set of approaches, including surveys of deans and program directors, analysis of annual reports, and creation of contact lists.

Once the self-study plan was in place, the committee broke into subcommittees. Each subcommittee analyzed data collected and prepared a report of its findings. The whole committee then reviewed the reports and evaluated them for thoroughness and compliance with MSCHE standards as they related to the SPAE. Following are the findings and analysis of the three topic areas under study.

Reputation, Rigor, and Relationship to the Community of Professional Degree and Continuing Professional Education Programs
   Guiding question: To what extent have graduate professional and continuing professional education programs enhanced GW's reputation and its relationship to the outside community?

To evaluate the reputation, rigor, and community value of graduate professional programs at GW, the committee selected programs from a list of all GW graduate programs that had an average of 10 or more graduates over the past 3 years. The committee additionally reviewed the list to identify programs considered graduate "professional" programs (as opposed to traditional academic programs). From this group of "professional graduate and continuing education programs," a smaller number of programs was selected that reflected a variety of sizes and levels (master's and doctoral) and represented every school of the University. This representative list included programs with and without outside accreditation. Deans of various schools contributed suggestions and answered questions to develop a final list in which programs retained reflected the enrollment size of graduate professional students in the school. In the end, the list had two programs from SEAS, four from CCAS, two from SMHS, four from GSEHD, two from ESIA, four from GWSB, two from SPHHS, two from the Law School, and two from CPS (see Supporting Document **3.03**). Surveys sent to those knowledgeable about each of the selected programs gathered information on topic questions (see Supporting Document **3.04**).

Several measures, such as attitudes of fellow professionals in their various fields, high student application demands, and favorable employer feedback, establish that many of GW's professional master's and doctoral programs enjoy strong reputations. The committee explored how well the functioning of these programs reflected the metrics in the MSCHE standards and identified challenges to strengthening this aspect of GW's graduate and professional education efforts.

Based on survey responses, this report presents themes representative of many programs, using individual programs' responses as illustrations rather than listing tallies for each program. The following trends and themes emerged (see Supporting Documents **3.05**–**3.23**):

Standard 2: Planning/Resource Allocation

How successful are strategic planning efforts that are intended to promote and enhance graduate professional and continuing professional education programs? What processes are in place, and what criteria are used to determine whether or not a new professional degree or certificate program should be offered?

In every academic area, decisions to develop new programs include faculty members' and department chairs' input. Once the decision is made to move forward, the proposal is vetted through the school's Dean's Council or an associate dean, with the dean taking on the responsibility for providing resources for the program. Programs do not have their own permanent budgets; rather, schools make specific allocations annually to support existing and new programs. Resources such as support for graduate students are allocated based on target enrollments, with additional fellowship support from the associate vice president for graduate studies and academic affairs' (AVP-GSAA) office potentially available for strong doctoral programs. Overall, making scarce resources go around is a challenge, and, for new initiatives, schools, programs, and departments may have to request greater funding from deans, who would in turn perhaps need to include this funding in annual budget requests to the EVPAA.

Shifting internal priorities, outside mandates, and market forces in the form of declining enrollments influence decisions about which programs to expand, contract, or possibly cancel. An initiative to meet increasing student demand led one program to join a pilot "Enrollment Zone" project that raised admitted graduate student numbers and resources returned to the department. Other programs and schools respond to pragmatic considerations. For example, ESIA initiated a new master's program in Middle East studies because it would be difficult for the school to be considered a full international affairs facility without such a program. Some pressures for changing programs can come from outside accrediting bodies.

To develop entirely new programs, schools rely on established procedures for preparing a business plan, providing a rationale and marketing strategy, and explaining all the considerations that may seem relevant to the decision. Proposals go through schools' Curriculum Committees or Dean's Councils to the dean and then to the AVP-GSAA. Sometimes, outside funding (such as Title VI or funds from the National Endowment for the Humanities) plays a role in initiating or carrying out plans. For example, the CPS MPS in middle grades mathematics is fully funded through a Department of Education grant that partners GW, the American Association for the Advancement of Science (AAAS), and the D.C. Public Schools. Academic Affairs requires that new programs apply for approval by completing the Master Program Data Form, which asks for information about the rationale for each course, provides a Library Impact Statement, and discusses logistical demands, including new resources. Ultimately, all new programs except CPS professional studies programs have to be approved by the Board of Trustees.

Schools set up new programs for a variety of reasons, including covering the lacunae in the curriculum (e.g., Middle East studies in ESIA) and responding to the needs of the profession served (e.g., forensic science CSI concentration, distance education certificate in museum collections management). Sometimes, requests from the community lead to new programs. For

example, the Department of Engineering Management and Systems Engineering (EMSE) in SEAS introduced a certificate and MS in knowledge and information management after several large companies in the area expressed a need for such a program. Other new programs came about in response to an initiative to develop 5-year BA-to-graduate-degree programs (i.e., Master of Accountancy program of 30 credits offered to students with a BSc in accounting).

Standard 3: Institutional Resources:

Are resource allocations for graduate professional and continuing professional education programs appropriate to achieve the goals of the SPAE? Is the infrastructure sufficient to support these programs?

All graduate and professional education programs could use more resources to grow and develop further. While some professional programs are designed to generate revenue, a few programs indicated that they had a significant need for more resources. Graduate student support (fellowships) is a major determinant of student enrollment decisions and will help enhance the quality of students admitted. While the University has taken steps to improve financial aid packages in some targeted areas such as doctoral programs, many programs report no increase in financial aid in recent years. The professional psychology program saw a reduction in the amount of financial aid available for 2007–2008, and several programs that were unable to provide support for multiple years found it difficult to recruit and retain excellent students. Programs also need permanent budgets for part-time teaching in order to expand.

The proportion of overall resources of larger units (department or school) varies according to specific programs. Museum studies is a relatively small program (66 incoming graduate students this year) in a very large school. The MA in international affairs represents about 75% of the school's resources when looking at part-time faculty only and would be closer to 50% if budgeted full-time faculty were included. Forensic science is exclusively a graduate program except for one faculty member who teaches two undergraduate sociology courses.

Most programs report that University infrastructure is adequate. However, despite new buildings for GWSB, ESIA, and the Law School, and current renovations to Monroe and Government halls, the University does not have adequate space—classroom, laboratory, research, or office—to meet the demands of its students and faculty. For example, during peak hours, the Law School's classroom space is barely adequate to meet academic demands. Other programs highlighted the lack of adequate laboratory space and equipment as a special concern, and the off-campus graduate certificate in systems engineering program needs additional administrative support because of increases in student enrollment. Several programs, such as physical therapy (SMHS), international education (GSEHD), and forensic science (CCAS), report that the lack of classroom, laboratory, research, and office space severely limits faculty growth and development. Even programs with adequate classroom space cite limitations of infrastructure, such as in providing GWorld (University identification) cards, coordinating assistance with Blackboard with off-campus teaching periods, and difficulty with electronic grade sheets. In

addition, many programs reported concerns with technology services in classrooms, including malfunctioning equipment and the need for faculty to transport equipment to many classrooms[1].

Standard 7: Institutional Assessment:

What standards are used to assess the effectiveness of GW's graduate professional and continuing professional education programs? In what ways are the results of these assessments used to strengthen graduate professional and continuing professional education programs? How are GW's professional graduate degrees and certificates, its continuing professional education programs, and programs offered by the College of Professional Studies valued in the community? To what extent do these programs enhance GW's reputation?

Academic program reviews (APRs) conducted in all the schools and colleges of GW every 5 years encourage departments to evaluate their academic programs and activities on a regular basis. The results are used to improve the program and to develop a strategic plan for the next 5 years (see Supporting Document **3.24**). The APR is reviewed by GW colleagues external to the program and by at least one reviewer external to the University. The external review committee reads the self-study, raises questions with the department, and meets with selected faculty and students. Its report is submitted to the department/program and dean, with opportunity for the program to respond. The dean submits an assessment of the department or program for review by the EVPAA. These reviews are considered in the context of meeting the strategic plans of the University and are used to identify program strengths and areas that need improvement.

Many professional programs offered in the Law School, GWSB, SEAS, SMHS, SPHHS, and (in CCAS) programs in clinical psychology, speech language pathology, and interior design are also reviewed by their accrediting agencies before they receive accreditation or reaccreditation. The forensic science program will apply for accreditation from a newly formed professional body and will undergo evaluation for the first time in 2007.

Programs use several factors to gauge the community "value" of their programs; these include student applications, requests for consulting work, requests for student interns, and referral of students to GW graduate programs from home and abroad. Off-campus programs measure their value to the community in part by the number of corporations seeking memorandums of understanding and similar requests for GW to provide programs for their employees.

Survey respondents generally thought their programs enhanced GW's reputation, pointing as evidence to placement of graduates, media contacts and media appearances of faculty, internal measures such as competitiveness for admissions, and recognition among outside constituencies. Alumni of GW's graduate and professional programs serve as ambassadors for their program, school, and University, and several programs continue to rise in the rankings published annually by *U.S. News & World Report* (see Supporting Document **3.25**). For example, GSEHD is currently ranked 21st nationally and 9th among private institutions; the Law School is 19th overall

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[1] These problems are difficult to address, especially in programs that employ part-time faculty. Because programs schedule courses and request rooms almost a year in advance, they might not know what type of classroom a part-time or new faculty member may prefer. Also, part-time faculty are less likely to receive training on using the classroom technology and may think the equipment is malfunctioning because they have not been properly trained.

and 3rd in intellectual property law, 6th in international law, 12th in environmental law, and 15th in clinical training; the GWSB international business program is ranked 21st; the School of Public Policy and Public Administration (SPPPA) is ranked in the top 10; and SPHHS is ranked in the top five. In an independent survey of political science faculty conducted by the College of William and Mary and published in *Foreign Policy*, ESIA is seventh among all schools offering a professional master's degree in international affairs (see Supporting Document **3.26**).

Standard 14: Assessment of Student Learning:

What systems are in place to assess student learning and satisfaction? How are assessment results used to enhance graduate professional and continuing professional education programs?

In 2005, assessment of learning outcomes was added to the academic program review guidelines. This put GW's approach in line with most accrediting bodies, which require that assessment be included as part of any accreditation review. All new GW programs and course proposals must cover program/course objectives and measures to assess outcomes.

Programs use a variety of direct and indirect measures to assess learning outcomes, including graded work, capstone classes, specific projects and papers (often publicly presented), comprehensive examinations, graduation surveys, and surveys of alumni. For example, Museum Studies monitors student publications and job placement and surveys alumni about ways to improve the curriculum; capstone projects in the middle grades math program are used to determine programmatic level and integrative learning; and the Department of Speech and Hearing Science reviews the program completion rate (currently at 97%) and the pass rate (100%) for the national Praxis examination to assess student learning. Surveys of externship or clinical practice supervisors rating the professional skills of students are reviewed to improve the program as needed.

All programs are required to distribute and collect teaching evaluations for their courses using either an online form that is standardized but customizable across the University or a form designed specifically by the school or program. Students' course evaluations are included in faculty annual reports and can have an impact on salary and promotion decisions. The exact weight of teaching evaluations varies across programs, schools, and position (i.e., tenure/tenure track, contract, research). In CPS, where faculty are hired on a contract basis, course evaluations form an important part of a teacher's portfolio, as professional teaching is at the heart of CPS and, accordingly, is given a greater weight. In the middle grades math program, each course is evaluated through an in-house evaluation at AAAS (one of the program's partners) and through online course evaluations. In the Law School, uniform course evaluations are used to evaluate teaching school-wide. For pre-tenure faculty members, a mentoring system is in place that calls for peer reviews of two class visits per semester beginning in the second year and reducing to one visit per semester after tenure. The Law School analyzes first-year students' performance and correlates it with undergraduate grade-point average and LSAT scores to predict and measure student success.

In addition, some programs find contacts with alumni are valuable sources of assessment of the program. For example, the accountancy program surveyed its alumni 1, 2, or 5 or more years after graduation to learn about the effectiveness of the program in training its students for the workplace.

Adequate evaluation of part-time faculty members is a widespread concern. All programs use adjuncts to a lesser or greater extent, and adjuncts can greatly enhance the quality of a program. However, widespread reliance on adjuncts poses challenges such as consistency in coverage of course content, quality of instruction, and availability of faculty outside the classroom. Moreover, training of adjuncts varies widely. Some programs in ESIA have an orientation and give faculty a handbook to guide them. In CPS, where most of the faculty are adjuncts, faculty development is foremost. However, in many cases, adjuncts are hired at the last minute and given little or no instruction on how to proceed.

Analysis, Challenges, and Recommendations for Reputation, Rigor, and Relationship

Overall, the University has made significant progress toward meeting the strategic plan goals for professional graduate programs. Many programs have grown and improved in national ratings. The University has made efforts to improve the physical plant and technology services that support graduate and professional programs. However, challenges remain that need to be addressed:

- Even with the construction of new buildings and renovation of old buildings, GW lacks sufficient physical space for classrooms, faculty offices, research, and science labs on the Foggy Bottom Campus. These shortages impair programs' ability to improve, grow, and recruit both faculty and students.
- The University continues to need improvements in technology infrastructure, such as the availability and functioning of classroom technology resources and the adaptation of technology systems to accommodate off-campus programs with different term start and end dates.
- To be more competitive with other market-basket schools, GW must expand and increase student financial aid awards; packages should cover more than 1 year of graduate study.
- More money should be made available to hire faculty and staff, especially in programs that are expanding. Incentives for growth of programs and the impact of growth on enhancing academic reputation and rigor need to be carefully considered. Programs should develop business plans to address change in this area.

Overall, those directing GW's graduate professional education programs believe in the value of their mission, consider their programs to be achieving most, if not all, of the goals outlined in the University's SPAE, and are confident that they are making a worthwhile and well-received contribution to their communities, whether those communities are defined strictly "local" or wide. As GW moves forward, its challenge is to maintain the momentum already achieved while strategically building capacity in staff support, technology and other physical infrastructure, and faculty. These steps will enable GW to take advantage of opportunities for growth and to continue at the same time to work toward achieving the goals outlined in the SPAE.

Integration of the College of Professional Studies (CPS) into the University

　　Guiding question: To what extent has CPS contributed to strengthening and expanding professional education at GW?

 This subcommittee identified programs offered by the College of Professional Studies (CPS or the College). The subcommittee reviewed strategic plans and annual reports written by CPS for the past 6 years (see Supporting Documents **3.27**–**3.33**), along with the document that launched the school—the Final Report of the Joint Task Force on the College of Professional Studies—submitted on September 1, 2000 (see Supporting Document **3.34**). The CPS subcommittee met with the Dean of CPS for an extended presentation covering the history and operation of CPS since its inception 5 years ago (see Supporting Document **3.35**). One of the associate deans of CPS and faculty members at other GW schools provided additional information.

The college was authorized in 2001 as part of GW's effort to expand, centralize, and inject academic rigor into existing and projected professional programs, primarily in the areas of lifelong learning and service to the surrounding community. It was also anticipated that programs at CPS would generate a substantial revenue stream in excess of the college's expenditures that would revert to the University.

CPS offered its first program in 2003. Since its inception, CPS has furthered the University's goals by designing credit-based professional programs for working professionals that supplement offerings in the undergraduate and graduate departments of the University, in addition to providing administrative and other types of support to the University's three off-campus centers. Now in its fifth year, CPS has demonstrated expertise in addressing the needs of midcareer and other professionals with certificate and degree programs that combine academically demanding curricula with flexible, interdisciplinary teaching.

At present, CPS offers master's-degree programs in middle grades math (since spring 2005), middle grades science (since spring 2005), publishing (since spring 2006), professional service firm management (since spring 2006), and paralegal studies (since spring 2007). CPS also offers graduate certificate programs in landscape design (since fall 2003), healthcare corporate compliance (since fall 2005), law firm management (since summer 2005), and professional service firm leadership (since spring 2006). In spring 2006, CPS also took over the operation of GW's Graduate School of Political Management (GSPM), which has master's programs in political management and in legislative affairs as well as a graduate certificate in political action committee (PAC) management. The police science program, launched in fall 2004 as the only undergraduate program in CPS, can lead to an associate's or bachelor's degree. CPS plans to launch MPS degrees in molecular biotechnology, landscape design, and strategic public relations in fall 2007.

Standard 2: Planning/Resource Allocation

What processes and criteria are in place to identify potential programs and to determine their viability? How effective are these processes and criteria in promoting the goals of the SPAE? How effectively does CPS use city, government, and professional associations to build programs?

CPS identifies potential programs for consideration in multiple ways. Several have been designed or expanded in conjunction with public entities with higher education needs not otherwise being met in the metropolitan Washington area. For example, the police science program was a product of extended conversations and ongoing collaboration with the Washington metropolitan area law enforcement agencies; and the middle grades math and middle grades science programs are offered to the D.C. Public Schools through a grant program resulting from a partnership with the American Association for the Advancement of Science and the D.C. public schools. In addition to these partnerships with public entities, private firms have initiated partnerships with CPS to develop the healthcare corporate compliance and the law firm management programs. Additionally, the program design phase generally calls for conducting market feasibility focus groups and forming program advisory boards that include experts from GW's own faculty and staff and, externally, from the professional ranks of the target field of study. Finally, several programs have been transferred from other units of the University, e.g., the landscape design program, which had been part of the Center for Professional Development (CPD); all the programs that had formerly been housed in CCAS as part of GSPM; and the Center for Excellence in Public Leadership, previously part of GWSB. Each program's viability depends upon finding qualified instructors who have earned terminal degrees and who have a high level of expertise relevant to the program. New CPS faculty members must be willing to undergo rigorous training in aspects of curriculum and course design, teaching techniques, and the academic objectives associated with credit-based programs. Where appropriate, CPS works with GW faculty to develop sections of their regular courses that integrate program objectives into the existing curriculum. The college has been successful in its police science program in pairing GW faculty with industry and public-sector experts, all of whom work together to design and teach its courses. This strategy of combining academic and practical perspectives in an integrated fashion will be used as other programs are developed.

What processes are in place to ensure that CPS programs complement rather than compete with existing University programs?

Every program idea that CPS considers is examined to determine if it would duplicate existing GW programs or courses, as University bylaws require. Central to the CPS mission is creating customized course and program offerings that fill the needs of midcareer individuals and community service providers in an academic setting oriented toward the needs of established and aspiring professionals. Program approval by the CPS Dean's Council and the EVPAA depends, among other things, upon determining that CPS offerings do not duplicate other offerings at the University.

Standard 3: Institutional Resources

Are there adequate resources available to CPS to sustain its mission? To what extent is CPS generating resources that help support more traditional academic programs?

GW was spared the substantial overhead expense of building out a whole new administrative structure, as CPS leadership and support developed on top of the existing capacities in the Division of University Programs, which managed (and still manages) off-campus programs for the various GW schools and colleges. CPS administrative functions, including marketing, human resources, budget and finance, and student services, were provided by the existing organization. The only new hires made to launch the college were two program developers (associate deans).

The college is now financially self-sufficient. All CPS programs have the goal of a 60% expense-to-revenue ratio once their target enrollment is achieved. As a consequence, CPS spends as much as a year or more determining whether a market for prospective programs exists and has thus far rejected, on average, two proposed programs for each program launched. Sometimes initial enrollments meet or exceed expectations. For example, Publishing began with an initial cohort of 28 and a waiting list of 13. In other instances, it has taken two or three cycles before a program reaches its target margin.

Because of its market-oriented and tuition-driven design and because there are no sunken costs other than program development and marketing, CPS creates new income for the University with relatively little risk. FY2005 was the first year that CPS began to return an annual surplus above its overhead costs. In FY2007, all of the initial investment in overhead costs was repaid, and an additional surplus of $400,000 is projected.

Standard 7: Institutional Assessment

What and how effective are the University's processes for assessing the outcomes and contributions of CPS to the University and the community?

All proposals for CPS programs must meet the review and approval criteria established by the CPS Dean's Council and the Office of the EVPAA. These criteria include a determination that each CPS program contributes to the breadth and depth of University offerings. The contribution to the community beyond the University is assured, as most CPS programs are designed in partnership with public and private members of the community and depend on satisfying the needs of segments of that community in order to be financially self-sufficient.

Similar to other programs across the university, CPS programs are monitored annually; the School compiles annual reports for the Faculty Senate and the EVPAA and undergoes an academic program review every 5 years. The college's own internal review procedures create data and provide analysis on an annual basis that enable the deans, the Senate, and the EVPAA to assess the outcomes of its programs in light of the college's own goals and GW's SPAE.

In what ways are these assessments used to enhance CPS programs?

During the academic proposal review process, CPS solicits input from professionals in the field and from the University, perceiving that these inquiries help strengthen its new program offerings. For example, the University recommended amending the CPS paralegal studies graduate certificate and master's degree academic proposal to eliminate a second Master of Legal Administration, owing to inadequate data on market feasibility for this field. As another example, CPS decided not to pursue a proposal to establish a doctoral program in professional studies after the proposal was reviewed by the Council of Deans.

Standard 14: Assessment of Student Learning

What mechanisms are in place to ensure that quality is maintained in course offerings and that GW's reputation for excellence is maintained?

CPS assists faculty in identifying course objectives and in designing syllabi that reflect the stated objectives of the program curricula, as approved by the CPS Dean's Council and the University. Teaching materials are reviewed by program directors and associate deans in CPS, and many instructors post course materials on Blackboard. Faculty members are mentored; those whose background is primarily practical will, in many cases, be assigned a GW academic mentor. All courses are evaluated by the program's students, using a CPS evaluation survey. Student feedback is used to adjust teaching strategies.

With the graduation of its first degree-program students on the horizon, CPS also plans to develop and conduct degree and program exit interviews and focus groups with graduating students to obtain additional information about the quality and usefulness of their CPS academic experience.

Analysis, Challenges, and Recommendations for CPS

CPS was created and designed to meet the criteria of Goal 2 of the SPAE. In its first 3 years, CPS has adhered closely to that goal through its partnerships with public and private entities and its ongoing collaboration with existing academic units of the University.

Since its inception, CPS has developed a wide assortment of programs that respond to the needs of working professionals who seek to strengthen existing skills, develop new skills, or embark on a new profession. It has furthered Goal 2 of the SPAE by offering undergraduate, master's, and certificate programs that enable students to accumulate or "stack" certificates to obtain a degree. For example, it is possible to obtain an MPS in professional service firm management by combining a 12-credit graduate certificate program in law firm management, a 12-credit graduate certificate in professional service firm leadership, and six credits of independent research. A healthcare compliance graduate certificate is offered in CPS, and qualified applicants may apply to use these credits toward a masters in public health in the School of Public Health and Health Sciences. CPS has also made its programs accessible to a wide range of working adults with

diverse needs by creating programs that sandwich a multimedia distance-learning segment between two intensive in-residence segments.

The committee found that CPS maintains high standards of academic rigor by cooperating with GW faculty on many programs, pairing practice-oriented teachers with traditional academically oriented professors, working closely with each teacher in the design of the curriculum, assuring transparency by requiring teaching materials to be posted on Blackboard, and monitoring the progress of faculty teaching and student performance in each course during the program.

CPS's challenge is to maintain the same degree of academic rigor and financial stability as it adds to the courses and programs it offers. As it continues this expansion, the college will benefit from greater support from the University in six areas:

1) Approve an accelerated hiring procedure for new adjunct faculty. CPS's practice of working closely with its new adjunct faculty in the design and curriculum development of courses has been hampered by the length of time needed for GW to approve new faculty hires. An accelerated hiring procedure whereby new faculty could be hired a minimum of 2 months prior to the beginning of the semester would allow them adequate time to prepare their new course(s).

2) Approve 2- or 3-year contracts for specific programs. While CPS has a small group of regular-status full-time contract faculty, most of the teaching faculty are classified as temporary adjunct faculty on a semester-by-semester basis. As specific programs become established and enrollments become reasonably predictable, it behooves the University to approve 2- or 3-year contracts. Assuring a supply of more reliable and experienced faculty will contribute to academic vigor in such programs and better serve students.

3) Include CPS faculty representation on the CPS Dean's Council. There is no provision in the CPS governance procedures for CPS faculty to serve on the CPS Dean's Council. Currently, there are eight regular full-time faculty in CPS, and it is important to have their representation on the Dean's Council.

4) Develop criteria for promotion of contract faculty. Criteria for the promotion of contract faculty consistent with the mission, practices, and procedures of the University should be developed.

5) Locate CPS administrative personnel in a centralized facility. The administrative activities of CPS are currently performed at a variety of sites in Washington (K Street, the MPA Building, and F Street) and Virginia (Alexandria, Arlington, and Hampton Roads). As the college's offerings expand, it could coordinate its operations far more efficiently if its administrative functions could be located in a centralized facility. Thus, the committee recommends that GW discuss with CPS the space requirements of its future operations.

6) Develop policy about the availability of CPS courses to degree-seeking students in other GW schools. Some GW faculty have expressed concern that CPS offers courses similar to those offered elsewhere in the University, especially when these courses have the same course name and number as a parallel course offered in another academic unit. For example, one version of PSC 218 Legislative Politics is taught in the Political Science Department, while a second PSC 218 Legislative Politics is taught in CPS. While this apparent duplication came about in collaboration with the Political Science Department, it is confusing to degree-seeking students in non-CPS programs who may want to take advantage of the lower tuition rate for

CPS courses. We recommend forming a committee of interested parties to collect data, initiate conversations among the affected academic units, and draw up recommendations as to whether non-CPS students should be allowed to enroll in CPS courses.

Distance Learning

Guiding question: What impact has distance learning had on graduate and continuing professional education at GW?

Distance-learning graduate programs were identified in four schools at GW: GSEHD, GWSB, SMHS, and CPS. There are four master's programs and two graduate certificate programs in GSEHD, three master's programs in GWSB, four master's programs and four graduate certificate programs in SMHS, and three graduate certificate programs in CPS (See eRoom Distance Learning Graduate Programs GW). One program from each school was selected for further study:

- *GSEHD: MA in educational leadership and administration (ELA).* This growing program began in 2003 and is currently offering the second cycle of its curriculum in partnership with Embanet (a for-profit, third-party online education facilitator) to administer the technology and delivery of instruction. The ideal enrollment goal is 100 to 150 students.
- *GWSB: M.S. in project management.* This program began on campus in 1996 and fully online in 1998. The program has a goal of 125 new students per year; most are part-time students who are employed when they start the program.
- SMHS: *MSN in nursing.* This program began in 1996 for Navy independent-duty corpsmen with the mission to expand the healthcare workforce. Most students are employed, with many looking to advance in their jobs or seek new employment opportunities.
- CPS: *Graduate certificate in healthcare corporate compliance (HCC).* This program was first offered in fall 2005. The students are midcareer adult learners who are already employed in the field of healthcare compliance or a related field.

The distance-learning subcommittee sent questionnaires soliciting information that would answer the questions under each of the MSCHE standards 2, 3, 7 and 14.

Standard 2: Planning/ Resource Allocation

How are potential distance-education markets identified? What processes are in place to determine the viability of a potential distance-education program? To what extent have globally focused graduate distance-learning programs been considered as a means to build on GW's international strength?

Students in distance-education programs have access to University services similar to that of on-campus students. Individuals interviewed for this assessment gave varying responses as to the extent that students tap these resources, citing as reasons both the unique status of distance-education students and their ongoing employment.

For example, University-based career placement is not readily available to distance-education students. In the ELA program, while career advising happens informally when faculty disseminate information, no official resources assist distance-learning students. The project management program sends out announcements of job vacancies via e-mail to students through the business career center. The nursing program has neither financial aid nor career placement programs. The administrators of that program feel that their students do not need these forms of assistance because they are already employed in the industry they are studying. The HCC program formed an e-mail LISTSERV for all students, past and current, to receive program and career information.

Benefits to the school for offering programs in a distance-education model are many. In some programs, such as the ELA program, a third-party administrator (Embanet) is responsible for student recruitment, which increases the diversity and strength of the student body while relieving the staff. The partnership allows students to study at a nationally recognized university such as GW and receive feedback from content experts in their field. The project management program managers note that they can reach a greater population of students and utilize state-of-the-art technology for class lectures in a distance format. The nursing program accesses faculty with specific expertise across the country who do not necessarily live in close geographic proximity to campus, while keeping indirect costs associated with this on-campus program at a minimum. The HCC program attracts a national audience via distance media but requires an initial and concluding in-classroom residency in Washington.

The committee did not learn how specific distance-education markets were identified, but respondents affirm that distance-learning programs could be beneficial to the population at large. The HCC program began as a partnership between a law firm that handles healthcare compliance issues and the Department of Health Policy in SPHHS. Other program leaders believe that their programs compare favorably with similar programs across the nation. While these approaches are not used to identify a market, they suggest that techniques used to determine market viability are closely related to techniques for identifying the audience.

Distance-education programs have the potential to attract students globally. Since these programs can be completed from anywhere with adequate technology, students need not be in the vicinity of a GW campus. Despite the possibility of a global reach for distance programs, evidence suggests that GW's distance-education graduate students are in the United States. Approximately 20% of the project management program's current students are on an F-1 visa, meaning that they are international but located in the United States. The HCC program, because of its focus on American healthcare, does not enroll international students. Little information was available on efforts to develop programs in distance format that either had a global focus in their substance or had successfully reached out to global audiences.
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Standard 3: Institutional Resources

Are adequate resources available to support the development of distance-learning courses and programs? Are GW's technological infrastructure and support services adequate to meet the needs of distance learners?

Distance-education programs at GW seem to have at least adequate resources to create new courses and programs, and their students have adequate technological support services to succeed as distance students. Distance-education programs often talk about coupling with on-campus academic departments and piggybacking on those resources to be successful in these areas.

National comparisons of faculty and staff compensation in similar programs are not readily available. The ELA program at GW compensates faculty in the distance-learning program at an equivalent or higher rate than some faculty who teach on campus in the metropolitan area. Faculty who are teaching in the nursing program are compensated at the same rate as those who teach on campus. The HCC program shares revenue with teaching partners rather than paying faculty salaries.

Technical and academic resources are provided through the main University system. For instance, GW's Information Systems and Services Help Desk responds to requests for help from students and faculty in distance programs. Students in the nursing program have access to over 2,500 electronic journals, textbooks, and databases through the Himmelfarb Library. Students in all distance programs have access to the University's Gelman Library, its online databases, help-lines, electronic archives, and reference librarians.

Distance-learning faculty receive support in developing courses and curriculum. Faculty in the ELA program work with expert instructional designers to develop courses and receive stipends for course development. The HCC program has support from the CPS associate dean, an online Blackboard facilitator on contract to CPS, the GW Center for Innovative Teaching and Learning (CITL), and multimedia vendors contracted by CPS. The HCC program also utilizes a peer review process for its curriculum, seeking input from experts outside of the University. The project management program is supported by the larger Department of Decision Sciences in curriculum development and improvement.

Standard 7: Institutional Assessment

How effective is the interface between distance professional programs and on-campus professional programs? How well do distance professional courses complement existing on-campus programs?

Some distance-education programs have unique on-campus experiences that bring students to campus for orientation and residency requirements. Other than these unique experiences and membership in student organizations, which are not specifically geared to the distance-education student but rather to all students in the programs, distance-education students do not have many

experiences on campus. Program faculty, however, are intertwined in some cases with the on-campus faculty and have greater fluidity between the two types of programs.

Students enrolled in degree programs via distance rarely participate in extracurricular activities. The HCC program does require two on-campus residencies (five-day initial and three-day capstone), but these are a curricular requirement and, other than an opening and closing reception, do not include extracurricular activities. A Graduate Students Nursing Organization does exist, but it does not explicitly deal only with distance-education students. The project management program requires its students to participate in an orientation program at the beginning of their first semester of enrollment and to come to campus for a five-day residency.

While on-campus and off-campus students rarely interact, GW faculty on campus teach in all the programs surveyed, and programs use on-campus resources to develop new courses for students. On the faculty side, interaction between off-campus and on-campus instructors is strong and occurs frequently. No administrator in the distance-learning programs surveyed mentioned the courses being used to complement on-campus programs. For most programs, an on-campus equivalent does exist, but the crossover appeal does not seem to be a chief reason to offer these courses on a distance basis.

Standard 14: Assessment of Student Learning

What mechanisms are in place to ensure that quality is maintained in course offerings and that GW's reputation for excellence is maintained? In what ways are distance-learning efforts enhancing the learning opportunities for on-campus graduate students? In what ways are learning outcome assessments used for future planning in distance-learning programs?

The distance-education programs at GW have many techniques in place to ensure the quality of course offerings while enhancing learning opportunities for students. Feedback is solicited both formally and informally from a variety of groups to improve distance-education programs and ensure that the content is viable for professional development.

The ELA program assures quality through a systematic review of course evaluations, student interviews, and other means to determine the effectiveness of course content and instructional materials. Faculty and deans responsible for the HCC program monitor similar programs throughout the country to compare content. Each semester, CPS online course evaluations are considered in curriculum and instructional review and assessment, with oversight from the CPS associate dean in charge of the program as well as the CPS dean. CPS uses team teaching to monitor and observe teaching techniques, and a self-study evaluation is administered on each course. The nursing program has an advisory board that consists of alumni, community leaders, corporate representatives, and nurses to advise administration and faculty in the development of curriculum. The project management program hosts focus groups made up of faculty, current students, and alumni to discuss areas of improvement.

Faculty feedback from distance-education programs includes informal processes, such as regular personal contact among course instructors, facilitators, and program advisors. The ELA program is developing a formal process to obtain feedback at the end of each course. The nursing program

has an annual retreat to discuss curricular issues and to deal with current and foreseeable problems. The project management program has a faculty committee that meets once a month to discuss the curriculum, admission standards, technology updates, and other issues. The HCC program faculty meet twice a year to review course and peer teaching evaluations and to revise and update the program curriculum.

Distance-education programs use a plethora of training and development programs. The nursing program receives instruction through such sources as the CITL (development of technology-enriched materials), Faculty Resources Education and Development (an online forum devoted to best practices of nursing education), the master teacher leadership development program (a partnership between the School of Health Sciences and the School of Education to enhance teaching skills, pursue scholarship in education, and develop their leadership potential), and others. The HCC program has incorporated a process of continuous faculty development based on close oversight by the program director, a faculty member from the School of Public Health and Health Services, and the CPS associate dean in charge of the program. As a result, the HCC program has excellent retention of faculty. It also takes advantage of support from the CPS Blackboard facilitator and the CITL. Faculty in the ELA program must take a training course through the third-party administrator (Embanet). Faculty in the project management program attend national conferences that encourage research in the field of project management as a way to stay on top of changes within the field. The HCC program maps curricular learning objectives with learning outcome assessments, paying close attention to correlations among specific objectives, assessment instruments, discussion forums, and other sources of information.

In all distance-education programs, online surveys assess formal student feedback at the end of courses. In all the programs mentioned, additional feedback was solicited through personal interactions between the faculty and their students. For certain programs, additional feedback is sought out: During the two on-campus residencies for the HCC program and at the culmination of the five-day residency for the program management program, students have opportunities to report their experiences in detail, and faculty have opportunities to probe for problems and strengths in their courses. The HCC faculty may solicit feedback from the GW Health Policy Department and the partner law firm that participates in the instruction.

Faculty quality, diversity, and distinctiveness are ensured in many ways in distance-education programs. The ELA program requires its on-campus educational administration program faculty to teach at least one course in the online program. Adjunct faculty are reviewed by the program area director and department chair to ensure the same quality as on-campus programs. The nursing program commits to have 25% of its faculty from underrepresented groups.

Other measures of student outcomes include retention of students and program completion rates. In the HCC program, only one student in three cohorts was in danger of failing the introductory course and withdrew, and only one student did not complete the graduate certificate program (because of a family health issue). As all but one of the students in the past three cohorts were already working in the field of healthcare compliance, the program has not tracked whether they went on to other jobs or promotions.

Overall, the distance-education programs are developing successfully, albeit independently, at GW. Although one program did mention a lack of resources, other programs decidedly feel that the limitation in resources reflects strength in their programs—certain types of support are unnecessary in context—and is not a negative. Most programs describe their students as professionals working in the field, some of whom receive tuition reimbursements from their employers; as a rule, they may not need financial aid or career resources. However, a challenge for the distance-education programs at GW is to make sure that their students are educated about and adequately using the support programs and resources that are offered and to continually assess what resources might benefit their students and actively work to offer those resources.

Most distance-education programs work in tandem with on-campus resources for the purpose of course and program development. This enables the distance program to offer the same quality of support and resources that are available in on-campus programs within the same schools. Technological infrastructure and support services are equal to those offered to on-campus programs; however, there is little evidence that distance-education students are educated about or adequately taking advantage of the support programs and resources being offered. For example, distance-education students are entered inconsistently into Banner, which prevented some students from gaining access to the library and student services. The committee recommends that distance-education administrators increase their efforts to gather and provide information about support programs and resources to ensure their students' and programs' success.

While on- and off-campus faculty members frequently collaborate, on- and off-campus students rarely are able to mix, other than during required on-campus orientations and residencies. The leaders of the programs interviewed consider the natural separation of on- and off-campus students to reflect a strength, in that distance offerings allow them to target a national demographic of people who may not be able to attend on-campus classes. By avoiding the geographic limitations for both students and staff, distance-education programs can appeal to a larger and more distributed student and faculty body. The only possible challenge to standard 7 to be explored would be the lack of student experience on campus, but to add to the on-campus requirements of such programs would hinder their unique strengths as distance-education programs.

The strong emphasis on rigor, high quality, and standards demonstrates the pursuit of excellence among GW's distance-education programs. While the programs surveyed did not mention how they enhance the experience of on-campus students, student learning is clearly the reason these programs have processes in place to improve their curricula, classes, faculty, and teaching techniques.

Distance-learning programs fit into the University's mission and each school's individual mission as well. Goal 2 of the SPAE calls on schools to "solidify, strengthen, and strategically expand graduate professional education, including programs that meet the needs of midcareer and continuous learning audiences." Distance learning allows midcareer and continuous-learning audiences to obtain a high-quality GW education while minimizing disruption to their careers and lives.

Distance learning at GW has matured, largely under its own steam, over the past several years. At this point, it contributes a powerful current of high-quality and innovative university education opportunities across disciplines for adult professionals. As this study indicates, GW distance programs encompass, to date, a diverse range, from an MA in rehabilitation counseling to a Master of Tourism Administration or a graduate certificate in law firm management. In fall 2007, CPS, in partnership with Embanet, will launch four of its programs (paralegal studies, police science, political management, and strategic public relations) as fully Web-based programs.

Although those surveyed did not mention this, the committee feels that the University may wish to consider a central organization for the oversight of all distance-education programs at GW to increase access to as well as to economize. A central distance-learning division could more easily identify and disseminate needed technology, library, and student services. The committee believes such a reorganization may offer needed support for these programs, their faculty, and adult professional students. A central organization for distance-education programs could allow the University to bolster programs that spread GW's name and reputation widely. While the program areas should remain within their current academic units, a central distance-education organization could enable the University to develop more of these programs at a high level of quality.

Key recommendations emerging from this self-study include:

- Establish ongoing assessment of resources needed that may be unique to distance-learning programs and particular student populations;
- Collect information on distance-learning students' use of programs and resources offered;
- Explore the value of an increased on-campus experience for distance-learning students to enhance their connection to the University;
- Establish a central organization for distance-learning programs to support technology, hiring, market research, and program development; and
- Explore developing globally focused and globally accessed programs.

Overall Conclusions

GW has made significant strides in strengthening and expanding graduate professional education as described in the SPAE. Several graduate programs enjoy national rankings and produce graduates who make significant contributions to their communities. The programs developed in CPS are a direct response to the stated goal of meeting the needs of midcareer and continuous-learning audiences. The same can be said of the graduate distance-learning programs.

The committee found GW generally in compliance in all areas of MSCHE standards. Evidence shows that planning, appropriate institutional resources, institutional assessment, and assessment of student learning are in place. To be sure, there are challenges in terms of physical space, technology infrastructure, and financial support. Continuous planning should be enhanced in order to improve graduate professional education at GW and expand its scope.

Supporting Documents

3.01	Strategic Plan for Academic Excellence (SPAE)
3.02	Sims and Denecke, 2006*
3.03	Selected Graduate Programs
3.04	Graduate Professional Programs Survey
3.05	CCAS: Forensic Sciences
3.06	CCAS: Museum Studies
3.07	CCAS: SPHR
3.08	CPS: Middle Grade Math
3.09	CPS: Political Management
3.10	Distance Learning: GSEHD - Educational Leadership
3.11	Distance Learning: GWSB - Project Management
3.12	Distance Learning: Healthcare Compliance
3.13	Distance Learning: SMHS - MSN in Nursing
3.14	ESIA: International Policy and International Affairs
3.15	GSEHD: Human Resource Development
3.16	GSEHD: Intl Education
3.17	GSEHD: Museum Studies
3.18	Law: JD
3.19	Law: LLM
3.20	SB: Executive MBA
3.21	SB: Finance
3.22	SEAS: Systems Engineering
3.23	SMHS: Physical Therapy
3.24	Academic Program Review
3.25	U.S. News Rankings 2007
3.26	TRIP Survey of IR Faculty
3.27	CPS Annual Report FY01
3.28	CPS Annual Report FY02
3.29	CPS Annual Report FY03
3.30	CPS Annual Report FY04
3.31	CPS Annual Report FY05
3.32	CPS Annual Report FY06
3.33	CPS Annual Report FY06 Metrics
3.34	Report of Joint Task Force on CPS - 2000
3.35	CPS Whitaker Presentation 10-10-06

*3.02 is a book, not in eRoom

CHAPTER 4

Working Group 3:
Faculty Scholarship and Research

Paul Wahlbeck, Chair (Professor of Political Science)

Faculty Recruitment and Retention Subcommittee:

Michael Wagner, Chair (Associate Professor of Chemistry)
Miriam Galston (Associate Professor of Law)
Joel Gomez (Interim Associate Dean for Research, GSEHD; Director, Institute for Education
Policy Studies; Associate Professor of Educational Leadership)
Steve Rogers (Graduate Student, CCAS, Political Science)

Sponsored Research Support Subcommittee:

Garry Young, Chair (Associate Director of the GW Institute of Public Policy; Research Scientist)
Michael Brown (Dean, Elliott School of International Affairs)
Sara Rosenbaum (Professor and Chair, Department of Health Policy)
Hal Wolman (Director of the GW Institute of Public Policy; Professor of Political Science,
Public Policy and Public Administration, and International Affairs)

Research Environment Subcommittee:
Raymond Walsh, Chair (Professor and Chair, Department of Anatomy and Cell Biology)
Bill Briscoe (Professor of Physics)
Elliot Hirshman (Chief Research Officer)

SPAE Goal 3: Move GW into the ranks of the top-tier research institutions through continued and enhanced facilitation of faculty scholarship and research growth.

Working Group 3 studied faculty scholarship and research at The George Washington University. This focus corresponds to the third goal articulated in the SPAE, which is to move the University into the ranks of the top-tier research institutions through continued and enhanced facilitation of faculty scholarship and research growth (see Supporting Document **4.01**). To accomplish that goal, the SPAE lays out two objectives: building a world-class faculty and increasing the scope and excellence of the GW research enterprise. Working Group 3 was charged with addressing the progress that GW has made toward accomplishing this goal. Specifically, the committee was directed to address three related questions. First, is the University effectively recruiting and retaining a world-class faculty? Second, does the University's support for sponsored research effectively increase the scope and excellence of the GW research enterprise? Third, does the University's research environment effectively encourage excellence in research and scholarship?

The working group consisted of 12 members, comprising faculty from six schools, the chief research officer, and a student. The members were assigned to one of three subcommittees, and each subcommittee was given one of the working group's questions to study. As the following pages show, these subcommittees assessed the state of faculty scholarship and research by surveying faculty, interviewing administrators across the schools, and reviewing related documentation. The committee's findings and recommendations were then presented to the Middle States Steering Committee, the Advisory Council on Research, the Faculty Senate Committee on Research, and the Council of Deans.[2] Before turning to the committee's assessment, this report will first examine the University's progress against the metrics specified in the SPAE (see Supporting Document **4.01**).

An Assessment of Faculty Scholarship and Research

The SPAE recognizes that the heart of an excellent research university is its faculty. Faculty members advance knowledge and teaching, influence public policy, obtain external funding for research, develop community partnerships, and inspire talented undergraduate and graduate students. High-quality undergraduate and graduate experiences depend on faculty who are fully involved in their scholarly work and committed to being scholars of teaching as well as scholarly teachers. GW is fortunate to have a large number of outstanding faculty members who are nationally and internationally recognized for leadership and scholarship within their disciplines.

To accomplish the goal of moving GW into the uppermost ranks of research universities, the SPAE articulates six strategies:

- recruit, reward, and retain an outstanding and diverse faculty;
- increase the number of endowed chairs and professors in targeted areas of excellence;

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[2] We also sent a copy of the draft report to Murli Gupta, chair of the Faculty Senate Committee on Appointment, Salary, and Promotion Policies, and Annie Wooldridge, assistant vice president of faculty recruitment and personnel.

- increase the number of faculty who obtain prestigious fellowships and memberships in national and international academies;
- increase ways to encourage, recognize, and reward the accomplishments of GW faculty in research, scholarship, teaching, mentoring, and service activities;
- capitalize on opportunities to make appointments across schools to facilitate teaching and research; and
- enhance the effectiveness of school/department mentoring programs to support the development of junior faculty.

Although metrics are not available to gauge progress on each of these strategies, the University's progress on several can be observed. First, the University has made some progress in its strategy of recruiting and retaining a diverse faculty. This progress is most clearly seen in the proportion of the University's faculty who are members of racial minorities (see Figure 4-1). Hispanic, African-American, and Asian faculty constituted 18.7% of the University's professoriate in 2005, representing a 14.7% increase over the 16.3% minority faculty share in 2001 (see Supporting Document **4.02**). Asians make up the largest minority group among the faculty (11.3% in 2005), followed by African-Americans (4.5%) and Hispanics (2.9%). This puts GW in the position of being steadily above the market-basket median.[3] The picture of gender diversity is also positive compared with the market-basket schools. Over the past 5 years, women constituted an increasingly larger share of the University's faculty, rising from 33.1% to 35.8% between 2001 and 2005, representing an 8.2% increase (see Figure 4-2). On this metric, the University is narrowly leading the median market-basket school, which was at 35.4% in 2005.
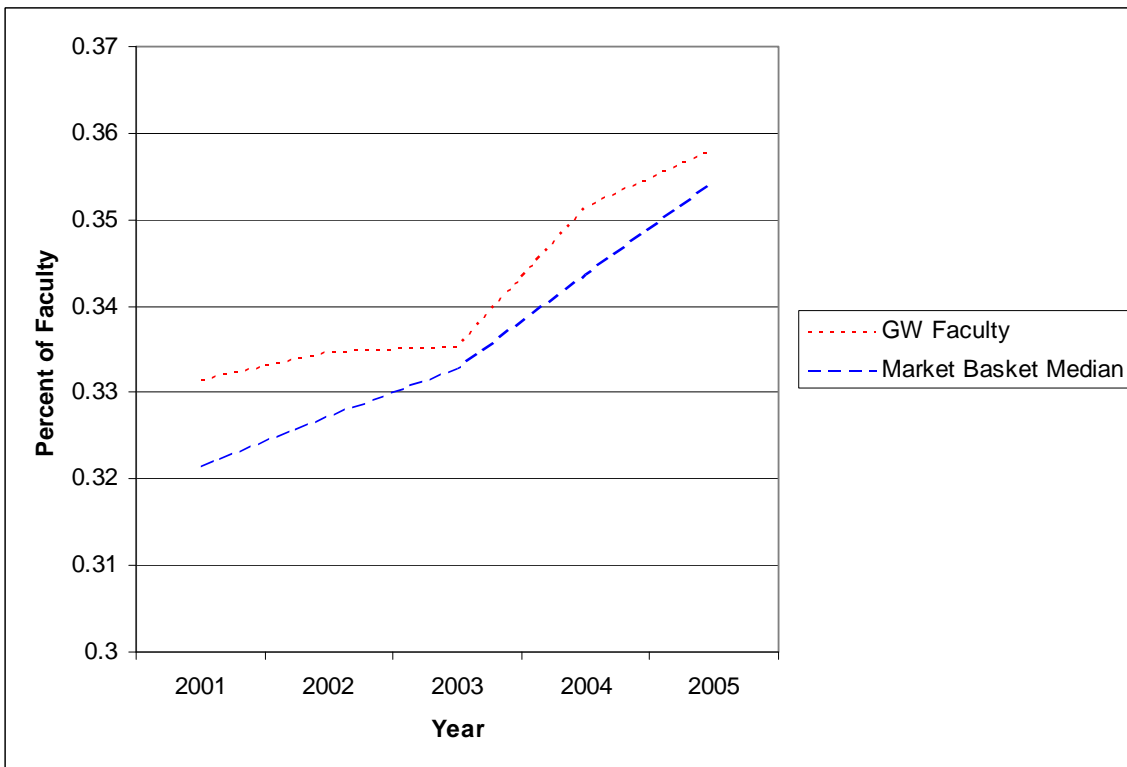
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[3] Data on the faculty composition of the market-basket schools were obtained from the Integrated Postsecondary Data System (IPEDS) (see Supporting Document **4.03**). The current market basket was established by the Faculty Senate during the 1995–1996 academic year. A subcommittee of the Faculty Senate Committee on Appointments, Salary, and Promotion Practices reviewed the market-basket list that was previously agreed upon by the faculty and administration, recommending changes. The subcommittee report outlined the criteria for inclusion in the market basket, including that universities offer undergraduate and doctoral programs in disparate fields, that their tuition, endowment, and Carnegie classification be close to GW's, and that their faculty research, salaries, and size be comparable to the University's. The resulting market basket contains universities "at or below GW's level for these criteria; some are above it and are considered 'aspiration' institutions because GW aims to reach their level in faculty research, salaries, and size" (see Supporting Document **4.04**, page 2). No formal Faculty Senate resolution was proposed or deemed necessary.

Figure 4-1
GW Faculty Minority Makeup
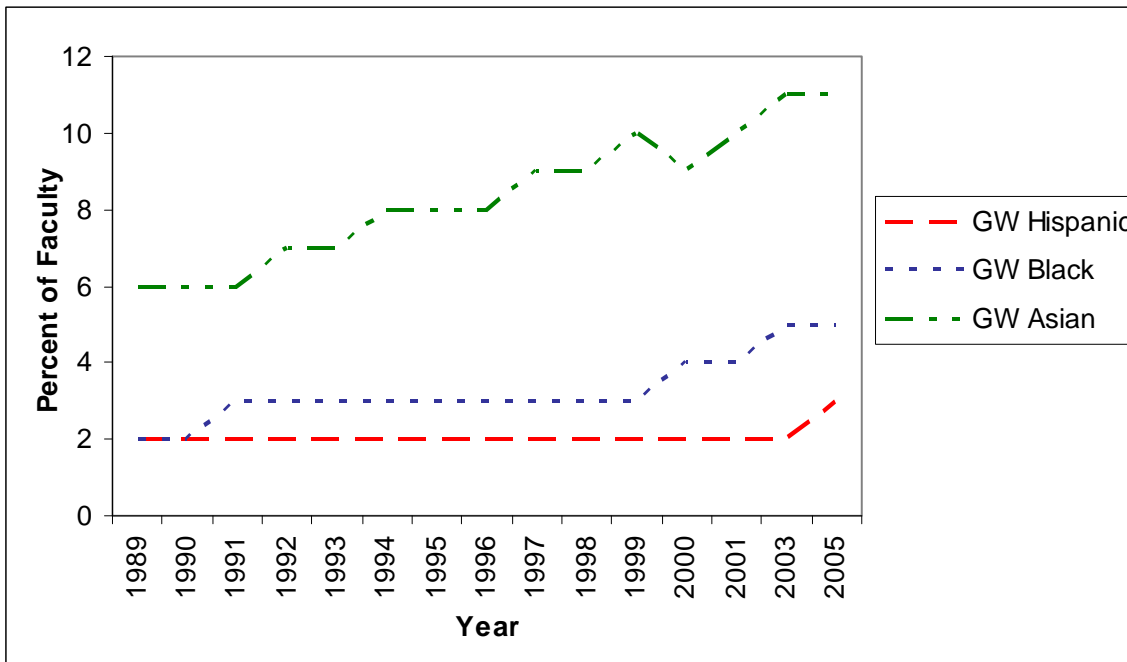
Source: The Integrated Postsecondary Data System (see Supporting Document **4.03**).

Figure 4-2
GW Faculty Gender Makeup

Source: The University's gender composition was obtained from the Office of Institutional Research (see Supporting Document **4.34**). Data on the market-basket schools were obtained from the Integrated Postsecondary Data System (see Supporting Document **4.03**).

The University's financial commitment to recruiting and retaining a world-class faculty can be gauged by two indicators: the number of endowed chairs and the levels of faculty salaries. The number of endowed chairs and professorships rose 39.5% between 1998 and 2005. Seven schools enjoyed at least one endowed chair in 2005 with SMHS leading the way with 12 endowed chairs, the Law School with 11, and CCAS with nine (see Table 4-1). In total, the University has 53 endowed chairs.[4] There are two cautionary notes with respect to the endowed chairs. First, some schools, like CCAS, have not had any growth in the number of endowed chairs during the 7 years (1998 to 2005). Second, the set of chair holders is dominated by male faculty. Of 53 endowed chairs in 2004, only four were filled by female scholars (7.5%).[5]

Beyond endowed chairs, the University has made a commitment to maintaining average faculty salaries at the American Association of University Professors' (AAUP) 80th percentile for each rank (see Figure 4-3).[6] According to the 2005–2006 annual report of the Faculty Senate Committee on Appointment, Salary, and Promotion Policies, the average full and associate professor salary exceeds the AAUP 80th percentile target, while the average assistant professor salary was at the 79th percentile of AAUP (see Supporting Document **4.06**).[7] Although the University's allocation of funds to the merit increase pool allowed it to make significant progress toward its goal, the University's faculty salaries lag behind the market-basket schools. Overall, the average GW faculty salary ranks ninth among the 14 market-basket universities (see Supporting Document **4.07**).[8]

[4] Data are not available on the number of endowed chairs at the market-basket schools.

[5] The difference in proportions, comparing the proportion of the faculty who are women and the proportion of endowed chair holders who are women, is statistically significant at p<0.0001. On September 1, 2007, the University added Vanessa Northington Gamble as a University Professor of Medical Humanities.

[6] The University's use of the AAUP 80th percentile as a benchmark for faculty salaries stems from Faculty Senate Resolution 87/1 (see Supporting Document **4.05**), which resolved that the University achieve and maintain "for all ranks an overall number one rating (80th percentile or above) on the AAUP scale for Category I institutions." This resolution also articulated the benchmark of achieving and maintaining faculty salaries at the 60th percentile in each school and college. For the first time, in 1995–96, full professors, associate professors, and assistant professors were all compensated at or above the 80th percentile. The University maintained that compensation level for 3 years–through the 1997–98 academic year.

[7] The average full professor salary at GW was $118,800, while the AAUP 80th percentile for full professors at Research I institutions was $116,600. The market-basket median for full professors was $127,800. The average associate professor salary at GW was $84,300, while the AAUP benchmark was $82,200 and the market-basket median was $85,650. The average assistant professor salary at GW was $69,300, while the AAUP benchmark was $69,700 and the market-basket median was $70,300.

[8] One market-basket university did not report its salary data to the AAUP.

Figure 4-3
GW Faculty Salary vs. AAUP 80th Percentile
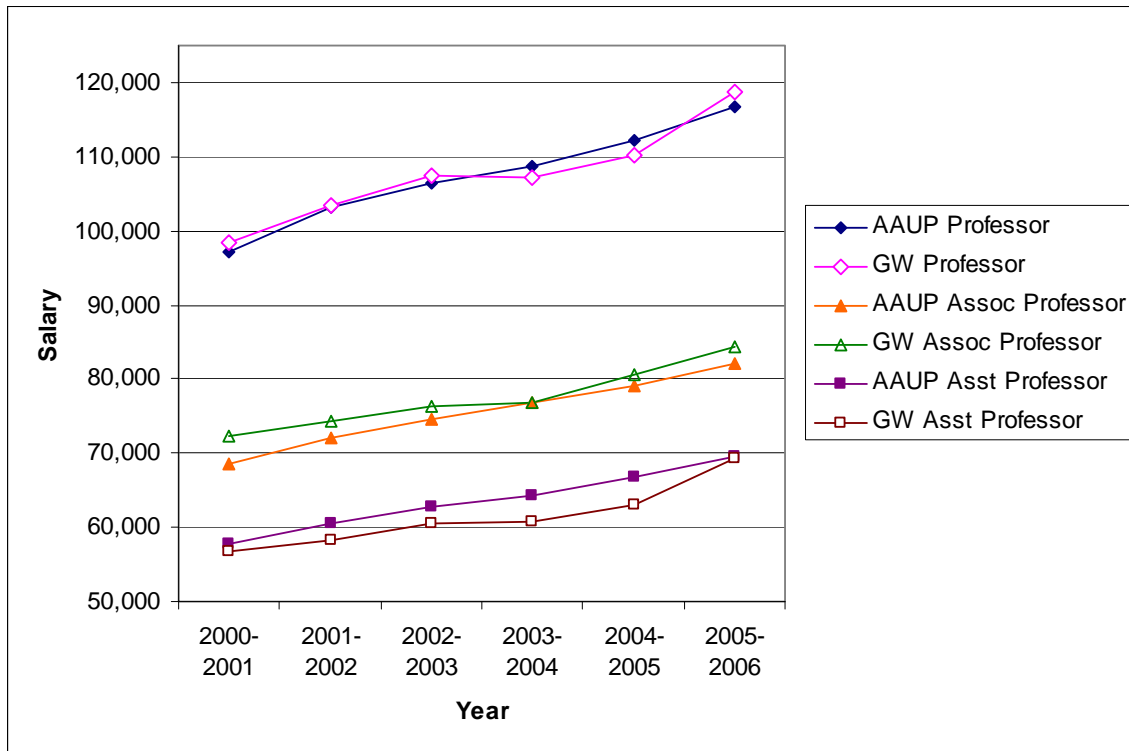
Source: GW faculty salary data were obtained for 1999–2004 from the Office of Institutional Research (see Supporting Document **4.35**); GW faculty salary data were obtained for 2005–2006 from the GW Faculty Senate Committee on Appointment, Salary, and Promotion Policies (see Supporting Document **4.06**); data on AAUP percentiles were obtained from various annual reports of the American Association of University Professors (see Supporting Documents **4.36**-**4.41**).

The faculty has received national and international recognition through leadership in professional and disciplinary associations, editorial positions with academic journals, and membership on editorial boards. Among the highest profile leadership positions stands membership in the National Academy. Four members of the GW faculty hold these prestigious posts: Amitai Etzioni, Frederick Goodwin, Fitzhugh Mullan (National Academy of Science, Institute of Medicine), and Vanessa Northington Gamble (National Academy of Science, Institute of Medicine). The number of honored faculty has not grown appreciably over the past 5 years, and in achieving this recognition the University trails the market-basket schools, where the median went from 11 in 2001 to 15.5 in 2004.

The second objective in the SPAE is to increase the scope and excellence of the GW research enterprise. In articulating this objective, the University acknowledges that as a center for intellectual inquiry and research, GW conducts basic and applied scholarship that advances knowledge and benefits society. GW has developed a wide range of cutting-edge research programs in the sciences, public policy, engineering, arts and humanities, education, and the professional disciplines. The faculties are actively involved in a variety of research activities, including publication of books and articles in top-ranked journals, development of creative works, service on national research committees and editorial boards, and leadership on externally funded grants and contracts. The size and quality of GW's research enterprise contribute to institutional prestige, visibility, and the ability to attract and support top graduate students.

Here, the University has announced several strategies aimed at increasing the scope and excellence of its research enterprise:

- Increase the quality and quantity of research and scholarship by GW faculty, graduate students, and undergraduate students.
- Increase externally funded research grants and contracts.
- Strengthen departmental infrastructures to provide faculty with greater incentives for research, scholarship, and creative work, including faculty release time and funds to support summer research assistantships.
- Ensure that there is an adequate number of departmental and central administrative research support staff to assist faculty with grants administration.
- Enhance University support for seed projects, start-up research funding, start-up packages for new professors, and equipment cost sharing to increase faculty success in securing external research funding.
- Support GW's top research centers and institutes and research-active departments with funding for the infrastructure required to administer sponsored projects and to achieve at even higher levels.
- Support interdisciplinary research in areas of strength and national importance by providing seed funds to encourage cross-department and cross-school collaboration.
- Institute a formula that will ensure an adequate annual Research Enhancement Incentive Award (REIA) budget to return a share of research revenue to the investigators, departments, and schools responsible for generating funds.
- Build a strong, campus-wide undergraduate research scholars program.

- Develop a fund to support high-quality dissertation research.
- Establish a Technology Transfer Office to assist faculty inventors in bringing their discoveries to the marketplace.

GW faculty are actively pursuing external support for their research endeavors. In response to a survey sent to all faculty members (see below for details on the survey), more than three quarters of all faculty respondents reported submitting a funding proposal to a source external to the University. Indeed, on average, faculty have submitted three proposals over the past 5 years. The most commonly named funding sources were the National Science Foundation (20.3% of named funding sources) and the National Institutes of Health (11.2%); funds also were sought from private foundations, including the Smith Richardson Foundation (2.2%) and the American Council of Learned Societies (3.0%). Of those faculty who submitted a funding proposal, 77.4% reported that they received support. Thirty-four faculty (15.7% of faculty members who replied to a question asking for the highest amount of funding received in the past 5 years) reported that they received an award of at least $1 million, while 18 (8.3%) reported awards between $500,000 and $999,999.

University sources corroborated the faculty's engagement in research. In the 2003–2004 academic year, faculty submitted 858 proposals to funding agencies, requesting $501.7 million in support. More than 45% of these proposals were successful in winning funding. The University received 389 new research awards and 141 awards in new installments of continuing awards. The University's research enterprise is visible as well in the number of revenue-producing licenses and patents held by faculty. In the 2003–2004 academic year, four licenses and patents yielded income.

The annual expenditures for research reflect this research activity: Federal research expenditures, according to the National Science Foundation, have grown from $45.1 million in 1998 to $78.2 million in 2004 (a 73.5% increase—see Figure 4-4). By virtue of private-sector research grants and contracts and other funding sources, total sponsored research expenditures have gone from $74.5 million in 1998 to $103.5 million in 2004 (a 38.9% increase).[9] Notwithstanding these significant increases in sponsored research expenditures, the University is in the bottom quartile of the 14 market-basket schools, ranking 13th when compared with the 14 peer universities in 2004. The University's federal research expenditures in FY2004 of $78.2 million gave the institution a ranking of 107th among all 600 universities and colleges surveyed, according to the National Science Foundation's report. Based strictly on its awards from the National Institutes of Health, which amounted to nearly $60 million in FY2005, GW ranked 77th among 535 domestic academic institutions (see Supporting Document **4.09**). The institution's rankings have remained largely stable over the past 5 years. For instance, by NSF's account in FY2000, GW's federal research expenditures of $49.6 million warranted a ranking of 105th.

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[9] The National Science Foundation asks universities for a breakdown of the sources for its research and development in the sciences and engineering. The options on the survey instrument given to universities include the federal government, state and local governments, industry, institution funds, and all other sources. The sum of these sources is the University's total research expenditures, while the amount designated from the federal government represents federal research expenditures. For this survey instrument, see Supporting Document **4.08**.

Figure 4-4
GW Research Expenditures
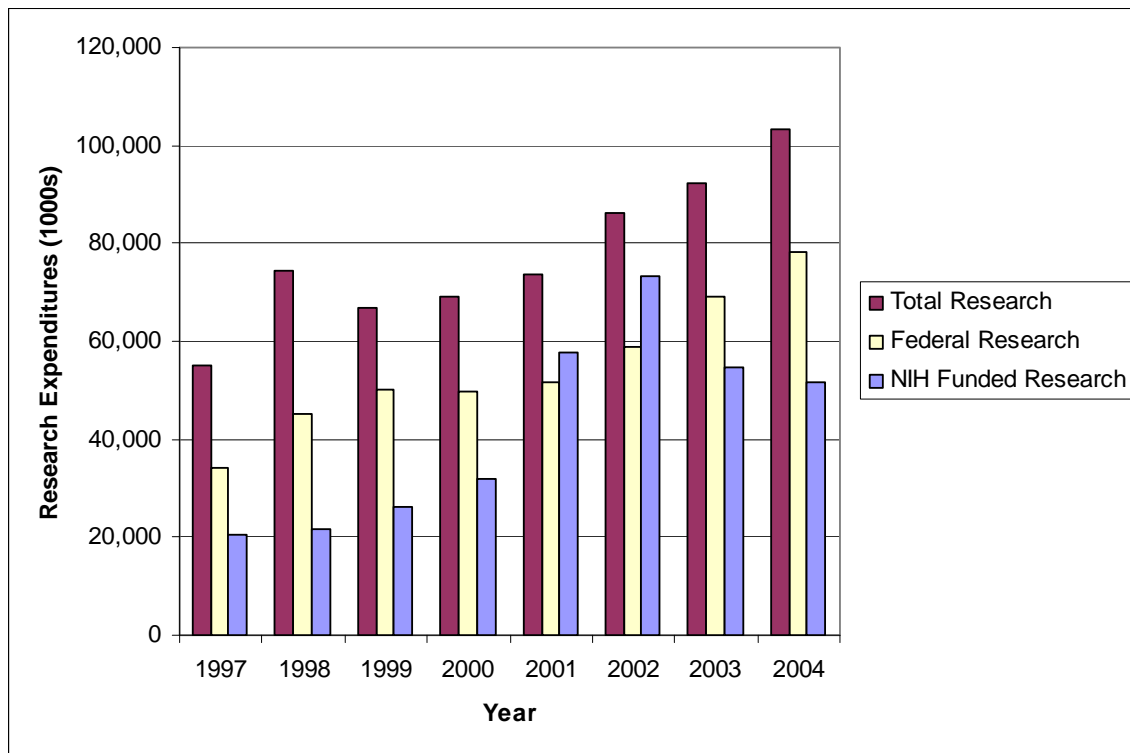
Source: Total Research Expenditures Data 1994–2004 (see Supporting Document **4.47**). Data on total and federal research expenditures are from the Center for Measuring University Performance (see Supporting Document **4.42**); http://mup.asu.edu/. For data on NIH-funded research, see Supporting Document **4.13**.

What incentives does the University offer to faculty interested in pursuing an active research agenda? The University sponsors an annual competition for research funds for faculty. Some start-up research support is provided through the University Facilitating Fund (UFF) and Dilthey Fellowships in the amount of $179,000 in 2003–2004.[10] These funds are used both for seed money for faculty that will help attract external funding in the future and for supporting faculty scholarship for which outside funding is unavailable. In the 2005–2006 competition (for awards in 2006–2007), 18 UFF and Dilthey awards granted an average of $9,938; there were 38 proposals received in that competition.[11] Research is also supported through GW's centers and institutes, which received $311,000 in 2003–2004 through the Research Enhancement Fund. These funds support many activities, including steps to generate proposals for external funding. Third, the University has provided cost sharing to support research in the amount of $3.015 million in 2003–2004, although its objective is to reduce this to $2 million by 2008. Finally,

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[10] The University Facilitating Fund (UFF) "serves as a source of funding for new faculty, for faculty who work in areas less likely to attract external funding, and for faculty who are between sponsored projects." The Dilthey Fellowships are "for individual or collaborative research in which the researcher(s) approaches the work from the perspectives of more than one discipline" (see Supporting Document **4.11**).

[11] In prior years, the UFF/Dilthey competition received at least 60 proposals with a funding rate of about 33%. In the 2006–2007 competition (for funds in 2007—2008), there were 54 proposals with awards to 23 projects (see Supporting Document **4.43**).

Research Enhancement Incentive Awards, which go to schools, departments, and faculty to defray the costs associated with sponsored research, were $655,000 in 2003–2004, although by formula they should have reached $1.121 million. This will be discussed further in the Sponsored Research Support section below. Given the importance of sponsored research to the University, this investment seems minimal and should be increased.

Faculty Recruitment and Retention

Guiding question: Is the university effectively recruiting and retaining a world-class faculty?

In the context of the MSCHE standards, key issues addressed include: 1) how well the recruitment and retention of faculty are guided by the goal of building a world-class faculty (Standard 2: Planning/Resource Allocation); 2) whether the University allocates sufficient resources to recruit and reward the accomplishments of faculty and adequately supports the development of junior faculty (Standard 3: Institutional Assessment); and 3) whether the University's assessment of open positions and its decisions to authorize searches effectively enhance the probability of hiring a world-class faculty (Standard 7: Institutional Assessment).

The subcommittee gathered data through a survey of all department chairs. Twenty-seven of the eighty-six department chairs (31.4%) who received the survey responded. Some caution should be exercised in interpreting the data derived from this questionnaire, as the low response rate limits the confidence that can be placed in its findings.[12] In addition, seven key administrators (see Chapter 4 Appendixes, Appendix 1) were identified as occupying positions that give them insight into the recruitment and retention activities of the University and were sent a common set of questions (see Chapter 4 Appendixes, Appendix 1). Finally, the executive vice president for academic affairs (EVPAA) was interviewed in person and electronically.

Standard 2: Planning/Resource Allocation—Building a World-Class Faculty

How well are the recruitment and retention of faculty guided by the goal of building a world-class faculty? Has the University's goal of building a world-class faculty been effectively advanced through the allocation of faculty positions across units?

The meaning of the guiding question (how well the recruitment and retention of faculty are guided by the goal of building a world-class faculty) depends on one's interpretation of the descriptor "world-class." When asked to define the descriptor, five of the eight key administrators surveyed mentioned scholarship and teaching; the remaining three cited only scholarship as a determining factor. International recognition of scholarship is common to all of the responses, although exact measures varied widely (e.g., publication in internationally recognized journals, invitations to speak, citations, requests for expert opinion, and awards). Variation in the responses is to be expected, as the administrators represent a broad range of disciplines whose products of scholarship and methods of disseminating it are particular to each. Further, the definitions of "world-class" and methods of discriminating between faculty of that

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[12] The margin of error would be +/- 15.7% with a 95% confidence interval.

caliber and those of a somewhat lesser status have a significant subjective component, apparently only slightly more quantitative than "I know it when I see it."

EVPAA Lehman, who authorizes all faculty searches and thus has responsibility for ensuring that they are conducted in a manner to attract and retain world-class faculty, states that "all faculty searches are to be carried out so that we attempt to hire new faculty members better than ourselves" and that "our aim is to always hire faculty members who are equal to or better than GW's best in the given field." It is reasonable to assume that the scholars currently at GW are qualified to judge whether a prospective hire matches or has the potential to match or surpass their own level of scholarship. Therefore, EVPAA Lehman's operational definition of "world-class" provides a path to improvement of the scholarship at GW, even if purely objective testing of the world-class stature of the faculty by the definitions of the other key administrators is not possible. However, the lack of a clear consensus of what constitutes world-class faculty does indicate that the University could be better guided in its recruitment and retention of such faculty and therefore its adherence to Standard 2.

One approach to answering whether GW is successfully recruiting world-class faculty is to examine the schools with which the University competes for a job candidate.[13] In some instances, GW competed with top institutions.[14] The chairs reported competition for the departments in approximately one half of the searches that were successful in hiring their top candidate (14 of 29 searches reported). In several instances, GW was competing with schools highly ranked in *U.S. News*'s top national universities, including Yale, Cornell, the University of North Carolina-Chapel Hill, and Case Western Reserve (see Supporting Document **4.13**).[15] In other cases, GW competed with lower ranked schools or schools that did not make the list of top 124 national universities. The average ranking of GW's competitors was 61st, and the median ranking was 41st, although these calculations necessarily exclude the three competitors that were not ranked. Taken at face value, the low average ranking of GW's competitors for candidates indicates that it is not generally competing for world-class faculty when it has competition.

What is striking is that GW had no competition in a large percentage of its successful searches. This might mean, on the one hand, that GW is extraordinarily good at identifying world-class scholars who are overlooked by other institutions. Possibly, however, GW is not competing for world-class faculty in at least these cases. We discuss the possible conclusions below, but they raise two questions for which we do not have data to craft answers:

    1) Do departments look for world-class candidates to fill vacancies at the University?
    2) Do departments seek out candidates who are more likely to accept job offers, in order to avoid leaving a search unfilled that might be denied authorization the following year?

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[13] This analysis should be viewed with caution: The surveys give no indication as to whether the individual programs at these institutions with which GW competed are among those that are more highly or lower ranked.
[14] Department chairs were asked, "Did your first-choice candidate have a competing offer? If yes, with which institution(s) was GW competing?" They were also asked, "If applicable, from which institution did your first-choice candidate accept an offer?"
[15] According to *U.S. News & World Report* rankings 2007—GW was ranked 52nd in these listings.

The University should design incentives institutionally to encourage departments to pursue world-class scholars rather than simply approach more attainable targets. A consequence of having a world-class faculty would be that other universities would seek to hire members of GW's faculty. The 27 responding department chairs reported that their faculty received 39 offers from other institutions in the past 5 years (25 offers to tenured faculty and 14 offers to tenure-track faculty).[16] When asked whether the faculty members accepted the outside offers, the chairs indicated that the faculty members opted to remain at GW in seven of 13 cases for which responses were received. The raiding schools included several high-ranking universities (e.g., Vanderbilt, California-Berkeley, Wisconsin-Madison). Schools pursuing GW faculty ranked on average 51st, with a median ranking of 38th. Unfortunately, the surveys do not give any indication of the relative strength of the individual programs within the institutions making the offers. It is telling that five department chairs replied that one reason tenured faculty remain at GW is that they have not received outside offers.

Standard 3: Institutional Resources

Does the University allocate sufficient resources to effectively reward the accomplishments of faculty in research, scholarship, teaching, mentoring, and service activities? Does the University adequately support the development of junior faculty?

Recruitment of World-Class Faculty

Although EVPAA Lehman stated that all faculty searches should be attempts to hire world-class faculty, only five of the seven key administrative officials queried consider this the primary goal of their units' recruitment of full-time faculty. The other two administrators stated that their searches must fulfill other equally important academic needs. In addition, resource limitations were cited as an impediment by six of the seven key administrators. Of these, five reported noncompetitive salaries and five reported a lack of competitive packages (i.e., start-up funds and/or space). Insufficient relocation funds and high teaching loads were also cited as areas of concern.[17] One key administrator stated, "Obviously, our goal would be to recruit only world-class faculty. However, it is not feasible. As noted above, budgetary and programmatic needs dictate pay and support for new faculty, which is oftentimes not at the world-class level." The clear consensus of the administrators is that the University does not allocate sufficient resources, particularly in terms of salary, start-up funds, and space, to recruit a world-class faculty.

The chairs were asked about their departments' two most recent searches for a tenured or tenure-track faculty member. These chairs noted the role of resource shortages when commenting specifically on the factors that played a role in a candidate's acceptance or rejection of an offer from GW. Before turning to those data, however, it is worth noting that these chairs reported a

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[16] Again, one must use caution in analyzing these data: Even within the limited group of respondents to the survey, detailed information was given for only one third of the offers reported. One interpretation is that some faculty received offers from more than one institution, but it is possible that we are missing data on these retention cases.
[17] The Faculty Handbook (Section 2-8) states the maximum amount of moving expenses that can be reimbursed. The amount varies by rank: instructors and assistant professors, $1,500; associate and full professors, $3,000. If a married couple is hired and moves to GW from the same location, the maximum reimbursement is $4,500 (see Supporting Document **4.14**).

successful outcome in 40 of 42 searches (95.2%) where the department successfully recruited its first-choice candidate in 29 searches (72.5%) and its second-choice candidate in seven additional searches (17.5%). When asked to explain those instances where the offer was rejected, the chairs pointed to the lack of sufficient start-up funds and adequate laboratory space as a major impediment (see Figure 4-5). In addition, salary and the cost of housing in the Washington area were cited as key factors that influenced a candidate's decision to reject an offer to come to GW. Indeed, coinciding with the seven first-choice candidates who rejected GW's offer, department chairs indicated that salary was a very important or important consideration in all seven cases. The cost of housing was named as very important or important in six cases, as were start-up resources. Thus, insufficient remuneration constitutes a major impediment to recruiting a world-class faculty.

Figure 4-5
Reasons Faculty Candidates Reject GW Offer
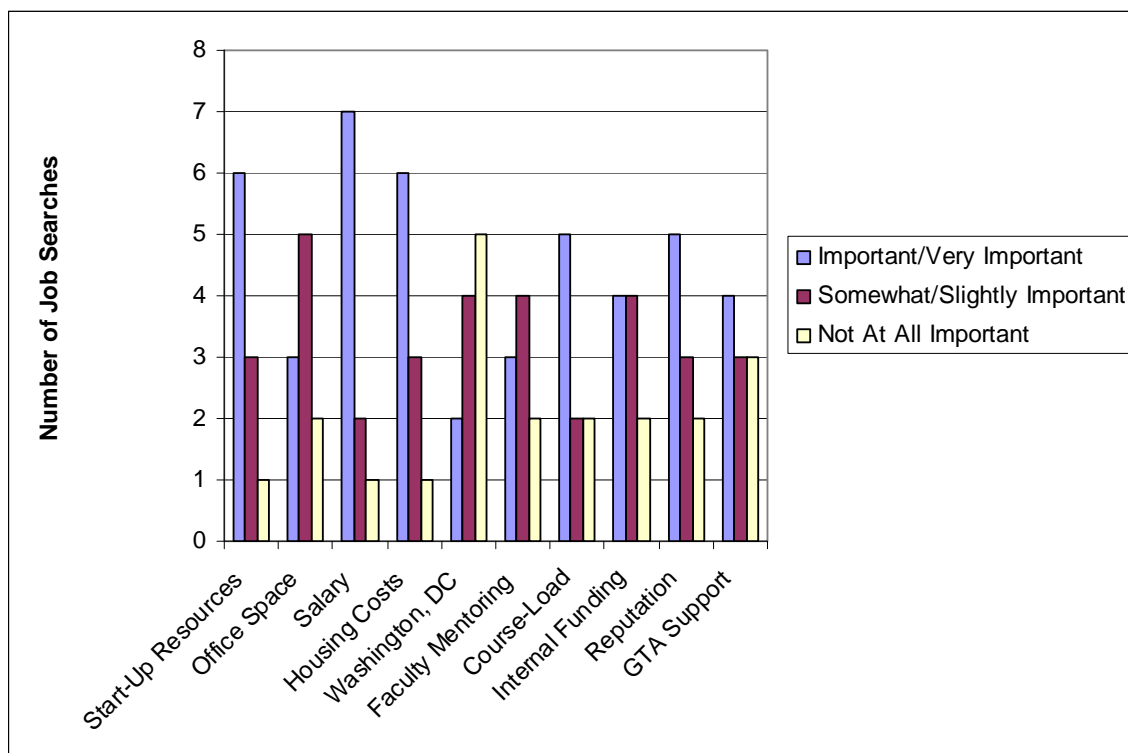
Note: Department chairs were asked to respond to the following: "Below is a list of factors that may influence a candidate's decision to reject an offer. Please indicate the importance of each in the candidate's decision to reject GW's offer." The chairs were given a scale of 1 (Not at all important) to 5 (Very important). The specific items were "Start-up resources and costs," "Office space," "Salary," "Housing costs," "GW's location in Washington, D.C.," "Faculty mentoring," "Course-load/course-release policies," "Internal funding opportunities," "Reputation of the faculty, program, or GW," "GTA support," and "Other."
Source: Survey of GW Department Chairs (2006–2007) (see Supporting Document **4.44**).

The University has made significant progress in raising faculty salaries to a more competitive level in recent years. The goal of achieving and maintaining average faculty salaries at the AAUP 80th percentile, first proposed in a resolution by the Faculty Senate nearly 20 years ago and accepted by the administration, has essentially been met.[18] This would seem to contradict the reports of noncompetitive salaries by GW's key administrators.[19] It should be noted, however, that the AAUP percentiles cited are not adjusted for cost of living, and the Washington

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[18] See footnote 6 for more information on the establishment of this benchmark.

[19] In addition, the salary data reported to AAUP by universities include contract faculty. Although we cannot compare the University's use of contract faculty to the market-basket institutions or other universities more generally, the University does enlist the support of contract faculty. In the fall of 2006, 24.9% of the University's faculty were contract faculty (237 individuals), and 43.0% of those contract faculty (102 individuals) were employed by the Columbian College of Arts and Sciences. Perhaps analyses of faculty salary, like that seen in the following pages, should be limited to tenured or tenure-track faculty (see Supporting Document **4.45**).

metropolitan area is one of the most expensive areas to live in the country.[20] In addition, the University has a number of academic units that command higher salaries and may not be present at many of the institutions whose faculty salaries are factored into the AAUP percentiles.[21] Thus, the raw salary data significantly overstate the competitiveness of salaries that the University offers to recruit and retain world-class faculty. Also, the averages mask the uneven compensation at the University, where the average faculty salaries of some of its units do not meet even the AAUP 60th percentile, although the objective of maintaining each school's average salary at least at the 60th percentile was the second component in the Faculty Senate's 1987 resolution. It is not clear whether this allocation across schools is an intentional effort to allocate resources to appropriately reward world-class faculty members (see Figure 4-6).[22]

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[20] Washington is frequently listed among the most expensive cities in America –(see Supporting Document **4.15**, where Washington was listed among the top five most expensive cities to live). Comparing the cost of living in Washington, D.C., with the cost of living in the cities with the market-basket universities, Washington is more expensive than the median city represented by the market basket. We used a cost-of-living calculator (see Supporting Document **4.16**) to estimate the cost of living in each city when compared to earning $100,000 in Washington (with an observation for each university, even though two cities, Washington and Boston, have more than one university in the market basket). The median cost of living was $92,958.

[21] Three of the 14 market-basket schools, for instance, do not have either an engineering school or a business school. All of the market-basket schools have a law school.

[22] Two units are consistently below the AAUP's 60th percentile: the Columbian College of Arts and Sciences (CCAS) and the Graduate School of Education and Human Development (GSEHD). The average salary of their faculty at all ranks is below the 60th percentile. In addition to these, associate professors in the Elliott School of International Affairs (ESIA) are below the 60th percentile, while its average assistant professor salary is $24 above the 60th percentile.

Figure 4-6
**GW Faculty Salary by School (2005–2006)**
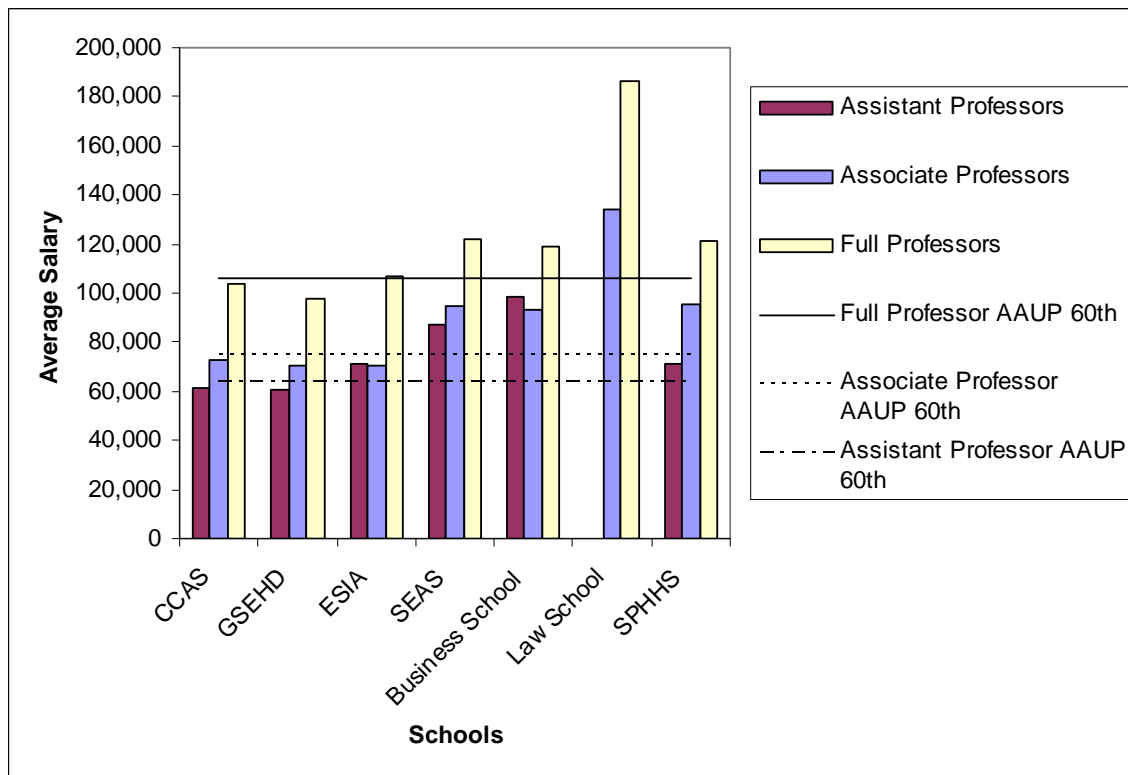
Source: Annual Report of the Faculty Senate Committee on Appointment, Salary, and Promotion (see Supporting Document **4.06**). AAUP data obtained from Survey Report Table 9A (see Supporting Document **4.39**).

The adoption of the 80th percentile benchmark (and the 60th percentile for each school) was made when the University was not seeking to build a world-class faculty. As noted above, the relevant Faculty Senate resolution was passed in 1987 when GW was a very different institution. The response of the sitting president, Lloyd H. Elliott, gave a very telling reflection of the objectives of the University. He stated that given the tuition-dependent character of the University, faculty salaries were "related to credit hours taught by faculties of schools and colleges and by departments." No mention was made of marshaling the resources necessary to hire and retain faculty engaged in cutting-edge scholarship. It was not until much later that the University adopted the objective of building a world-class faculty. Consequently, the use of the 80th and 60th percentile benchmarks should be reexamined in view of the SPAE's objective.

The University's reliance on the AAUP 80th percentile as its benchmark for salaries is inconsistent with its use of the market-basket schools in other areas. Comparing the salaries offered by market-basket schools with GW's shows that the University paid its assistant professors significantly less than the market-basket median during the 2000–2001 academic year (see Figure 4-7). This disparity grew in subsequent years until it was largely eliminated during the 2005–2006 academic year. It should be noted that the market-basket median always exceeded the AAUP 80th percentile during this time frame, even exceeding the AAUP 90th percentile

during the 2002–2003 academic year, while GW's remuneration for its assistant professors did not exceed the AAUP 80th percentile even once.

Figure 4-7
GW Assistant Professors' Salaries Compared With Market-Basket Schools and AAUP
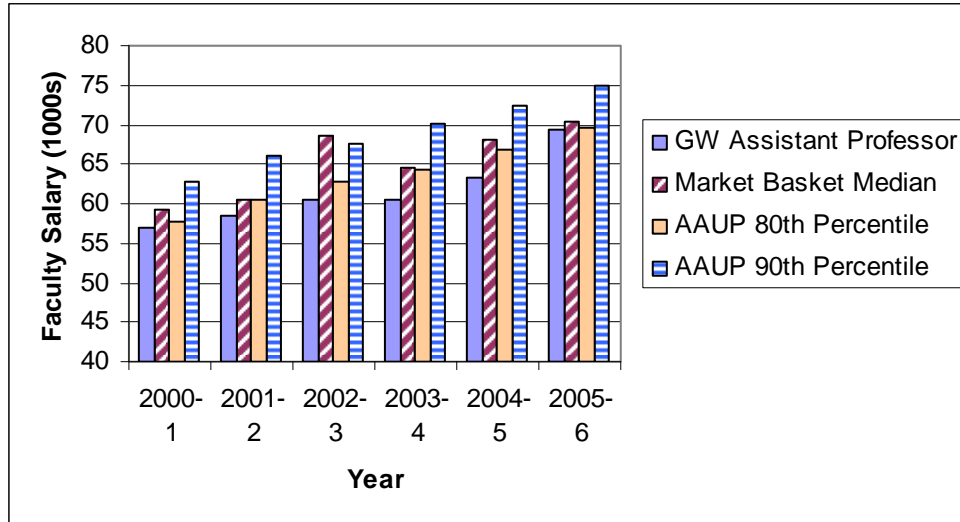
The University's monetary reward for the services of its associate professors has been more competitive with the market basket in the past 6 years than that for its assistant professors (see Figure 4-8). During the 2000–2001 academic year, the average GW associate professor was actually paid at nearly the AAUP 90th percentile level, significantly more than the market-basket median. However, this pay advantage eroded in subsequent years; by 2002–2003, it was gone, and GW's associate professors were paid significantly less than the market-basket median thereafter, although their pay exceeded the AAUP 80th percentile in all but 1 year (2003–2004).

Figure 4-8
GW Associate Professors' Salaries Compared With Market-Basket Schools and AAUP
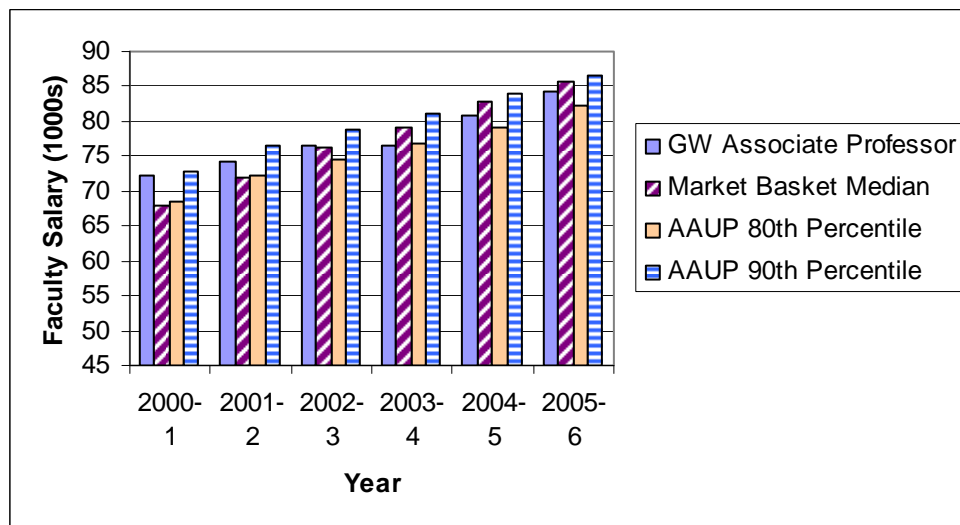
The disparity in faculty compensation is most dramatic for full professors, those faculty members whose rank indicates scholarship of some international renown. If the University's recruitment and retention policies are well guided by the goal of building a world-class faculty, its full professors should be, on average, world-class. However, their compensation is significantly below that of the market-basket median 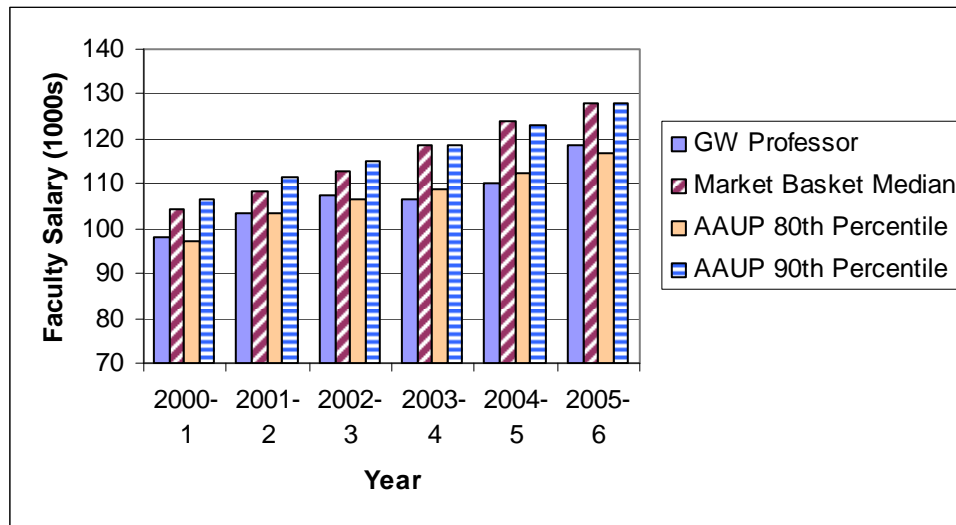in each of academic years 2000–2001 to 2005–2006 (see Figure 4-9). In fact, the disparity grew sharply between 2002–2003 and 2004–2005, closing slightly in 2005–2006. The average compensation received by full professors at GW met or exceeded the AAUP 80th percentile in all but 2 of these years, but the market-basket median was closer to the 90th percentile, in fact surpassing it in 2004–2005.[23]

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[23] One rejoinder to the comparison of salaries across institutions is that an institution's average salary is significantly affected by the number of salary outliers. For instance, the calculations of the mean could be skewed upward if an institution has a large number of faculty in units that have substantially higher earnings, like a law school. At the same time, the average faculty salary could be dampened if that institution has a substantial unit with lower earnings. The result is that the average salary reported by an institution is dependent on the composition of the faculty across units. To fully appreciate the variance in institutions' average salaries, one would need to disaggregate faculty salaries, and such data are not available. However, while the George Washington University has a large number of faculty in the arts and sciences, the GW Law School faculty is the fourth largest when compared with the market-basket schools.

Figure 4-9
**GW Full Professors' Salaries Compared With Market-Basket Schools and AAUP**

Given that GW's faculty salaries, adjusted for the local cost of living, are not competitive with more than 20% of universities, including GW market-basket schools, one must question how the University expects to be competitive in attracting or retaining the very best faculty. In conventional usage, "world-class" is normally taken to mean elite in a field of endeavor. Unless one takes this elite class of faculty to be much greater than 20% of the faculty members whose salaries are included in the AAUP data, the University is not compensating at a world-class level, even with the recent increases in salary. Furthermore, if at GW's primary recruitment level, assistant professor, the University's efforts are guided by the goal of building a world-class faculty, then we could expect salaries to be competitive within the market basket. What we see, however, is that, to the extent that salary determines the ability of the University to attract top faculty, it is at a competitive disadvantage in recruitment and retention.

Beyond salary, financial resources in the form of start-up resources also influence the decisions of job candidates. The chairs expressed concern with the adequacy of the start-up resources. On average, they reported that start-up resources were between somewhat adequate and barely adequate.[24] The chairs stated that new faculty are more commonly given funds for research expenses, a computer, lab space, and a course reduction (see Figure 4-10).

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[24] The chairs were asked, "How adequate are these start-up resources?" They were given a 5-point scale that ranged from "Not at all adequate" (1) to "Very adequate" (5). The average value given was 2.67 with a median of 3. Five chairs placed start-up resources as a "1" with another five giving a score of "2." In contrast, only five chairs in total assigned a score of "4" and "5."

Figure 4-10
Start-Up Resources Allocated for New Faculty
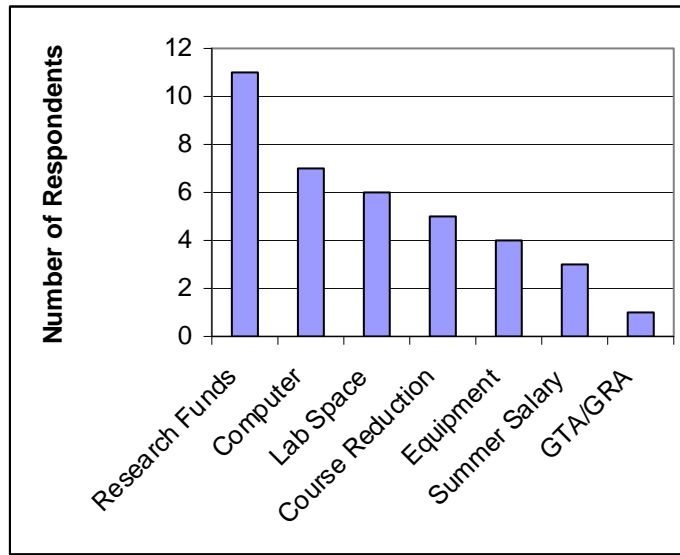
Note: Department chairs were asked the following question: "What resources (i.e., lab space, equipment, research money, GTA support) does GW allocate for new faculty members' start-up costs?" The 24 responses to this open-ended question were content analyzed.
Source: Survey of GW Department Chairs (2006–2007) (see Supporting Document **4.44**).

Fortunately, salary and other financial considerations are not the only determining factors in recruiting faculty. The chairs surveyed noted several other factors of high importance, including reputation (of the faculty, program, or the University), GW's location in Washington, start-up resources and costs, and course-load/course-release policies (see Figure 4-11). Unfortunately, of these, only GW's location clearly assists the University. The reputations of faculty and programs across the University are not uniformly advantageous in recruitment and retention, and the other factors listed have been cited by key administrators and chairs as ones in which the University has a competitive disadvantage.

Figure 4-11
Reasons Faculty Candidates Accept GW's Offer

Although it would seem that the University is at a competitive disadvantage, one will recall that the chairs responded that GW is remarkably successful in attracting its top candidates in faculty searches. How can it be that the University competes so well for faculty despite the disadvantages reported by the key administrators and chairs? In some cases, the University's success may be attributable to a lack of competition for the candidate. One chair reported, "Had the candidate had a competing offer, these resources would not have been adequate." However, this could not be the general case as one half of the first choice candidates that accepted positions at GW had competing offers. The extraordinarily high success rate that the University has in competing for candidates and the absence of competition in one half of the successful searches suggests that GW may not make offers to truly top candidates in many cases. One would expect GW to have competition in nearly all searches and to be unsuccessful in a significant number of searches if the University is making offers to the most talented candidates—who would be recruited by top-tier institutions and for whom the competition would be fierce.

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This leads to questions about whether the University is attracting a world-class candidate pool. While the University's location and the reputation of its programs may attract some candidates, others may find these attributes so negative that they do not apply. Unfortunately, there are no data indicating whether faculty searches attract the applications of the top candidates seeking positions. In addition, one might question whether offers are going to the best qualified candidates or whether some candidates are dismissed without an offer owing to a perceived inability to put forward a sufficiently attractive package to retain their services. Some anecdotal evidence of this practice exists, and one of the key administrators stated that a lack of sufficient resources keeps units from attempting to recruit world-class faculty in every search. Finally, departments might choose to recruit a candidate who is certain to accept, rather than a more talented candidate who might prove more difficult to attract, in fear that a search will not be reauthorized after the failure to hire a candidate.[25] Thus, the risk of losing out to a top institution could dissuade departments from making offers to prime candidates, since failure to hire in the first year of the search may well end their chance to add a faculty member. To whatever extent this policy encourages the hiring of "safe" candidates, the University's assessment of open positions and its decisions to authorize searches are not effectively enhancing the recruitment and retention of a world-class faculty.

Retention of World-Class Faculty

Between October 1999 and September 2003, 167 full-time faculty members left the University (excluding visiting faculty and medical center faculty). Of those, only 12 reported that they left for another job (see Supporting Document **4.17**). It is not known whether the faculty members who left for jobs at other institutions were of world-class caliber, so the impact of their departure is difficult to judge.[26]

The seven key administrators were asked whether their units had lost world-class faculty to other institutions in the past few years. Two of them reported no losses in 10 years, but both of these administrators reported that their faculty as a whole was not world-class, thus that they had few such faculty members to lose. All five of the other key administrators reported losses, one reporting "major difficulties" in this area. The common reasons given for the losses were low

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[25] Department chairs and faculty reported that unfilled searches are not necessarily reauthorized. Faculty in several departments commented that they discuss the chance of not receiving authorization to conduct another search the following year if they do not fill a position. This may very well prompt departments to hire candidates who lack widespread enthusiasm among faculty. Unfortunately, we did not ask the key administrators nor did our department chair survey ask about the reauthorization of positions. Thus, our conclusion relies on anecdotal evidence.

[26] This highlights the absence of institutional assessment of why faculty choose to leave the University. Annie Wooldridge, assistant vice president of faculty recruitment and personnel relations, informed us that the University does not conduct exit interviews with departing faculty. The report on Recruitment and Retention of Women Faculty and Faculty of Color (Supporting Document **4.17**) included the following section on exit interviews: "During 2003, the Office of Faculty Recruitment and Personnel Relations (FR&PR) explored the pros and cons of an exit interview program to solicit feedback from faculty who voluntarily leave the University. By collecting information on all aspects of a faculty member's association with the University, we would have valuable information that could assist us in reducing turnover and improving the quality of work life for all faculty. Primary tasks completed on this project included surveying universities (including market-basket schools) to gather information about their experience with exit interviews, developing a draft survey instrument, and exploring exit interview management systems. Work on this important project has slowed due to staffing issues" (see Supporting Document **4.18**).

salary, high cost of living, and the desire of the world-class faculty to move to a more prestigious university. These responses indicate that the University is not allocating sufficient resources to reward its world-class faculty; additionally, the University's level of prestige is a lagging indicator fed by complex variables.

Data on faculty retention from the chairs surveyed are limited. Although the 27 chairs who responded reported that 39 outside offers had been made to their faculty within the past 5 years, details were given for only 13 individuals: five full professors, three associate professors, and five assistant professors. Counteroffers that the chairs considered competitive were made by the University in seven of the 13 cases.[27] Of the seven faculty members who received a counteroffer from the University to remain at GW, four chose to stay; two of the six faculty who did not receive a counteroffer from the University decided, nevertheless, to stay. The reason given for leaving was salary/high cost of living, wish to move to a more desired department or area, and insufficient University resources. In every case in which the faculty member was retained, personal relationships, specifically the collegiality of the department and/or family considerations, were cited as the deciding factor.

Ninety-nine tenure-track, nontenured faculty left the University prior to their tenure notification date between 1992–1993 and 2002–2003, while 230 junior faculty were awarded tenure (see Supporting Document **4.18**).[28] Poorly guided recruitment or insufficient support for junior faculty could be responsible.[29] No data are available on whether any of these faculty members were world-class, so it is difficult to determine whether their departures can be attributed to poor recruitment choices. Key administrators and chairs said that resources allocated for start-up funds and space are not sufficient for their junior faculty, so it seems likely that at least some of those who left did not have adequate support from the University for their development. Of course, the issue of adequate support goes beyond the question of successful tenure; the early years of a scholar's career are crucial to long-term productivity and reputation. A junior faculty member may succeed in obtaining tenure but not achieve full potential because of inadequate University support early (or later, as well) in their careers. Such retardation of scholarly potential would be difficult for any study to pinpoint, and it certainly is beyond the scope of this study.

Is the University effectively recruiting and retaining a world-class faculty?

The key administrators were asked whether the faculty in their unit are "world-class." Only one administrator answered with an unqualified "yes." One reported that her/his unit's faculty was

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[27] Interestingly, in the cases where a counteroffer was not made, one department chair stated that s/he did not know it was possible to make such offers and another chair indicated that the administration did not move in a timely fashion. This makes clear that the decision not to make a counteroffer was not always a deliberate decision, although two chairs indicated that the faculty member in question did not have department support or that the faculty member's value to the department was questioned.

[28] We cannot calculate the percentage of tenure-track faculty who leave the University before their tenure notification date as we do not have data on the number of faculty denied tenure. Table 6 of the Report on Recruitment and Retention of Women Faculty and Faculty of Color (see Supporting Document **4.18**) provides a breakdown of these numbers by college. In particular, the report indicates separately the number of women and men who left each college before their tenure notification date.

[29] The Columbian College of Arts and Sciences provided support for research conducted by junior faculty through the Junior Scholar Incentive Award (JSIA). The college did not fund these awards during the 2006–2007 academic year.

not and she/he saw no prospect of it becoming so. Two reported that their faculty was not world-class but that the school is making progress, although improvement is becoming increasingly difficult and requiring more resources than are currently available. The other three key administrators were less definitive in their assessments, maintaining that this designation depended on the success of the careers of recent hires.

It is important to note that 81% of the recent searches reported in the chairs' survey were at the assistant professor level. Such entry-level hires are made on the promise of the junior faculty member's attaining world-class status. This places a premium, then, on holding junior faculty to rigorous standards when making tenure decisions. At the department, school, and University levels, tenure and promotion standards should ensure that only faculty whose scholarship is deemed to be world-class are rewarded with tenure.

If world-class is a meaningful descriptor of GW's faculty, then GW's faculty must be better than the faculty at some number of other institutions. If GW's faculty are not yet world-class, then they must improve at a rate faster than other institutions competing for the same distinction. While many of the scholarship indicators of the University's faculty, such as research grants, have improved recently, it is not clear that the improvement is significantly better than that of GW's competition for world-class status. One of the key administrators stated that, for the most part, her/his unit's faculty were world-class but that "it is as the Red Queen said to Alice: 'I am running as fast as I can to stay in the same place.' In other words, the competition with these other institutions is intense, and the stakes are constantly going up." In a fiercely competitive environment, one must be willing to do all one can, and more, to come out on top. It is not clear that GW is in fact doing all it can and more or that it is progressing more rapidly than its competition.

Standard 7: Institutional Assessment—Strategic Excellence and Cluster Hiring

Do the University's assessment of open positions and its decision to authorize searches effectively enhance the probability of hiring a world-class faculty?

The SPAE aims to direct additional resources to areas of "selective academic excellence" determined by University assessment. The resources allocated to the programs chosen for this enhancement have been modest but have had some effect on recruitment and retention, both directly and indirectly, to the extent that the selective excellence determinations guide recruitment plans. The selective excellence program has dramatically affected recruitment in CCAS, GW's largest college. Starting in the 2003–2004 academic year, CCAS has devoted a large fraction of its recruitment efforts to "cluster hiring," that is, recruiting multiple faculty members with mutual scholarly interest in areas of selective excellence. It seems reasonable that cluster hiring and selective excellence programs could result in University recruitment decisions that enhance the hiring of a world-class faculty. However, the success of a cluster hiring strategy depends on the proper identification of true selective excellence and synergistic clusters; poor decisions could easily bring about "selective mediocrity" or worse.

The University used a wholly internal process to identify areas of selective excellence; therefore, questions about a conflict of interest could arise. Furthermore, if the University does not already

have a world-class faculty, then does GW have personnel of sufficient insight and foresight to determine which programs warrant selective investment? If it does have existing personnel equipped to make these determinations, then we might ask whether these individuals were properly identified and seated on the selection committee and made sufficiently informed and unbiased assessments. If the University had employed a committee of external experts of unimpeachable scholarly qualifications and integrity, these questions would not be so salient, and the University would in all likelihood have a far better assessment of where to strategically invest its resources. In the final analysis, though, the internal selection method may have done a good job in carrying out its charge, but it will be years before that can be determined with any certainty.

Recommendations

1) If the University desires a world-class faculty, it should decide exactly what the descriptor signifies in specific and easily measured quantitative goals that can be clearly communicated to faculty. It should dramatically increase the compensation of faculty who meet the definition and provide substantial incentives to those who are making marked progress toward becoming world-class. It should set compensation goals based on salaries adjusted for cost of living and salaries at the universities that have faculty of the world-class caliber it seeks, whether those be the market-basket schools or other institutions.

2) The University should raise its level of start-up assistance and University services to exceed those given by universities of a stature that GW seeks to attain. Merely meeting the level of support offered elsewhere would not be sufficient to compete in recruiting and retaining faculty, as the superior reputation of the competing universities would give them a crucial edge. In addition, GW should seek to make resources available to its junior faculty that put them at a competitive advantage over junior faculty at other institutions, rather than leaving resources at the current disadvantageous level, so that GW's junior faculty members can reach their full potential as scholars.

3) The University should, in general, authorize multiyear searches for new faculty members. Allowing departments to fail in a search and still continue in the following year(s) would encourage departments to compete for truly top candidates, even though those candidates may decide to accept the offers of more highly ranked institutions.

4) The University should recruit "targets of opportunity" at senior levels and replace a larger percentage of exiting senior-level professors with other senior-level scholars, rather than relying so heavily on the development of junior faculty. Acquiring highly reputable scholars could accelerate GW's move toward a world-class faculty, and the senior scholars would serve as strong mentors for junior faculty.

5) The University should examine its tenure and promotion standards to ensure that they are appropriate for the level of scholarship that it deems to be world-class.

6) The University should retain the advice of external reviewers of unimpeachable scholarly qualifications and integrity, who are without personal or professional conflicts of interest, to evaluate the strengths and weaknesses of the University through academic program reviews. The University should target for enhanced recruiting areas that are determined to be opportunities to achieve excellence.

Sponsored Research Support

Guiding question: Does the University's support for sponsored research serve to effectively increase the scope and excellence of the GW research enterprise?

In the context of the MSCHE standards, key issues addressed included: 1) Have the units that support sponsored research effectively analyzed and integrated best practice models and benchmarks as they seek to improve their oversight and management efforts? (Standard 2: Planning/Resource Allocation); 2) Are the staffing levels and other resources allocated to the units that support sponsored research consistent with the goals of the SPAE? (Standard 3: Institutional Resources); and 3) What indicators of success will be used to assess the re-organized research support system? In what ways do the units that support sponsored research utilize assessment data to strengthen the University's research enterprise? (Standard 7: Institutional Assessment).

Standard 2: Planning/Resource Allocation

Has the Office of the Chief Research Officer effectively analyzed and integrated best practice models and benchmarks as it seeks to improve its oversight and management efforts?

In the fall of 2005, GW reorganized its sponsored research infrastructure. This action was taken in part because of a damaging scandal at the University (see Supporting Document **4.19**). In 1995, GW's National Crash Analysis Center received $23 million from the Federal Highway Administration and the National Highway Traffic Safety Administration. In 2005, the center's director pleaded guilty to embezzling center funds. The scandal resulted in major sanctions against the University, although in late 2006 the University was found to be in compliance, and much of the funding was reinstated to the center.

Prior to the reorganization, research services at GW were largely overseen by the associate vice president for research and graduate studies. The reorganization occurred under the guidance of Huron Consulting—a firm that frequently consults with research institutions and medical centers on operations—and resembles reforms made at similar universities. The reorganization created an administrator solely responsible for research—the chief research officer (CRO) —who now oversees the substantially upgraded and revamped Office of the Chief Research Officer (OCRO). The office supports the generation and management of sponsored awards in support of research, training, instruction, and public service. It works with principal investigators (PIs) across campus to adhere to University and sponsor regulations. The OCRO represents the University in providing the final institutional signature on proposals; in negotiating terms and conditions for grants, contracts, subcontracts, and other award mechanisms; and in dealing with external sponsors' administrative representatives. The OCRO also assists faculty members in finding sources of funding appropriate to their research. The office reviews proposals for the accuracy of all financial and institutional information, conformity with sponsor requirements, and necessary institutional approvals. The OCRO is responsible for creating award accounts in the Oracle Grants Management System. The OCRO also grants significant postaward assistance to PIs, including expenditure approvals, subcontract modifications, and input in the award closeout process. The OCRO now features a tiered system of oversight meant to facilitate the processing

of "low-risk" awards while at the same time providing the necessary high level of scrutiny to higher risk awards.

The reorganization includes a new office (the Office of Research Training and Compliance) and an officer dedicated to research training and compliance. In addition, the University built up oversight through the Executive Research Oversight Committee (EROC) and the Research Operations Committee (ROC). The EROC facilitates the coordination and strategic consideration of GW research topics. It also facilitates responses to research issues that may arise. The EROC consists of the EVPAA, the executive vice president and treasurer (EVP&T), the vice president for health affairs, the CRO, and the interim VP and general counsel. The CRO and the leaders of GW's research administrative units make up the ROC, which coordinates daily operating issues and tasks associated with GW's research mission and operations.

Aside from its reorganization, the OCRO has moved aggressively to improve operations and resources in many areas, such as bolstering the presence of research service coordinators (more below) and creating seven school research administrators. The research services Web site has been upgraded substantially, and PI training is now a more central mission of the OCRO. One facet of PI training is the Fiscal Responsibility and Compliance (FR&C) course. A total of 444 PIs and 78 administrators have received the FR&C training. Of the 389 active PIs, 360 (92.5%) have been briefed in FR&C, and 139 of those who have taken the course (38.6%) have completed their training online. Since December 2006, 53 PIs have also been trained during proposal development or in grant-writing workshops. In addition to the FR&C course, 73 PIs have been trained in electronic proposal submission procedures for Grants.gov.

Standard 3: Institutional Resources

Are the staffing levels and other resources allocated to the Office of the Chief Research Officer consistent with the goals of the SPAE?

As part of the data-gathering process, the committee interviewed a wide array of deans, faculty, and research support staff across campus (see Chapter 4 Appendixes, Appendix 2). A survey sent to all department chairs and regular faculty presented closed- and open-ended questions pertaining to sponsored research at GW (see Supporting Document **4.20**).[30] Although the committee has no way to assess the satisfaction of faculty at GW with the University's research services relative to the satisfaction of faculty at comparable schools, the GW faculty and chairs who returned surveys expressed overall dissatisfaction with the quality of research services at GW. Furthermore, some of the respondents expressly claimed that the quality of research services at GW lags behind institutions with which they were familiar. Three strong caveats are notable before proceeding. First, it is possible that dissatisfied faculty respond more readily to surveys of this type than do satisfied faculty. Second, the recent major reorganization of the research services at GW has probably not been in place long enough to register much in the survey. That is, much of the dissatisfaction is long-standing and may decrease as the impact of the reorganization is felt. Third, the OCRO is the "face" of the University on sponsored projects administration. The OCRO is blamed if there are breakdowns in other parts of the University or

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[30] Of the 690 GW faculty surveyed, we received responses from 391, for a response rate of 56.7%. This yields a margin of error of +/- 3.3% with a 95% confidence interval.

contextual factors that affect research administration. An obvious example of context affecting research endeavors is the dramatic rise in compliance obligations all universities face because of federal regulations.

Still, the quantity and quality of the responses give pause. Overall, the comments focus on two main areas: 1) administrative support for grant proposals and for administering funded projects; and 2) enhancing the incentives to sponsored research.

*Research Administrative Support*

The quality of research administrative support is an area of clear concern. For example, 247 out of 376 (65.7%) responses claimed that "GW puts up barriers, hurdles, or disincentives that discourage" the pursuit of external funds for research.[31] The open-ended responses often speak directly to administrative issues. Some examples include: "Working through the bureaucracy is a logistical nightmare," and GW's "lack of [administrative research] staff to help before and after funding"[32] is a serious impediment. While 60 respondents named the lack of administrative research staff as a barrier, only 12 respondents named administrative support as an incentive to engage in externally funded research (see Figure 4-12 for incentives).[33] Currently, administrative support is principally provided to PIs by the OCRO through research service coordinators (RSCs). In essence, the RSCs constitute the "front lines" of OCRO, guiding PIs through the grant submission process and often communicating compliance steps and other administrative requirements once a grant is awarded. Individual RSCs are assigned portfolios covering specific units on campus. For example, currently five RSCs divide up the 42 departments, schools, and programs within CCAS. At least three of the five have additional responsibilities outside CCAS. GWSB (including the GW Center for International Business Education and Research, or GW-CIBER) has a single RSC, who also holds responsibilities elsewhere. These are large portfolios, and it is thus no surprise that the amount of detailed, individual attention that RSCs give to specific proposals is limited.

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[31] It is worth noting that a disproportionate number of faculty who found barriers or disincentives at the University submitted proposals for external funding. A difference of proportions test found that 72.6% of those who submit proposals saw barriers, while only 45.1% of faculty who do not submit proposals found barriers at the University ($p < 0.0001$).

[32] Figure 4-13 is based on content analysis of the open-ended question responses to the request for elaboration on the barriers that discourage externally funded research. For each category, we searched for certain words: Bureaucracy/compliance included *paperwork, IRB, human subjects,* and *compliance;* support included *staff* and *help;* teaching load examined *teach* and *grading;* space/facilities included *lab*; indirect return included *REIA* and *overhead;* support proposal writing included *bridge, write,* and *release.*

[33] Figure 4-12 is based on content analysis of the open-ended question responses to the request for elaboration on the incentives that encourage externally funded research. For each category, we searched for certain words: Teaching relief included *teach, buyout,* and *course;* salary/raises included *salary, merit, raise,* and *annual;* GW Institute of Public Policy included *GWIPP* and *Policy Research Scholar;* return on indirects included *REIA, indirect,* and *overhead;* matching funds included *match, top, cap,* and *salary;* research support included *support, service, announcement,* and *update;* promotion/tenure included *promotion* and *tenure.*

Figure 4-12
Incentives to Engage in Externally Funded Research
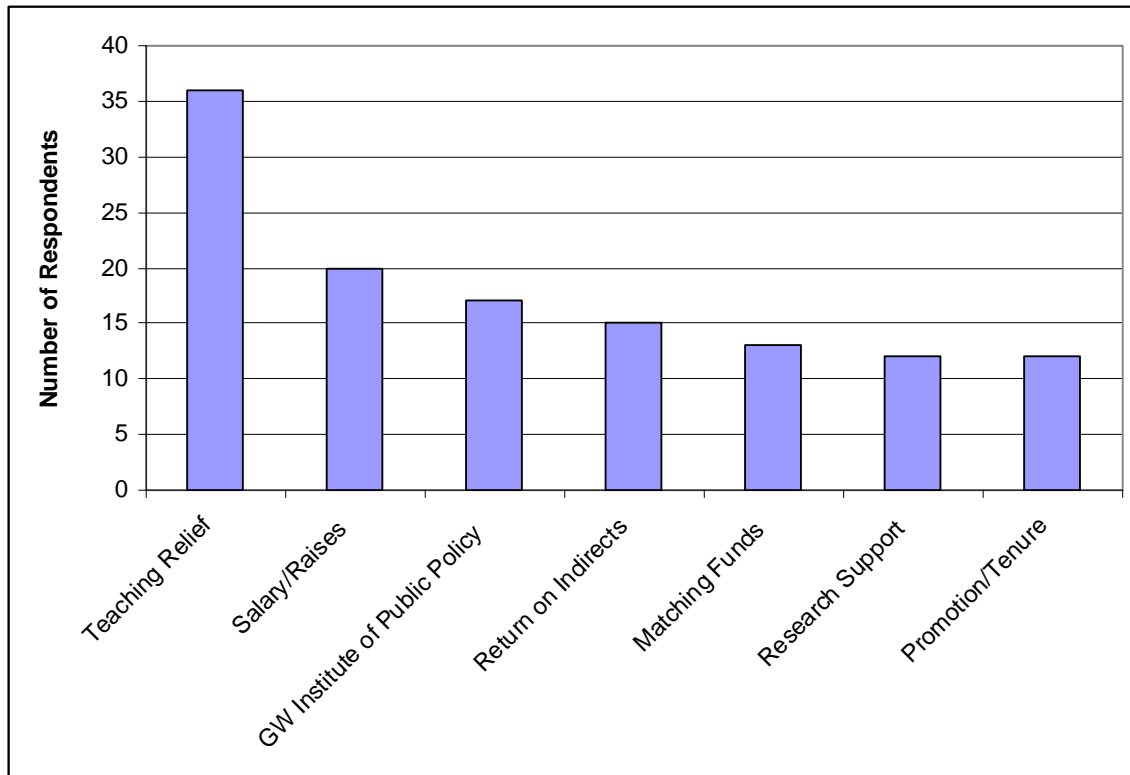
Note: Respondents were asked, "Do you think GW provides incentives that encourage you to engage in externally funded research?" Respondents who answered "yes" (as 36.1% did) were asked to "list some of these incentives." Source: Survey of GW Faculty (2006–2007) (see Supporting Document **4.20**)

At the same time, the administrative burdens, especially in the area of compliance, for sponsored research have grown dramatically over time, largely because of factors outside the University's control. Much of the weight of this increase in paperwork has fallen on PIs. As is seen in the surveys, PIs are frustrated by the difficulty of submitting proposals for funding and administering projects once funded. When asked to list barriers to engaging in externally funded research, the second most frequently named obstacle was the University's bureaucracy or the paperwork required to submit a proposal—50 of the 247 respondents (20.2%) who answered affirmatively named bureaucracy as a barrier (see Figure 4-13).

Figure 4-13
Barriers to Engaging in Externally Funded Research
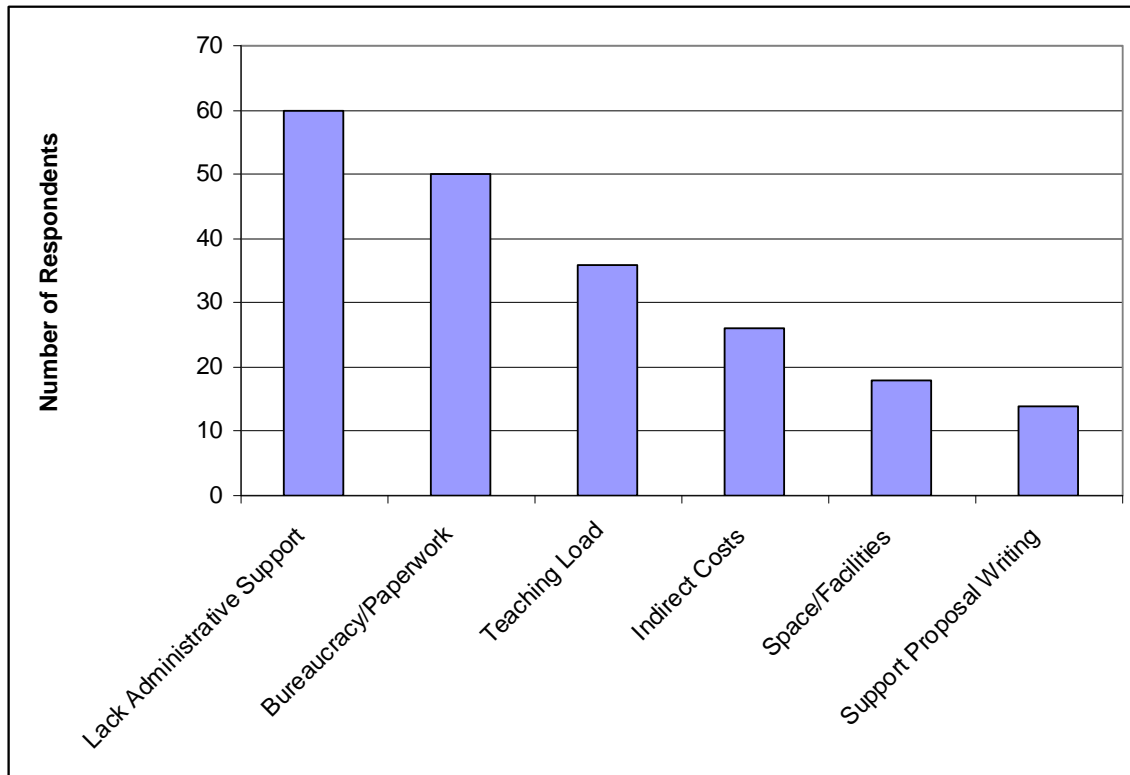
Note: Respondents were asked, "Do you think GW puts up barriers, hurdles, or disincentives that discourage you from engaging in externally funded research?" Respondents who answered "yes" (as 66.0% did) were asked to "list some of these barriers."
Source: Survey of GW Faculty (2006-2007) (see Supporting Document **4.20**)

A few units on campus do have staffers who act as program managers. For example, the GW Institute of Public Policy (GWIPP), a University-wide research institute, has such a person in place for PIs who do policy research. Such staffers are not involved in the substance of projects but rather help PIs develop budgets, complete paperwork, guide proposals through the submission process, and administer the projects once funded. The creation of more such positions could dramatically enhance sponsored research on campus (see Supporting Document **4.21**).[34] Alternatively, or in addition, the OCRO could augment the role of school research administrators to take on these responsibilities.

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[34] This claim is bolstered by the responses to the question related to incentives that encourage externally funded research on campus. GWIPP is the third most frequently named incentive for engaging in sponsored research. In addition to providing administrative support to faculty who are submitting a proposal or who have received a grant, GWIPP operates the Policy Research Scholar program, which provides summer salary and/or a course release on the condition that the faculty member submits a proposal for externally funded policy-related research.

Incentives

Faculty respond to incentives. If garnering a certain amount of sponsored research dollars is necessary for gaining tenure, then tenure-track faculty will seek that amount of grant support (see Figure 4-12). If research dollars are necessary for raises and promotion, then tenured faculty will pursue grants. A researcher who receives no salary without grant support—as is the case with a variety of research faculty at GW—will aggressively go after grant dollars. However, the incentives we have just described vary dramatically by discipline and position type. In some disciplines—law, for example—sponsored research is rarely crucial to career success (see Figure 4-14). In such fields, a person can be hired, receive tenure, and achieve promotion to full professor without ever obtaining any external grant support. In others—the basic science disciplines in the School of Medicine, for example—major grant support is necessary even to be hired as regular faculty, let alone receive promotion (see Figure 4-15).[35]

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[35] As seen in Figure 4-14, not all faculty find that externally funded research is critical to carrying out scholarly inquiry in their chosen field. Although 47.8% either agree or strongly agree that external funding is critical to their research, 30.2% disagree or strongly disagree with that statement. This view then has ramifications for the faculty member's propensity to submit funding proposals–94.1% of those who agreed that external funding is critical report submitting a proposal, compared with 60.3% of other respondents (which represents a significant difference of proportions at p<0.0001). To some extent, the availability of funding may color respondents' view of whether external funds are critical to their research: 40.9% agree or strongly agree with the statement that there are very limited or no funding sources for the type of research they do; 40.9% also disagree or strongly disagree with this statement of funding limitations. Yet, 66.9% of faculty who claim that funding sources are limited in their field of inquiry report submitting funding proposals, while 83.1% of other faculty report submitting a proposal (a significant difference of proportions at p<0.0001).

Figure 4-14
Reasons to Pursue External Funding
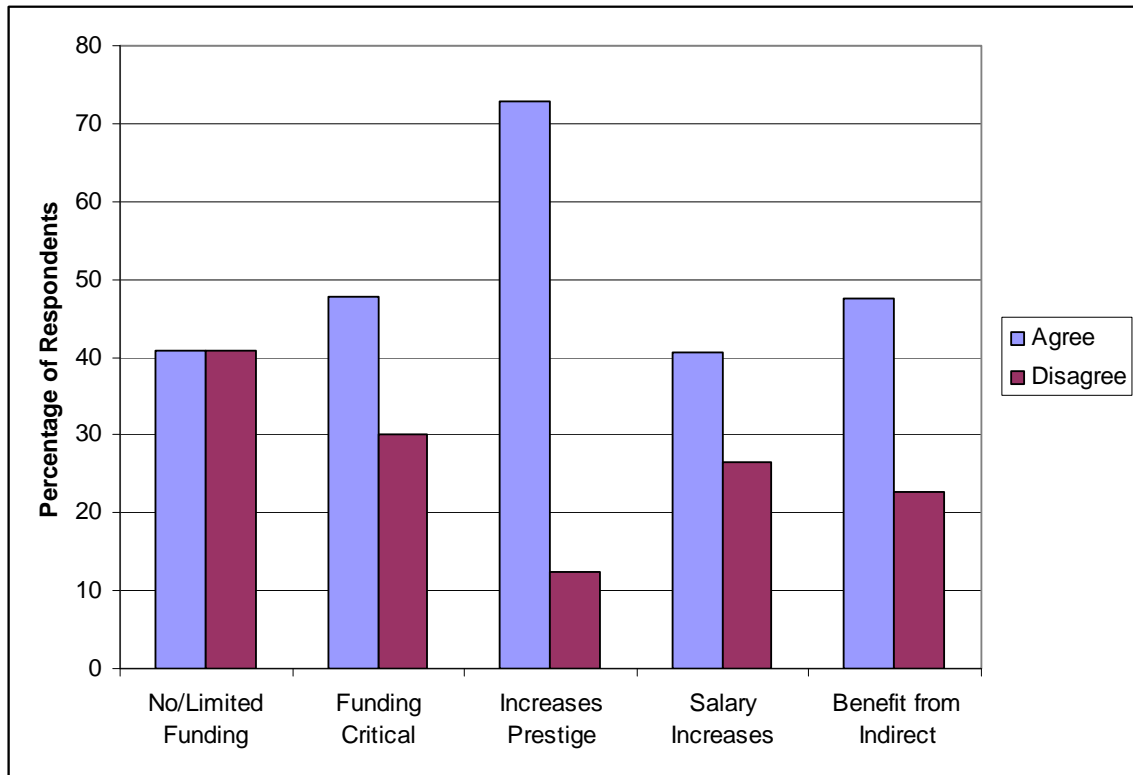
Note: The survey read, "Below are a number of statements about externally funded research. Indicate your level of agreement with each of these statements." Possible responses were "Strongly agree," "Agree," "Neither agree nor disagree," "Disagree," "Strongly disagree," or "Not applicable." On the graph, the two "agree" and the two "disagree" categories are combined. The specific items were: "There are very limited or no funding sources that provide support for the research I do"; "External funding is critical to carry out my area of research"; "External funding increases my prestige within my discipline"; "Obtaining external funding helps me get higher salary increases"; "Obtaining external funding benefits my department or program budget due to the return on indirect costs and/or salary savings."
Source: Survey of GW Faculty (2006-2007) (see Supporting Document **4.20**)

Figure 4-15
Factors for Seeking External Funding
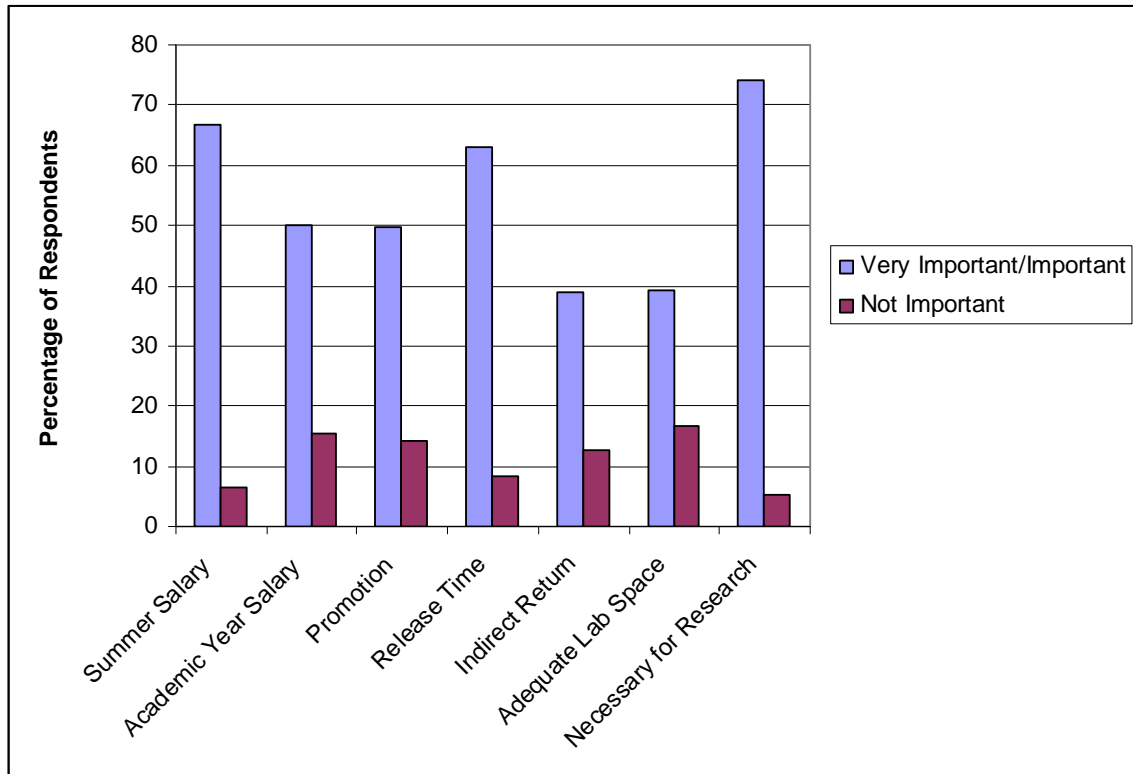
Note: The survey read, "Below is a list of factors that may weigh into one's decision to seek external funding for research. Indicate how important each factor is to you." Possible responses were "Very important," "Important," "Somewhat important," "Not at all important," "Neither important nor unimportant," or "Not applicable." On the graph, "Very important" and "Important" categories are combined. Specific items were: "Payment of summer salary"; "Payment of major portion of academic year salary"; "Help achieve promotion"; "Provide release time from teaching"; "Receive substantive return on indirect costs (i.e., REIA) as a principal investigator"; "Have adequate office/lab space to do research"; "Receive necessary support for research"; and "Other factors."
Source: Survey of GW Faculty (2006–2007) (see Supporting Document **4.20**)

This suggests two implications. First, effective incentives cannot be of a "one size fits all" nature because of differences across disciplines. Second, realistically, for GW to notably increase its amount of sponsored research, the University needs to dramatically augment its presence in the "hard" sciences, especially life science. According to the 2006 version of *The Top American Research Universities* (see Supporting Document **4.22**), the market-basket schools that excel in research expenditures gain a large amount of their expenditures from the life sciences.[36] Four of the top five market-basket universities in total research expenditures derive more than two thirds of their overall research expenditures from the life sciences, which include biological, agricultural, and medical research.[37]

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[36] See especially the table in *The Top American Research Universities* (2006) entitled, "Research by Major Discipline" (pages 38-45) (see Supporting Document **4.22**).

[37] These five schools averaged 75.2% of total research expenditures in the life sciences. In contrast, the University had only 40.8% of its total research expenditures in those disciplines. The University's share of life science research expenditures is lower than that of any of the 12 market-basket universities that are reported in *The Top American Research Universities* annual report (see Supporting Document **4.22**). The median share of life sciences research

Still, other disciplines at GW have tremendous potential to do more sponsored research. The committee's surveys and interview data suggest that inadequate incentives are in place to encourage faculty to submit more proposals. For incentives to work, they have to be clear, predictable, and valuable. One incentive is the Research Enhancement Incentive Award (REIA), which covers most on-campus units, Health Sciences excepted. Under REIA, a portion of indirect cost recovery is directed back to the PI, the PI's department, and the PI's dean. REIA can be used to cover expenses associated with research but not normally covered by the direct cost portion of awards, e.g., staff support and computing equipment. The incentive is strengthened by the crucial feature that REIA returns can go into departmental R funds, which span fiscal years.

Two problems in the past have undermined the effectiveness of GW's REIA program as an incentive. First, growth in the amount of sponsored research outstripped the funds available for redistribution each year, thus dramatically undercutting predictability. The open-ended comments on disincentives (see Figure 4-13) frequently cite the lack of indirect return and unpredictable return as discouraging the pursuit of sponsored research. Second, the REIA system was so complicated that few faculty and departmental chairs understood the program well enough to view it as a true incentive. During fall 2006, the University reformed the REIA by increasing the funds available each year and by dramatically simplifying the REIA return formula. The crucial problem facing the University now is educating faculty about the REIA. Extensive educational efforts by the CRO on this front, as well as faculty experience with the new system, should enhance REIA as an effective incentive.

Our survey data include many complaints about indirect costs at GW, since they have an inflationary impact on budgets (see Figure 4-13). Faculty in the humanities and social sciences commonly question the need for high indirects when their projects use relatively little overhead.[38] GW's federally negotiated indirect rate is 51.5%, a low rate relative to the median of 53% for GW's market-basket schools.[39] However, few grants at GW bring in anywhere close to the 51.5% rate. Indeed, in FY06, sponsored awards in Academic Affairs returned indirect costs of only about 10% of the total award, while in the Medical Center, the return was about 20%. Clearly, GW as an institution can benefit greatly by boosting its indirect return, and the

expenditures of those 12 universities was 80.4%. Only one other school had less than two thirds of its total research expenditures in life science disciplines, and that institution, which ranked third in the market basket for total research expenditures, had considerably more expenditures (20%) in the computer sciences than other schools. The University's research expenditures come from a number of disciplines: math (24.6%), engineering sciences (16.3%), and social sciences (11.1%).

[38] This is reflected in the importance accorded to returns from indirects as a factor in seeking external funding. Among faculty in CCAS, who are placed in one of three divisions (i.e., humanities, mathematical and natural sciences, and social sciences), faculty respondents in the humanities and social sciences, compared with those in the mathematical and natural sciences, were significantly less likely to answer that a substantive return on indirect costs was an important factor in deciding to seek external funding (p<0.01).

[39] The University renegotiated indirect cost recovery rates during the 2006–2007 academic year. This rate replaced the previous recovery rate of 49.5% for projects proposed beginning on April 23, 2007. The higher rate will be in effect for FY2008–2011. For information on this rate change, see Supporting Document **4.23**

renegotiated indirect cost recovery rate is a first step toward that objective.[40] A viable REIA program is one way to induce faculty to pursue grants from funding agencies with high indirects, but the University needs to continue developing resources and incentives on this front. The OCRO, with major cooperation from other units on campus, has been aggressively pursuing incentives directed toward higher indirect returns. For example, the OCRO has experimented with allocating funds to support preparing proposals that will receive full indirects. Such initiatives are potentially quite valuable and should continue.

Another type of incentive concerns enhanced faculty salary, teaching buyouts, and salary savings. Faculty normally are paid on 9-month contracts.[41] They can enhance their salaries with sponsored research awards up to the equivalent of three ninths of the 9-month contract. Many faculty in the Medical Center work under a comparable system, except that their faculty are paid 75% of 12-month salaries and can bring in an extra 25% in salary through sponsored research. Enhanced salary clearly constitutes a powerful incentive to pursue sponsored research (see Figures 4-14 and 4-15). In addition, faculty in many cases can reduce their teaching loads by securing salary buyouts of teaching time (see Figure 4-12).[42]

As can be seen in the surveys, some faculty argue that buyout prices are too high—well above normal teaching replacement costs—and thus form both a disincentive and a hurdle to garnering sponsored funding.[43] However, salary savings occur when a faculty member's buyout from a grant exceeds the costs of replacing that member in the classroom (see Supporting Document **4.27**). Potentially, these salary savings could provide a major incentive for faculty to pursue sponsored research and for departments on campus to encourage more sponsored research. Unfortunately, the salary savings system as currently administered is not ideal across campus. Returns to departments can be unpredictable because budget pressures at higher levels of the University lead to unexpected cuts in the return. Finally, in recent years, the University has required units on campus to place salary savings in their C funds rather their R funds.[44] C funds disappear at the end of each fiscal year, while R funds do not. Deans and other administrators interviewed noted that, as departments often do not receive their salary savings return until late in the fiscal year, they simply do not have time to use the money effectively.

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[40] Indeed, a report by the GW Faculty Senate's Fiscal Planning and Budget Committee argued that GW's indirect cost recovery fails to cover the administrative and support costs associated with sponsored research. For a copy of the report, see Supporting Document **4.24**.

[41] The Medical Center covers SMHS as well as SPHHS. Academic Affairs is responsible for the balance of the academic units.

[42] The University's course buyout policy is articulated in a memo written to the deans by Carol Sigelman on May 17, 2002. The policy states, in part: "GW's policy is that the Dean of a school determines whether buying out of a course is possible in that school and, if so, what percentage of salary is required to do so. In schools in which buyouts are permitted, no less than one sixth, or 16.67%, of the individual's academic year salary should be required to buy out of one course for one semester. The specific percentage of salary required will be determined by the Dean and should generally correspond to one divided by the number of courses normally taught by the individual faculty member (or faculty members in the aggregate) during the academic year, apart from any course releases granted in return for administrative service (for example, one fourth of academic year salary, or 25%, if the normal teaching load is 2 + 2)." (See Supporting Document **4.25**.)

[43] The replacement cost of a part-time faculty member ranges from $2,500 to $4,200 per course, depending on the part-time faculty's rank (see Supporting Document **4.26**).

[44] The policy on research release (see footnote 38) states, "Schools will no longer be permitted to transfer research release funds to R funds."

Other actions that can affect sponsored research include providing more University support for GTAs and GRAs, reducing teaching loads for research-active faculty, lowering the teaching buyout costs for faculty with sponsored research, and adding to the space available for research, especially in the sciences. Of course, each of these affects other aspects of the campus mission, including many areas covered elsewhere in this study. Reducing teaching loads for regular faculty usually leads to increased reliance on part-time faculty and potentially undermines the undergraduate teaching mission. Reducing buyout costs trims a major cost item in proposals but also affects the teaching mission and, of course, limits salary savings.

Standard 7: Institutional Assessment

What indicators of success will be used to assess the reorganized research support system? In what ways does the Office of the Chief Research Officer utilize assessment data to strengthen the University's research enterprise?

The key institutional assessment for the subject at hand is the amount of sponsored research being done on campus. That amount is growing. Over the 10-year period from 1994 to 2004, research expenditures at GW almost tripled to $103,473,000. However, as Table 4-2 indicates, GW ranks near the bottom in comparison with its 14 market-basket schools in 2004 research expenditures and federal research expenditures.[45] Likewise, while GW's research expenditures have steadily increased since 1994, GW has lost ground relative to its market-basket schools, especially since 1998 (see Figure 4-16).

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[45] This is the most recent year for which research expenditure data are available for universities through *The Top American Research Universities* or the National Science Foundation's *Science and Engineering Indicators*.

Figure 4-16
Total Research Expenditures for GW and Median of Market-Basket Schools
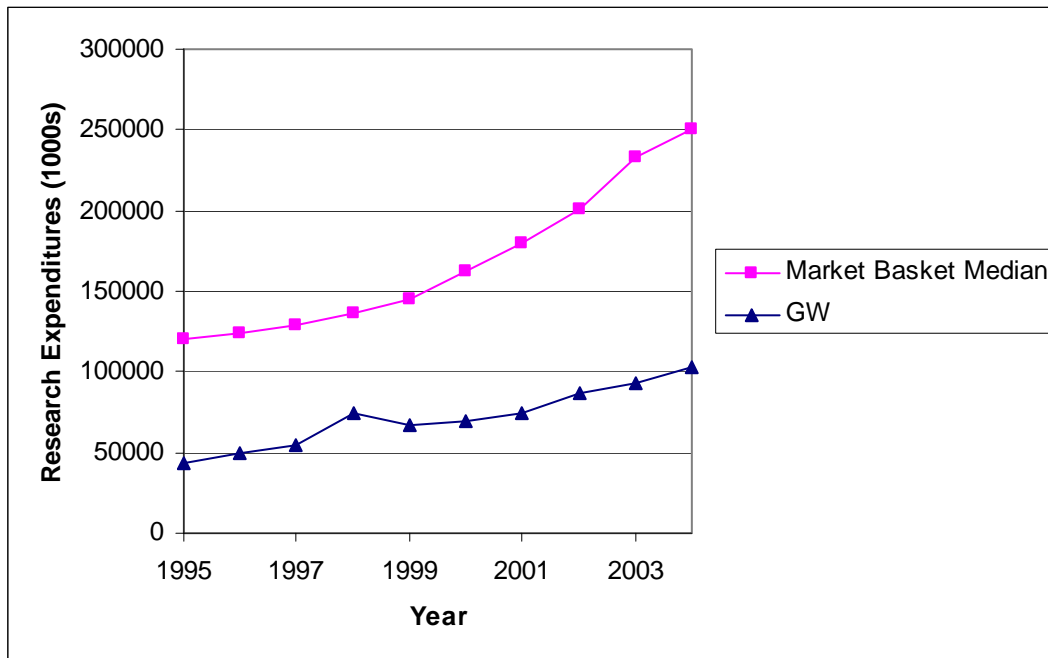
Source: The Center for Measuring University Performance (see Supporting Document **4.42**)

Table 4-2
GW 2004 Research Expenditures in Comparison to Market-Basket Schools

Total research expenditures ($ rounded to thousands)		Total federal research expenditures ($ rounded to thousands)	
Duke University	520,871	Washington University in St. Louis	371,043
Washington University in St. Louis	489,565	Duke University	347,896
University of Southern California	426,665	University of Southern California	312,589
Northwestern University	358,947	Vanderbilt University	261,484
Vanderbilt University	318,335	Emory University	243,248
Emory University	311,685	Northwestern University	230,593
New York University	259,333	Boston University	219,054
Boston University	240,867	New York University	181,441
University of Miami	194,446	University of Miami	141,943
Tulane University	132,784	Georgetown University	95,852
Tufts University	126,432	Tufts University	92,997
Georgetown University	126,320	Tulane University	92,331
George Washington University	**103,473**	**George Washington University**	**78,192**
Southern Methodist University	10,432	Southern Methodist University	6,752
American University	1,745	American University	1,456

Source: *The Top American Research Universities* (2006) (see Supporting Document **3.22**)

Thus, speaking strictly in regard to sponsored dollar amounts, GW lags behind its peer schools and risks falling farther behind. As discussed earlier, GW has made significant recent changes in its sponsored research infrastructure and the resources allocated to supporting sponsored research. The committee's interviews with top administrators across campus and its surveys of faculty and chairs suggest that substantial improvements have been made in regard to support for sponsored research at GW, but challenges remain.

Recommendations

In sum, the committee makes the following recommendations:

- The University should dramatically augment its "frontline" administrative support by creating positions either within the OCRO or within the colleges that will act as liaisons between PIs and RSCs and as partners with PIs by providing substantial support on proposal development, submission, and administration of awards;
- The University should enhance the disciplines capable of bringing in substantial sponsored research awards, namely engineering and the biological and natural sciences;
- The University should work to develop a rich mix of clear, predictable, and valuable incentives to induce more sponsored research among faculty; and
- For relevant colleges on campus, the University should routinely return net salary savings to departments and allow those savings to go into R funds.

University Research Environment

Guiding question: Does the University's research environment, i.e., its centers and institutes, effectively encourage excellence in research and scholarship?

In the context of the MSCHE standards, key issues addressed include 1) how centers and institutes integrate with the strategic plan for research (Standard 2: Planning/Resource Allocation); 2) whether there are appropriate resources and incentives to expand research, scholarship, and creative work (Standard 3: Institutional Resources); and 3) the role and assessment of centers, institutes, and areas of selective academic excellence (Standard 7: Institutional Assessment).

The subcommittee felt that the guiding questions charged to it were somewhat too narrow as pertains to the University research environment because they equate the University research environment with, and only with, its 85 centers and institutes. While the centers and institutes form a diverse and very significant aspect of the research enterprise, they are not the sole component of the research environment and in many cases are not the principal sources of research and scholarly activities. While addressing the centers and institutes, the subcommittee agreed that it would also focus on the fundamentals of the research environment of the

University and how they affect the overall research enterprise. In addition, it should be noted that conducting research is not the goal of all centers and institutes. The Institute for Biomedical Sciences, for example, is the administrative organization for the doctoral graduate programs in SMHS. Conducting research in the biomedical sciences is not a major objective of this institute other than indirectly through the distribution of graduate student stipends and oversight of the educational programs, which require research as part of the curriculum.

Data collection tools used by the subcommittee included 1) a series of five written questions submitted to eight administrators holding key positions that relate to the research environment of the various University schools (see Chapter 4 Appendixes, Appendix 3); 2) personal interviews with seven of the aforementioned administrators; 3) a written survey developed by the subcommittee that was distributed to the directors of the 85 GW centers and institutes (see Chapter 4 Appendixes, Appendix 4 and Table 4-3 for a list of centers and institutes);[46] 4) an interview with Elliot Hirshman in his capacity as CRO of the University; 5) data collected and made available through e-Room, including the Chair's Survey and the Sponsored Research Survey developed by the other two subcommittees of Working Group 3; and 6) a review of some selected centers, institutes, and areas of academic excellence via their annual reports.

Standard 2: Planning/Resource Allocation

Is the University's system of centers and institutes adequately integrated into the strategic planning process?

The number of centers and institutes at the University has grown from 52 at the time of the last self-study in 1997 to 85 in 2007 (see Chapter 4 Appendixes, Appendix 4 and Table 4-3). The subcommittee decided that it would neither address the details of individual institutes and centers, such as staffing levels or affiliated faculty, nor evaluate the productivity of each institute or center. The subcommittee also determined that the current system for chartering and assessing centers and institutes is appropriate. The definition, goals, application process, and evaluation of proposals are well documented at the University Web site (see Supporting Document **4.28**). Noteworthy is the administrative oversight that chartering entails before, during, and subsequent to the application process. In brief, the associate VP for academic planning and special projects evaluates proposals prior to submission, with input from the Council of Associate Deans to address any school-specific concerns or conflicts regarding the proposed institute/center. An application requires signature approval by the dean(s) of the participating school(s) that has administrative and financial oversight of centers and institutes. After the initial review, recommendations for approval for chartering are made by a University-sanctioned committee, the Advisory Council on Research (ACR), which consists of research-active experts in various fields from all schools of the University. If REF funds are requested, the ACR also recommends those institutes or centers to be funded. A charter is awarded for a defined period, typically 3 to 4 years.

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[46] See Supporting Document **4.29** for the survey and results. Sixteen of the 83 surveyed centers and institutes responded to the survey for a response rate of 19.3%. The margin of error would be +/- 22.2% with a 95% confidence interval.

Since creating and maintaining a center or institute require faculty participation from one or more schools, as well as approval and oversight by the dean(s) of the school(s), the use of the center/institute model for focused scholarly activities is inherently integrated into the strategic planning process of a school, which is itself developed by the same faculty and deans. An example of the integration of the center/institute model into the strategic planning process is the current strategic effort of ESIA to increase the number of its research institutes from the current four to possibly seven. The faculty and administration of ESIA view the effort as a means to expand the quality and level of research and to move away from more traditional, individual, principal-investigator-type research projects toward more collaborative, institutionally based efforts. These goals are consistent with the definition of a center or institute.

Has the centers and institutes mechanism allowed the University to respond effectively to its dynamic research environment?

The subcommittee defined "a dynamic research environment" in the question above as one continuously capable of changing in direction and focus. The chartering of an institute or center can be achieved in a relatively short time, allowing a collection of faculty with similar interests and expertise to respond fairly rapidly to an evolving new area of scholarly activity that can be fostered through an institute or center. In turn, a center or institute can be abolished when, due to changes in research trends, it is no longer deemed a contributor. The potential for a relatively rapid turnover in centers and institutes can be contrasted with departments that are more firmly rooted in the administrative structure of the University and that typically serve broader goals and objectives than an institute or center. The chartering of an institute or center also allows for a rapid response to potential extramural funding in the name of a donor or organization that wishes to have a specific name affiliated with a center or institute rather than a faculty member or group of faculty. Thus, the subcommittee reached the conclusion that the center/institute model does allow an effective response to a dynamic research environment. An example at GW is the Institute for Proteomics Technology and Applications in CCAS and SMHS. Proteomics (the study of proteins based on the genome) began to evolve as a distinct field of study in early 2000. In response to this emerging field, faculty from the CCAS and SMHS created in 2003 the Institute for Proteomics Technology and Applications, whose faculty have secured significant extramural funding in the field from both the Howard Hughes Medical Institute and NSF. At its rechartering in 2007, the institute was renamed the W. M. Keck Institute for Proteomics Technology and Applications in response to an additional $1.5 million award from the W. M. Keck Foundation.

Additional Oversight for Planning and Resource Allocation

The University has a number of administrative bodies that routinely assess the state of the research enterprise, as well as the administrative infrastructure that underlies it. The EROC, chaired by the EVPAA and consisting of the EVP&T, the vice president for health affairs, and the CRO, regularly reviews information regarding research expenditures, research investment, proposal activity, awards received, and compliance activities. In the context of these reviews, the EROC coordinates research initiatives. The Financial Operations Committee (FOPS), chaired by the EVP&T and including representatives of every major core office (e.g., Supply Chain) meets weekly and reviews a range of risk indexes (e.g., overspent awards) associated with the research

enterprise, as well as a number of compliance metrics (e.g., effort certification). FOPS prioritizes and addresses system changes that significantly affect research administration.

Standard 3: Institutional Resources

A universal response of the eight University schools, as revealed in the personal interviews and written responses to submitted questions, is that it is a goal of their strategic plan to build up their research effort. However, the resources and incentives necessary to conduct research vary widely among schools and among different academic disciplines within a school. Those schools housing natural science disciplines, such as the various physical and life sciences, require extensive infrastructure, such as laboratories and equipment, to run research. In contrast, law and business, for example, demand far less physical infrastructure and can often conduct research from an office with an Internet connection. The funding needs, whether internal or external, also vary markedly among the academic disciplines. Considerable external grant support is necessary to conduct the research of schools such as SMHS and SEAS, and a major source of that funding includes federal dollars through NSF, NIH, and similar organizations; therefore, acquiring external funding is part of the research culture of these disciplines. In contrast, external funding is seldom a major component of the research culture in schools such as GWSB and Law, where far fewer dedicated external funding sources dispense fewer dollars. Appropriately, conducting research in these disciplines calls for a far smaller investment than that required of the natural sciences. Finally, some disciplines such as the humanities have few to no sources of external funding and are entirely dependent on intramural support to perform research and scholarly activities in their disciplines.

The diversity of funding needs is, in part, reflected in the diversity of internal funding sources available through the University. Funding sources fall into six categories: 1) Research Enhancement Funds; 2) University Facilitating Fund and Dilthey Faculty Fellowships; 3) Research Enhancement Incentive Awards; 4) funds unique to individual schools and distributed at the discretion of the dean or designated school-specific committees; 5) funds committed to selected areas of academic excellence; and 6) discretionary funds from the OCRO.

1) Research Enhancement Funds (REFs), which existed at the time of the 1997 MSCHE self-study, either support notable ongoing scholarly activities or stimulate collaboration between schools and departments that may bring about a new center or institute that, in turn, could secure external funding. In both cases, funding elevates existing collaborations to a new level of productivity and excellence that is expected to draw extramural funding. The awarding of REF dollars is a competitive process administered by the OCRO with advice from the ACR, which consists of research-active faculty from each school. The competition for these funds takes place once every 3 years. The last review and selection occurred in spring 2005 (see Table 4-4 for a list of centers and institutes that have received these funds); the next review will take place in spring 2008. During the 2005 review, the ACR pruned down the approximately 40 submissions to about 12 competitive applications based on the quality of the work proposed and the success of the center/institute in attracting external funding, along with its potential for growth in research and funding. The ACR also considered whether the budgeted items were expenses that could be obtained through a grant or contract. The total amount awarded in FY2007 was approximately

$300,000, which does not differ significantly from the dollar amount awarded at the time of the 1997 self-study.

2) University Facilitating Fund and Dilthey Faculty Fellowships, which also existed at the time of the 1997 MSCHE self-study, are typically targeted to scholarship for which outside funding is not available or to provide seed money for new work that will potentially lead to outside funding. The award is a competitive process with selection by the University Committee on Research. The total dollar amount awarded in FY2007 was approximately $190,000, which is not significantly different from the dollar amount awarded at the time of the 1997 self-study.

3) Research Enhancement Incentive Awards (REIAs) return the equivalent of some of the extramural funding that they bring into the University to PIs of extramural grants and to their department chairs and deans. The funds were initially shared equally among the three constituencies. More recently, the funds have been split equally between PIs and their departments to enhance incentives. While these funds can go to a range of purposes, an important use is to cover research-related expenses that cannot be charged to external funding sources. The total amount awarded in FY2007 was approximately $715,000.[47]

4) Individual school-specific funds are distributed at the discretion of the deans or their designated committees to support the research activities of their faculty. Examples include the Elaine Snyder Cancer Award in the SMHS and the Weintraub Program in Systematics and Evolution in CCAS.

5) The program called selective areas of academic excellence was initiated in 2003 and then used again in 2006. It is designed to increase funding for areas that the University has determined to have reached or have the potential to achieve national recognition. Interested faculty initially compete in a selection process at their individual school and then, if successful at the school level, through another round of competition evaluated by an Academic Excellence Committee. The final selection of those areas targeted for funding is made by the senior administration of the University, including the president, the EVPAA, and senior advisors. Between FY2003 and FY2007 $7,826,600 was committed to an original seven selected areas of academic excellence. The funds for the academic excellence program combine a payout from the University's endowment with matching funds from the budgets of the schools within the area of excellence. Thirteen new areas of academic excellence began receiving funds in 2007 with an anticipated funding level of $4.5 million over the next several years.

6) Discretionary funds from the OCRO have provided $323,000 in research support in FY2007 toward cost sharing, equipment, start-up funds, technology transfer support, facilities, and proposal preparation.

How well have the schools and departments provided faculty with appropriate resources and incentives to expand research, scholarship, and creative work?

The resources and incentives necessary to conduct research vary widely among schools and among different academic disciplines within a school. In turn, the perceptions of the success of the University or school in providing resources and incentives vary significantly among the schools. Survey data and faculty comments indicate that the Law School has performed particularly well in providing its faculty with both the space and financial support necessary for

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[47] The sum allocated to REIAs has varied over the years, including amounts around $1 million.

research and other scholarly activities. However, responses from other schools reveal serious concerns about the University research environment as a whole. A review of the Sponsored Research Survey data shows that, with only a few exceptions, a lack of internal financial support for research and inadequate physical facilities were recurring themes. While there is significant research space available at the Virginia campus, it significantly underutilized. Major issues for many faculty are a lack of internal funds to initiate new projects or support existing ones and a lack of dedicated research space for laboratories, postdoctoral fellows, and students (see Figure 4-17). Thus, while diverse intramural funding opportunities exist as described above, the collective sense is that these funds are inadequate to achieve the stated goals of the University to significantly expand its research enterprise.

Figure 4-17
Resources Needed to Enhance Faculty Research Activity
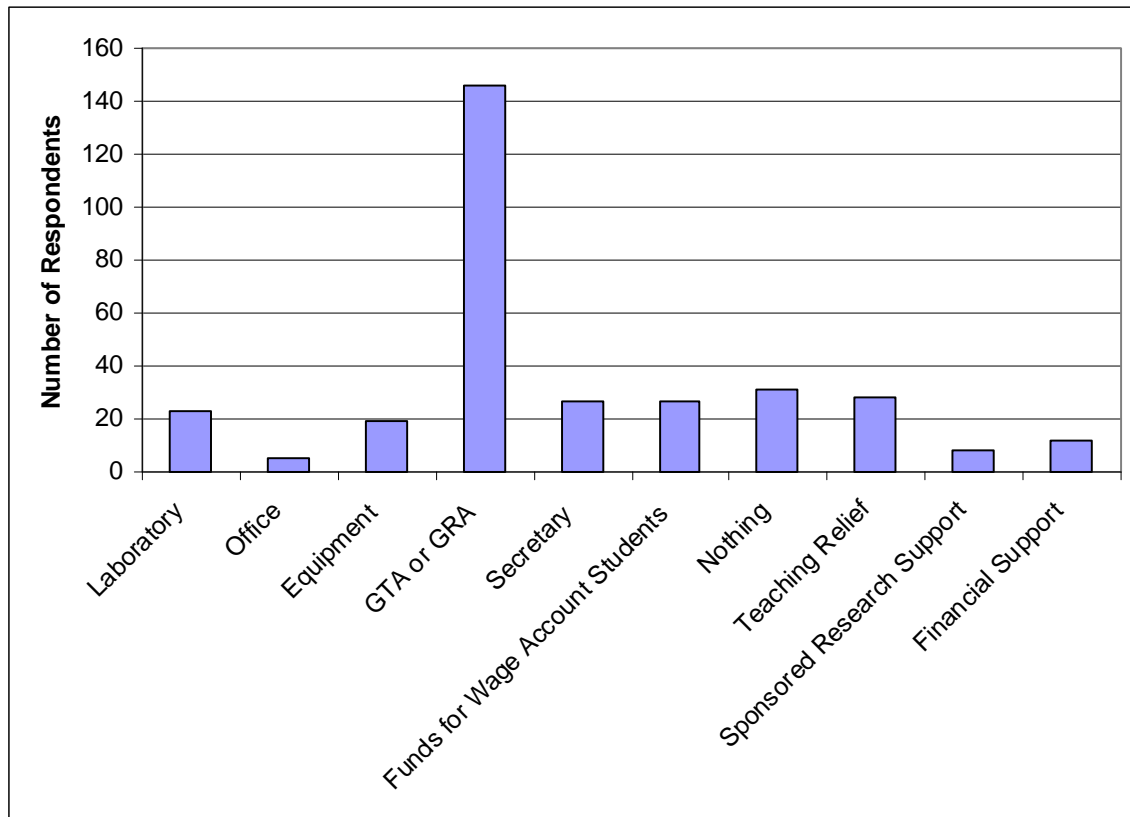
Note: Faculty were asked, "If you could choose one additional resource to enhance your research activity, which would you choose? (Choose only one)." The listed options were "Laboratory," "Office," "Equipment," "GTA or GRA," "Secretary," "Funds for wage account students," "Nothing," and "Other." The responses under "Other" were content analyzed.
Source: Survey of GW Faculty (2006-2007) (see Supporting Document **4.20**)

Furthermore, the Sponsored Research Survey data reveal that two thirds of the responding faculty think the University provides inadequate incentives to conduct externally funded research and puts up barriers, hurdles, or disincentives that discourage faculty from engaging in externally funded research. Among the latter, concerns include too large a teaching load and too many service commitments to provide adequate time for proposal preparation, a lack of course buyouts, excessive bureaucratic procedures (e.g., cumbersome paperwork in the University component of the application process), and a lack of or poor administrative support, both pre- and post-award, at the departmental level and from the OCRO. Some of the concerns regarding excessive bureaucratic procedures may be in response to recent corrective actions the University has imposed to enhance research compliance.

Regardless of the accuracy of the perceptions represented in the survey results, such a large percentage of the faculty with such a negative view of the research environment is a cause for concern.

Have the centers and institutes at GW been successful in facilitating faculty members'
securing external support? How successful have intramural research funding and support
been in contributing to faculty's obtaining external funding?

A review of the annual reports of the first seven selected areas of academic excellence, which cover a variety of centers and institutes, reveals generally broad success in securing extramural funding. Particularly noteworthy are biomedical engineering, human evolution, the Sigur Center for Asian Studies, and public policy. Specific examples include the progressively rising levels of extramural support awarded to GWIPP, whose total extramural funding more than tripled to over $1.4 million between FY2003 and FY2006. The Institute for Biomedical Engineering, using some REF funds for graduate research assistants to aid in acquiring preliminary research data, turned the research results into a 4-year, $2.8 million NIH grant. In FY2006 the Sigur Center for Asian Studies raised nearly $375,000 in extramural funds for operating expenses and nearly $1.2 million in firm funding commitments for future years. This is consistent with the survey responses of center/institute directors, who reported that securing extramural funding was a priority (See Figure 4-18). However, it should be noted that extramural funding is not the sole measure of success for all intramurally funded efforts. The programs in political science and the program in public policy and public administration, both areas of selective academic excellence, have markedly elevated both the recognition of their educational programs and the quality of their applicants through enhancements made with intramural funds.

Figure 4-18
Institutes and Centers Contributions to GW's Research Environment
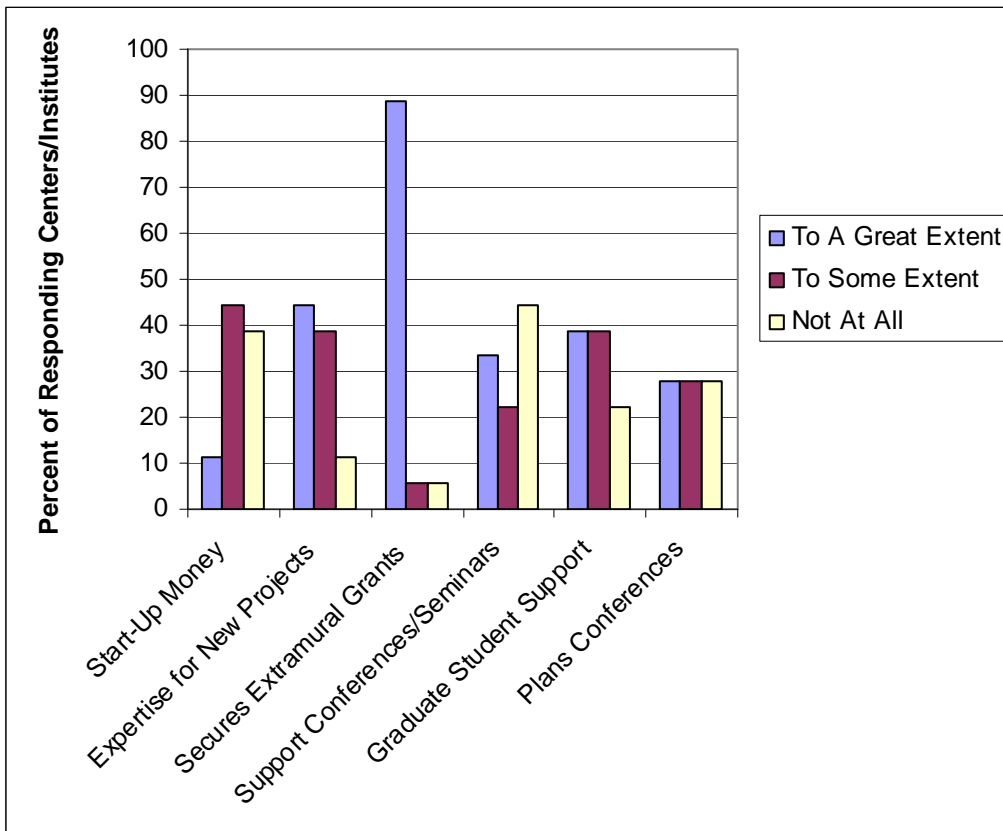
Note: Institutes and centers were asked to reply to the following: "Below is a list of contributions that institutes or centers provide. Please indicate the degree to which your institute/center provides each." Available responses included "Not at all," "To some extent," and "To a great extent." The contributions were worded as follows: "Provides start-up money for new research projects (e.g., GTA support for pilot study)"; "Provides expertise for new research projects (e.g., proposal writing, expertise for knowledge of sponsored research process)"; "Secures extramural grants (e.g., acquires funds to further Institute's goals)"; "Provides funds for conferences, seminars, etc."; "Provides stipend support for graduate students"; "Plans conferences"; and "Other."
Source: Survey of GW Institutes and Centers (2006-2007) (see Supporting Document **4.46**).

Standard 7: Institutional Assessment

How does the University assess its centers and institutes, as well as the "areas of selective academic excellence," to ensure that they are contributing significantly to the University's research enterprise?

The subcommittee received only 16 responses from the 85 institutes and centers surveyed. Even with this limited response, it is evident that the broad spectrum of topics and disciplines addressed by the various institutes and centers is, in turn, reflected in a broad spectrum of activities that they define as contributing to the research environment of the University. As described in the survey responses, the activities include but are not limited to performing research and publishing under the name of the institute/center, serving as a conduit for applying

for extramural funds and the receipt of gifted activities, contributing instructional and financial resources to graduate and undergraduate educational programs, supporting postdoctoral scientists, directly funding new research projects, serving as an informed source for the media, publishing various types of issue briefs and background papers, maintaining research infrastructure, organizing conferences, serving as a vehicle for recruitment and training, and bringing together researchers and collaborators from within or between different schools of the University.

The periodic assessment of the success of centers and institutes in meeting the goals and objectives for which they are chartered varies depending on whether or not the center/institute is the recipient of University REF funds. Institutes and centers not receiving REF funds are re-evaluated only at the time of their rechartering, typically every 3 to 5 years. The written criteria upon which the evaluation of all centers and institutes is based are available to the centers and institutes (see Supporting Document **4.30**) and include evidence of scholarly and educational activities, national and international reputation, and evidence of growth and potential for the future. Of the 52 institutes and centers at GW at the time of the last self-study in 1997, 43 are still chartered today and nine are no longer in existence. While data on the nine no longer in existence are not available, historically, centers or institutes have lost their charter either voluntarily or at the request of the ACR.

Required annual progress reports for those institutes and centers receiving REF funds are distributed to the ACR. The reports are reviewed individually by the members of the Council with the opportunity to raise concerns to the council if any member thinks that adequate progress is not being made; no such concerns have been raised concerning the currently funded centers and institutes. Seven centers or institutes were funded in 2005 by the REF. The review process is very rigorous, and only two of the seven centers currently funded, the Center for Nuclear Studies and the Institute for Material Sciences, have retained REF funding since the inception of this program in 1993. The other five currently funded centers received funding for the first time in 2005. Reduction of productivity, as evidenced by lower publications and funding levels, is considered negatively in the review process and may cause REF support to be shifted to an up-and-coming center or institute.

The assessment of the areas of selective academic excellence is performed annually, initiated by the submission of a required annual progress report. Senior leaders, headed by the EVPAA, in concert with input from deans and school representatives, evaluate the reports. Each area of academic excellence defines the metrics, consistent with the University's SPAE, for success. The productivity at the time of the initial funding is compared with the progress made in achieving the metrics as described in the annual reports and in discussions with program leaders. Programs must demonstrate satisfactory progress in meeting the defined metrics in order to receive continued funding.

Challenges and Recommendations

The three major challenges facing the research environment of the University are 1) a lack of adequate space; 2) lack of internal financial support; and 3) the negative perception of a significant population of the faculty regarding support and incentives. The diversity of

University disciplines and their needs dictate that these three factors are not universal but rather school- and/or discipline-specific. In the case of the natural sciences, space ranks high on the priority list. In most schools, a lack of adequate financial support is a prevalent theme. In the broadest sense, it should be noted that GW ranks 13th when compared with the 14 market-basket schools in federal research expenditures for 2003 (the most recent data available). While federal research expenditures at GW have risen slightly between 2003 and 2005, the growth is minimal. These data speak in part to the need to significantly improve the research environment of the University.

Space Initiatives

The University has identified the construction of an interdisciplinary science and engineering complex as its top academic building priority. The EVPAA convened the Science and Engineering Building Program Committee in fall 2006 to create the broad programmatic plan for the building. The plan was completed in January and submitted to the Physical Facilities Committee of the Faculty Senate, which has a resolution before the Faculty Senate directing that priority be given to this building, among other needs. The next steps will involve collaborative efforts with the Office of Development and the engagement of external supporters in the planning process, as well as the use of an architectural firm for detailed programmatic planning. The goal of the development efforts is to raise approximately $100 million to defray the costs of the building and to complete a substantial proportion of this fundraising within 2 to 3 years, allowing completion of the building within 5 to 6 years. The implementation of this plan depends on associated commercial building projects that will provide additional revenue to support building construction; the Foggy Bottom Campus Plan (2006–2025) was approved in March 2007, allowing these initiatives to move forward.

The University is also planning two major building additions to Ross Hall with a priority given to building a new home for SPHHS, which is currently housed in leased space off campus and in Ross Hall, originally dedicated solely to SMHS. The new construction will involve demolishing the current three-story Himmelfarb Library and replacing it and the adjoining courtyard with an eight-story building. A second eight-story addition to Ross Hall is planned over the current Ross Hall loading area and will include faculty and staff office space, teaching space including classrooms and nonwet laboratories, and an exercise science facility. Creating a new physical entity to house SPHHS will contribute to the facilities necessary to conduct research in this discipline and will expand the existing facilities for SMHS.

In an ancillary approach to increasing available space for research, research can be promoted on the Virginia Campus. The chief academic operating officer of the Virginia Campus, the dean of CPS, and the CRO are currently working with the EVPAA and the Board of Trustees Virginia Campus Committee to create a strategic plan for the Virginia Campus. This plan will emphasize the distinctive research identity of the campus and provide incentives to set up appropriate research programs at the Virginia Campus. The relocation of research programs from the Foggy Bottom Campus to the Virginia Campus will make more space available on the Foggy Bottom Campus for those research efforts best suited to the downtown location. In addition, the initial location of new research efforts to the Virginia Campus will, in those cases, negate the need to

find space in the already overcrowded and often inadequate facilities available on the Foggy Bottom Campus.

Budgetary Support Initiatives

The EVPAA, the EVP&T, and the CRO recognize the need to channel more budgetary support into research. Additional funds are needed to pay for, among other expenses, faculty start-up funds, research and computing equipment, pilot studies for individual investigators and interdisciplinary teams, release time for proposal writing, proposal writing and proposal revision assistance, operational costs of interdisciplinary centers and institutes, and ancillary costs of research (e.g., department administration, supplies) that sponsors will not fund. To address these costs, the parties agreed in May 2006 that 22.1% of indirect costs recovered above a baseline of $7.4 million would be returned to Academic Affairs for the above-referenced purposes. In FY2007, this arrangement brought in an additional $200,000 to support research.

The key element in this tactic is to enhance research support by increasing the proportion of indirect costs recovered. In FY2006, Academic Affairs recovered $8.3 million on a base of $81.7 million in direct charges. This effective indirect cost recovery rate of approximately 10% is substantially lower than the estimated indirect cost rate of 49.5% . The lack of full indirect cost recovery reflects in part the fact that many foundations and organizations limit their indirect cost rates to a percentage that is significantly below that obtained with federal grants. Many organizations limit indirect costs to 10 to 20% of direct costs, far lower that of the federal government. Furthermore, not all direct costs, such as equipment, can be used to calculate indirect costs. Increasing indirect cost recovery to 20% (i.e., comparable to rates in the Medical Center) on a fixed base of $81.7 million would produce approximately $2 million in additional support funds annually, which would address a substantial portion of the needs. Expanding the research expenditure base while simultaneously raising the effective recovery rate would, of course, produce more dramatic results.

To increase effective rates of indirect cost recovery, the CRO is working with deans, chairs, and faculty committees to foster understanding of the critical role indirect cost recovery can play in advancing GW's research enterprise. Further, the CRO is providing specific incentives to increase indirect cost recovery, including the allocation of funds to support investigators as they prepare proposals that will recover full indirect costs and the return of funds to investigators whose awards recover full indirect costs. An evaluation of the cost-effectiveness of these programs will occur at the end of this fiscal year, determining whether these specific programs will be expanded or curtailed in the next fiscal year.

The current short-term tactic to raise financial support for research and scholarly activities through an increase in indirect cost recovery will not add funds to disciplines such as those in the humanities that lack significant external sources of funding and thus do not contribute to the indirect cost dollars that the University recovers. The reality is that disciplines that are not capable of securing their own extramural funding will very likely not glean much additional support in the short term. The University Facilitating Fund and Dilthey Faculty Fellowships, which are in part targeted to such disciplines, should be increased in the near future in order to expand these areas of scholarly activity. It appears that these funds have not been significantly

increased from the time of the 1997 MSCHE self-study. The deans of the involved schools should work closely with the senior administration to identify additional internal revenues and to seek external endowments that could support these disciplines.

Faculty Perception of the Research Environment

Excessive bureaucratic procedures and a lack of or poor administrative support, both pre- and post-award, at the departmental level and from the OCRO were concerns for many faculty members. It should be noted that the financial misconduct at the National Crash Analysis Center required the University to design a corrective action plan to bolster oversight of all University research activities and ensure full compliance with federal regulations. The corrective action plan has caused greater documentation and training for the faculty. Survey results suggest that the increased time commitments to these activities are for some a burden and a disincentive to conduct externally funded research. The University should, when possible, attempt to reduce bureaucratic burdens on faculty members. One way to address this goal is for the University to join with other universities in a unified stance on the excessive federal regulations that have been imposed on the application for and receipt of federal dollars. To this end, the University has recently joined the Government-University-Industry Research Roundtable (GUIRR) to participate more fully in attempts to streamline federal regulations.

However, the perception of a lack of adequate support for the application process, both pre- and post-award, cannot be explained solely as a matter of heightened federal regulations; some flaws in the current GW system (e.g., insufficient departmental administrative support) contribute to the perception. A few survey comments revealed some improvements in the past few years to the OCRO. This most likely reflects enhanced employee training efforts, which should be continued and expanded. Furthermore, the local labor market is such that the University often does not compete effectively with other employers, which adversely affects the turnover of qualified and desirable GW staff members. Salary and fringe benefit packages for staff should be competitive for the local market.

Faculty identified many of the needs we have described above under Budgetary Support Initiatives, including increased start-up funds, equipment, funds for pilot studies, release time, assistance with proposal writing, and replacement of departmental administrative costs associated with research activities. Additional revenues committed to these items would entice faculty to be more active in seeking external grants.

Another major concern, voiced by faculty in response to our survey (see Figure 4-13), is that faculty hold a large teaching and service commitment, which leaves inadequate time for proposal preparation and, in some cases, insufficient course buyouts even with external research funding. Comments suggest that these problems reflect, in part, the small number of regular full-time faculty at GW, coupled with the large number of students, in comparison with similar academic institutions. The large part-time faculty population at GW contributes less than do full-time faculty to the daily research and scholarly interactions that foster the most desirable research environment. The accuracy of perceptions of the number of full-time versus part-time faculty should be evaluated by a comparison to GW's market-basket schools, and the proportion of full-time GW faculty in the affected schools should be adjusted accordingly.

Supporting Documents

4.01	Strategic Plan for Academic Excellence (SPAE): Sustaining Momentum, Maximizing Strength
4.02	Office of Institutional Research, Full-Time Faculty by School, Gender, and Ethnicity 2001–2005
4.03	Integrated Postsecondary Education Data System (IPEDS)
4.04	Faculty Senate ASPP Market Basket Report
4.05	Faculty Senate Resolution 87-1
4.06	Faculty Senate Minutes–5-12-06
4.07	Chronicle of Higher Education AAUP Faculty Salary Survey
4.08	NSF Survey of University R&D Expenditures
4.09	NSF Academic R&D Expenditures–Reports by Year
4.10	NIH Institution Rankings
4.11	UFF Background
4.12	Faculty Recruitment and Retention Survey
4.13	U.S. News & World Report Rankings 2007
4.14	Faculty Handbook
4.15	CNN Money–Priciest U.S. Cities
4.16	Sperling's Best Places Cost of Living Calculator
4.17	Recruitment and Retention of Women Faculty and Faculty of Color
4.18	Faculty Senate Minutes 4-9-04
4.19	Chronicle of Higher Education—"Grand-Theft Auto"
4.20	GW Faculty Survey—Sponsored Research—2006
4.21	GWIPP—Policy Research Scholar Program
4.22	The Top American Research Universities 2006 Annual Report
4.23	Indirect Cost Recovery Rates—FY 08
4.24	Special Report to Faculty Senate on Sponsored Research
4.25	Course Buyout Memo
4.26	Part-Time Teaching at GW Memo
4.27	Research Release Policy
4.28	GW Research—Supporting GW Research
4.29	GW Institutes and Centers Survey
4.30	Evaluation of Centers and Institutes Proposals
4.31	Office of Institutional Research—Faculty Holding Endowed Chairs
4.32	GW Research—Centers and Institutes
4.33	Currently Funded Centers and Institutes
4.34	Faculty Gender and Ethnicity
4.35	Office of Institutional Research—Faculty Salaries
4.36	AAUP Report on the Economic Status of the Profession Table 9A 2001–2002
4.37	AAUP Report on the Economic Status of the Profession Tables 2003–04
4.38	AAUP Report on the Economic Status of the Profession Tables 2004–05
4.39	AAUP Report on the Economic Status of the Profession Tables 2005–06
4.40	AAUP Report on the Economic Status of the Profession Tables 2006–07
4.41	AAUP Annual Report on the Economic Status of the Profession 2000–01—Table 14

CHAPTER 5

Working Group 4:
Develop a Strong Sense of Community

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SPAE Goal 4: Continue to develop a strong sense of community.

Working Group 4 studied community at GW through student life initiatives, town-gown relations, and diversity initiatives. These topics correspond to the SPAE goal of increasing quality in undergraduate education (Goal 1), enhancing the sense of community (Goal 4), and providing and sustaining a healthy financial base (Goal 6). Working Group 4 answered three guiding questions:

- How effectively are the resources allocated to academic residential and GW Housing Programs' living and learning cohorts contributing to attaining the goals of the SPAE?
- How are the relationships between GW and the metropolitan Washington area contributing to the mutual benefit of the University and the population in the region?
- Are the levels of diversity achieved among GW's faculty, students, and staff consistent with the mission of the University and the goals of the SPAE?

Working Group 4 met regularly beginning in late spring of 2006, over the summer, and through the fall semester to decide a course of action, hear presentations by University leaders with information and experience in the areas it was investigating, and identify members for each of the subcommittees to draft the report and to edit the drafts.
All presenters were given a copy of the guiding questions, asked to address these questions in their presentation, and asked to bring artifacts that support their report. All materials were collected, listed in the appendix to this report, and stored in e-Room.

Residential Academic Programs and Living and Learning Communities

Guiding question: How effectively are the resources allocated to academic residential and GW Housing Programs' living and learning cohorts contributing to attaining the goals of the SPAE?

To arrive at an answer to the guiding question, the committee began with the related goals of the SPAE: Goal 1, quality in undergraduate education, Goal 4, providing community, and Goal 6, maintaining a strong financial base. The SPAE specifies metrics for the goal of enhancing community, such as the number of students in academically based residential communities. The committee defined academically based residential communities as including both residential programs with credit-bearing programs operated with an academic department and the cocurricular living and learning cohorts managed by GW Housing Programs. The committee understood its charge to be a review of these programs that would cover topics such as planning, budgetary impact, assessment processes, and learning outcomes.

In academic residential programs, students enrolled in a particular (credit-bearing, academic) course live together in one of the residence halls (e.g., Women's Leadership, Politics and Values). In cocurricular living and learning cohorts, students live together and participate in noncredit programs managed by GW Housing Programs. For the purposes of this report, academic residential programs are those tied to a particular credit-bearing course; living and

learning cohorts or communities (LLCs, currently called the house system[48])) are those involving students in a residential experience along with a noncredit program.

The number of academic residential programs has not changed substantially over the past 10 years. New programs are formed when an idea and the right faculty member present themselves at the same time. Typically, these programs operate within the budgetary constraints of the school or organization to which the program is connected. While programs have been developed with broad goals in mind, none has been systematically assessed in terms of these goals. Students' responses from a variety of one-time surveys and data collections indicate that these programs are viewed positively and provide a strong sense of community.

What has changed is that under the 2000 campus plan zoning regulation, the District of Columbia required the University to house, in on-campus facilities, 70% of its first 8,000 undergraduates, and 100% of all undergraduates over 8,000[49]. The ruling resulted from cases in which neighbors of the University sought redress for the noise and other nuisances that they perceived to be a consequence of students in off-campus housing. This development has put considerable pressure on GW's housing services.

Student and Academic Support Services (SASS), the division to which GW Housing Programs reports, responded with new programs intended to attract and retain students by providing them with a good residence experience. In 2006, student housing included all freshmen and sophomores in LLCs/house systems. The growth of LLCs was part of two major revisions in residential living, completed over the past 10 years, which were predicated on a desire to create small communities in the residence halls in the face of increasing off-campus residential options and of the growth in undergraduate enrollment. Neither of the revisions was based on assessment data.

One-time surveys and data collections indicate that students involved in LLCs have a stronger sense of community, are more likely to remain at GW, and are less likely to be involved in judicial actions compared to students who are not in residential cohorts. While the most recent change to the housing system, in 2006, enumerates goals, the only stated measurable outcomes to date are the results of a Housing Programs online self-assessment (see Supporting Document **5.08**).

Standard 2: Planning/Resource Allocation

In what ways are GW's academic residential programs and cocurricular LLCs distinguished from one another?

Prior to their matriculation, incoming freshmen choose among myriad curricular and co-curricular residential offerings. Given that many in the GW community would have difficulty enumerating the differences, it seems especially optimistic to expect new students to understand the distinctions. As a starting point, it is useful to understand the differences between academic

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[48] http://gwired.gwu.edu/hc/house/
[49] http://www.gwu.edu/~bygeorge/100703/bza.html

residential programs and co-curricular LLCs, and to recognize that the differences go beyond their academic focus and affiliation (see Table 5-1).

Table 5-1
Distinctions Between Academic Residential Programs and LLCs

	Academic Residential Programs	**Living and Learning Cohorts**
Academic affiliation	Housed within schools and across the University	Spans all schools
Relation to curriculum	Students must be enrolled in a related credit-bearing course	Not connected to any particular course
Organization	Centered on a course	Centered on a theme
Leadership	Faculty led	Student led with administrative support
Academic focus	Centered on a course	Supports broader academic mission but not tied to a course
Residence hall connection	Guided by a program-dedicated resident graduate teaching assistant (GTA)	Guided by house staff
Application and selection process	Must complete separate application included in University admissions application	Must indicate choice when listing housing preference
When do students participate?	Primarily a first-year program	Different housing themes for first-year students. Student-created programs for upper division students.
Promotional materials	Single booklet and Web site links controlled by Admissions Office and directed at potential students	Promoted by GW Housing Programs to admitted students

There are currently four academic residential programs: Women's Leadership Program (WLP, includes four different courses); Politics and Values (P&V); Shakespeare; and Dean's Global Scholars. Three of these serve incoming freshmen only (see Table 5-2 for a description of each of the programs in greater detail).

Table 5-2
Academic Residential Programs[50]

	Women's Leadership Program Start date: 1998	Politics and Values Start date: 1986	Shakespeare Start date: 2006	Dean's Global Scholars Start date: 2004
Academic affiliation	Spans the University	Spans the University	CCAS	CCAS
Relation to curriculum	4 different curriculum areas: Women in Art and Culture, Women in Globalization, Economics and Business, Women in Science, Health, and Medicine, Women in U.S. and International Politics			
Organization and leadership	4 faculty: Theater and Dance, Economics, Chemistry, Political Science	1 faculty member	Faculty from Theater and Dance Department	Previous faculty: Geography and psychology 2006: History and international affairs
Academic focus	Discipline course, humanities course, UW20, leadership symposium	Introduction to Political Behavior	Dean's Seminar	Spanish
Additional residence hall support	Resident GTA	None	None	None
Selection process	By application	By application	By invitation	By invitation
Program size	Typically 20 per cohort	Typically 16	12	10
When do students participate?	Incoming freshmen only	Incoming freshmen	Incoming freshmen	Freshmen and sophomores
Promotional materials	Admissions booklet and Web site	Admissions booklet and Web site	Admissions booklet and Web site	Admissions booklet and Web site

In fall 2006, for students not involved in an academic residential program, there were 44 possible choices for a first-year LLC/house system in seven themed houses (residence halls): Culture and

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[50] Capitol Connection, a sophomore program intended to retain students, especially from small towns, began in 2004 and lasted 1 year. It included heavy extracurricular programming, designed to increase student engagement. The program was not continued because the lead faculty did not have time for the additional commitment. The BA/JD and BA/MD are programs where students in the program can choose to live together. However, there is no specific course in which all students study together, nor is there a GTA assigned to this program. By the committee's earlier definition, the BA/JD and BA/MD programs do not qualify as academic/residential programs and were not reviewed for this report.

Arts at Potomac House; Education and Public Service House at Lafayette Hall; Global Perspectives and Diplomacy House at Thurston Hall; Humanities and Sports Studies House at Fulbright Hall; Media and Public Affairs House at Somers Hall; Politics and Public Policy House at Thurston Hall; and Science Village at the Mount Vernon Hillside Residence Halls. Incoming first-year students were required to indicate a preference for a themed house; however, they were not required to participate in a living and learning cohort (see Table 5-3, for a description of these cohorts in greater detail).

Table 5-3
Living and Learning Cohorts

	First-Year Living/Learning Cohorts; Introduced 2006	Upper Division Living/Learning Cohorts: Introduced 2006
Academic Affiliation	Spans the University	Spans the University
Relation to curriculum	Non-credit bearing, academic enrichment	Non-credit bearing, academic enrichment
Organization and leadership	5 full-time professional staff community directors, 3 faculty guides	Student designed, student led, guided by 4 community directors and 3 faculty-in-residence members
Academic focus	Culture & Arts, Education & Public Service, Global Perspectives & Diplomacy, Humanities & Sports Studies, Media & Public Affairs, Politics & Public Policy, and the Sciences	Hillel, Community Service, Dramatic Arts, Literature, Environmental Issues, Foreign Language, & Multicultural Studies
Additional residence hall support	House proctors	House mentors and scholars
Selection process	Preferences given with freshman housing application	By application, reviewed by student and professional staff members
Program size	44 LLCs with 959 students	24 LLCs with 253 students
When do students participate?	First-years required to list preference for themed house, not required to participate in an LLC	Encouraged for upper division students
Promotional materials	Booklet, admissions packet, CI recruitment, Web site	Posters, in-hall recruitment, Web site

While the presence or absence of an academic department's participation distinguishes the academic residential programs from the LLCs, their similarity in themes and program titles appeals to the same audiences and obfuscates any differences to the uninitiated.
For example, a WLP course—Women in the Arts and Culture—is also offered as a Culture and Arts LLC; Dean's Global Scholars, an academic residential program, competes with the Global Perspectives and Diplomacy LLC.

In addition to the LLCs, the housing system includes a faculty-in-residence program to augment the LLC program. The nearly 100% occupancy in the residence halls prevents an expansion of the program, but with the development of faculty apartments, creative expansion could be considered. While there is no academic responsibility assigned to the faculty member in connection with his or her residence in the hall, the faculty presence provides leadership and

direction, and each faculty member has a small programming budget. For example, the faculty participating in these programs at the Mount Vernon Campus provided strong support (attending meetings, identifying resources, etc.) to the Science Village House as students there pursued a variety of green initiatives.

GW students may choose from a multitude of credit-bearing and non-credit-bearing residential programs created by dedicated individuals and departments interested in improving the undergraduate experience. Since there is no formal procedure or requirement for developing or implementing either type of residential program and the differences between, and benefits of, the two types of programs are often unclear to students, students could be better served and faculty and staff effort supporting those programs could be more effectively engaged if coordination between Housing Programs and the academic units is strengthened. The findings of the recent SASS Self-Study support this collaboration between academic and student supports units (see Supporting Documents **5.38**–**5.40**).

Standard 3: Institutional Resources

How are academic residential programs and living and learning communities financed? Who is footing the bill, and how is the unit chosen?

Academic residential programs and LLCs have different objectives. LLCs are designed to improve students' satisfaction with on-campus housing and to reduce behavioral disturbances in the neighborhood. Academic residential programs are credit-bearing programs designed to increase student engagement with their academic experience by having students with similar academic interests take the same course(s) and live together, along with the GTA for the course.

Academic residential programs and LLCs are financed by different units within the University, and their budgets reflect their credit- or non-credit-bearing status. Budgets for academic residential programs include faculty salary (which may be part or all of the faculty's time); tuition, stipend, and housing support for the GTA; and the operating cost of extracurricular programming and enhancements. Except for WLP, academic residential programs are budgeted within their specific schools; their existence depends upon the budgetary priorities of the dean and department chair. WLP is the legacy of the Mount Vernon College and Seminary and has its own line-item budget within GW's academic affairs units. Until recently, its existence was directly tied to its enrollment.

Funding for cocurricular LLCs comes from SASS, which uses income generated from room and board charges. The LLC budgets include on-campus housing and salaries for house staff as well as operating and programming expenses. In addition, each LLC is given a budget of $100 per student house member, for use by its residents. Occasionally, the University's Development Office receives a donation earmarked for an LLC or another residence hall enhancement. For example, in 2005, a parent made an unsolicited donation to the 2028 G Street project (a first-year LLC), to buy film equipment.

It is hard to estimate the cost of individual programs. Costs vary from program to program, and funding comes from a variety of sources. The visible costs are small compared to the complete

University budget, but the intangible costs (i.e., the diversion of faculty time from departmental activities, challenges to make clear the differences among programs) are much more substantial. In any case, the choice of which programs to create and support is not financially driven but rather subjective and related to the availability of faculty and departmental or school financing or, in the case of LLCs, the Admissions and SASS staff's sense of emerging topics of interest to students.

Standard 7: Institutional Assessment

What assessment tools have been established for reviewing academic residential programs and LLCs?

When GW acquired the Mount Vernon College (MVC) in 1996, its goals were to fully integrate the two campuses by providing academic courses, residential options, and student life programs at MVC and to create a legacy of the Mount Vernon College and Seminary, which has been carried forward through the development of the WLP. The Dean of Freshman resides in the Alumnae house and has his primary office on the campus. A survey administered at the end of the 1997–1998 academic year and again from 1999 through 2002 inquiring about the WLP, including students' academic and social experiences, indicated high levels of satisfaction with their WLP courses, the residential experience, and GTAs (see Supporting Document **5.09**). Overall, students thought that their MVC experience provided them with a good transition to college and believed that the campus atmosphere was more personal than the atmosphere at Foggy Bottom. Their main concern was feeling poorly integrated into the Foggy Bottom community. Over the years, students' feedback has been used to improve the WLP, to open the campus to male residents, and to better integrate the campuses by urging freshmen to take at least one course at Mount Vernon. The addition, in 2004, of a dean of freshmen, who resides at the Mount Vernon Campus, has helped improve the campus atmosphere as well.

Until recently, because the WLP was dependent on incoming freshman enrollment, faculty coordinating each of the four programs were given 1-year contracts and were not informed until late in the academic year if their contract would be renewed[51] and if the program would continue. In 2006, when faculty were assured that the program would continue to exist, they met to establish goals and learning outcomes for the program and to develop assessment measures tied to these goals. The first WLP assessment tool tied to WLP goals and learning outcomes began development in the 2006–2007 academic year.

The other academic residential programs are assessed annually when students complete semester-end course evaluations, and the programs are reviewed by the school or department that sponsors them. The reviews are generally positive, resulting in the continuation of these programs (see Supporting Document **5.09**). However, the learning outcomes tied to the courses are vague, and no formal assessment of learning outcomes is being done.

The LLCs are assessed in terms of their effect on retention. The 2003 Strategic Plan for Increasing Undergraduate Retention and Graduation Rates compared the retention rates between students involved and not involved in LLCs (see Supporting Document **5.10**) and found that

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[51] The UW20 faculty attached to WLP have a 3-year contract, and an effort is underway to create the same opportunities for the WLP faculty coordinators.

students who participated in LLCs were more likely to remain at GW. In addition, in 2004, GW participated in the National Study of Living-Learning Programs (NSLLP) in conjunction with the Association of College and University Housing Officers International. Of the 34 schools and universities surveyed, GW was one of only five schools that had more than 10 LLCs. Additional assessments include student feedback at Housing Programs events.[52]

With the implementation of the house system in 2006, the Office of Housing Programs, in collaboration with its partners—the Career Center, the University Counseling Center, the Multicultural Student Services Center, and Mount Vernon Campus Life—developed assessment measures that are tied to the eight competencies identified in the LLC curriculum: career growth, academic persistence, social awareness, cultural understanding, alcohol and other drug awareness, institutional connectedness, moral reasoning, and lifestyle readiness. The 35-question survey (see Supporting Document **5.08**) was administered to a random sample of 615 on-campus students; of these, 210 replied.[53] Of those who completed surveys, 81% indicated feeling "more connected" to GW because of the house system, providing support for the goal of making the University seem smaller. Additionally, students reported that their academic experiences were enhanced by the house system (62%) and that they felt more self-sufficient because of the system (64%). Forty percent indicated that the system enhanced their understanding of different cultures, and more than half indicated it enhanced their social awareness.

To summarize, while students are asked to provide feedback about their programs, formal assessment of academic residential programs and LLCs is in its infancy.

Standard 14: Assessment of Student Learning

Have learning outcomes been enumerated for these programs? What measures have been obtained to assess student learning for these programs? What measures have been obtained regarding student satisfaction with these programs?

Academic residential programs expand learning beyond the classroom by giving students who have common intellectual interests the opportunity to enroll in the same course and to live on the same floor or residential hall along with the GTA for the course.

Learning goals and outcome measures for these programs vary in specificity. Last year, the professors teaching WLP developed four learning goals: the acquisition of a strong academic background in a specific discipline, the ability to express oneself at an appropriate level in speech and writing, the ability to engage in a persuasive argument without resorting to personal attack or unfounded conclusions, and the ability to network (see Supporting Document **5.11**). Learning outcomes for the Politics and Values program are expressed in terms of students' ability to think about, discuss, and articulate their responses to questions that combine the three themes of the course: "Do societies have shared values? Is politics the proper arena for expressing values? Are there any values that can be shared and enforced internationally?" Students in the Dean's Global Communities are expected to become globally sensitive by studying issues such as urbanization or AIDS/HIV in an international context and through

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[52] See Appendix E.
[53] See Appendix F for more information.

communicating virtually with and hosting students from a university in Santiago or another city outside the United States (see Supporting Documents **5.12**–**5.13**). (Students in the Global Community travel abroad with their instructor.) The Shakespeare program attempts to engage students in the performance of at least three Shakespearean presentations and critical review of the production, its generic constraints, and its relationship to contemporary social issues.

Assessment measures include a capstone research project for students in the Global Community; research papers, grades, and surveys for WLP and Politics and Values students; and discussions, performances, and term papers for students in the Shakespeare program. Program and course evaluations are completed each semester, and these indicate that students are very satisfied with the programs. All get to know their professors informally and experience a strong sense of community. Those taking Politics and Values found the program challenging and indicated that they were made to "leave our normal realm of thought and apply the concepts of the subject to our lives" (see Supporting Document **5.14**).

Assessment of the LLCs has been intermittent. The 2004 NSLLP (National Study of Living-Learning Programs) results comparing GW students involved in LLCs with those not involved indicated that LLC students were more likely to have positive peer diversity interactions; discussions of academic and career issues with peers; a cumulative GPA of 3.5 to 4.0; time with student groups and clubs; and intentions to return to GW after their first year (see Supporting Document **5.39**).

The new house system, put in place in 2006, includes program goals and assessment measures. Its major goals are to increase retention, help students learn the art of self-reflection[54], increase academic persistence, and improve communication[55]. (Appendix C includes a more detailed delineation of these goals and objectives.) To assess these outcomes, SASS has developed the Cornerstone online self-assessment tool for first-year students, the results of which are noted above and in the GW Housing Programs annual report.

In sum, assessment of the learning outcomes in the academic residential programs is tied to the program's classroom activities and academic goals. The assessment of the LLCs' goals and objectives is in its infancy.

Analysis

Is the return on investment in these programs consistent with efficient use of institutional resources and attainment of the goals of the SPAE? The SPAE called for an increase in the number of programs without establishing a specific target of the amount needed to achieve the

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[54] Self-Assessment and Reflection, defined as reflecting on the intrinsic importance of introspection, and subsequently processing through the difference between perception and behavior; Academic Persistence, defined as learning how to navigate the GW academic community, allowing oneself to experience a variety of cocurricular interests, and assuming responsibility for one's academic achievement; and Communication Education, defined as understanding and recognizing communication styles of self and others, obtaining skills to confront and take ownership of communication. (Appendix C includes the specific areas within each of these categories.)

[55] GWHP, as part of its assessment strategy within the SASS Division, has recently established the Cornerstone online self-assessment tool for first-year students (see Supporting Document **5.15Error! Reference source not found.**).

goal. The focus of the programs and the optimal number of living and learning cohort programs have changed, while the number of academic/residential programs has remained unchanged. Currently, new academic/residential programs are developed based on faculty or leadership interest, and this process may not always be in concert with the interests of GW's student body. For example, the Scholars in Quantitative and Natural Sciences residential/academic program was created in 2006 for incoming students with a strong interest in basic sciences. Very few students expressed interest, so the program did not materialize. However, in 2007, enough students expressed interest to make it viable.

A review of academic/residential programs and LLCs at GW indicates that the programs provide a positive experience for the students. Prime among the outcomes for students is a greater sense of community and, for academic/residential programs, a series of positive interactions with faculty. While the 2001 and 2002 year-end course evaluations and exit surveys for the WLP indicated that the students enjoyed these programs, no specific learning outcomes were identified or measured for any of the participants. That said, compared to students who were not in the program, WLP students were "much more positive about their academic and social experiences" (see Supporting Document **5.09**). Moreover, "compared to MVC women who are not involved in WLP, WLP students were twice as likely to have had informal contact with their instructors and were more satisfied with the quality of instruction… [T]hey were three times more likely to strongly affirm that they had developed close, personal relationships with other MVC students" (see Supporting Document **5.09**). These findings are sustained in year-end course reviews in subsequent years.

A similar positive outcome is achieved in the cocurricular LLCs. The Executive Report of the Strategic Plan for Increasing Undergraduate Retention and Graduation Rates (2003) found that a higher percentage of students who live in residential communities in their first year indicate they plan to remain at GW, compared to those who do not reside in a community. LLC students at GW, when compared to their peers in the institutional comparison group, were more likely to have course-related faculty interactions; see intellectual growth through their liberal learning; have cocurricular involvement with student groups and clubs; be more active in community service endeavors; have positive peer interactions involving diversity; be more engaged politically and socially; and have better critical thinking skills. Past research indicates that LLC participants, compared to non-LLC participants, have more involvement in student groups and clubs, higher GPAs, and fewer documented encounters with the student judicial process.

The review of the programs, assessment data, and discussions with program leaders all indicate that there are concerns about the many programmatic options and about the clarity of the distinctions among the programs. Students may not be informed about all the options available, and even informed students may have difficulty choosing among the options or making appropriate distinctions[56].

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[56]To illustrate this point, we quote from a student's comment on a course evaluation form: "It is good that this class lasted all year especially [considering] that it's an LLC. It gave us the opportunity to use different learning styles." The student uses the term "LLC," which usually describes nonacademic residential enhancement programs; however the program in question is Politics and Values, an academic/residential program.

There is no single place for students to learn about all of the programs, academic and non-academic. Currently, most of the academic/residential programs are listed in an admissions booklet called "Special Programs." Does that term resonate with students? Is it clear to them these are enhancements to the academic possibilities in a university and not programs for students with special interests or special needs? Additional naming confusion is that , the University has an Office of Special and International Programs within Academic Affairs that is unconnected to these programs. Moreover, the titles of some of the house system programs are confusingly similar to the names of academic residential programs. For example, one of the WLPs is on Arts and Culture; there is a Culture and Arts House. A Science Village House may be confused as a WLP on Science, Health, and Medicine. Students, particularly incoming freshmen, are unlikely to have the context needed to distinguish between two similar programs with nearly identical titles. Moreover, students may be asked to make decisions about where they want to live without understanding the implications for choices that automatically follow and may be unintentionally encouraged to choose a given program or program type that they did not know to question or investigate.

The University has not promoted the faculty guide and faculty-in-residence programs. Outsiders are unlikely to know who coordinates the program and how faculty participants are recruited or chosen. Currently, there is little diversity in the academic rank or disciplines represented by the faculty members participating. Faculty in residence have no formal role in either the academic/residential programs or the house system programs. Yet when students see faculty in the hall, they naturally involve the faculty and consider them part of their program. It is often unclear to students and others where responsibility or the leadership for a program rests, with the house staff or the faculty member. It is unclear how faculty are chosen, evaluated, or asked to return. Finally, while faculty have the potential to affect student learning outcomes, the instructions regarding assessment given to those participating in the faculty guide and faculty-in-residence programs for their own assessment or student outcomes are unspecific, and no required outcome assessment is in place.

Recommendations

The University is large enough to support both academic/residential programs and cocurricular living and learning programs. However, the various features and benefits for each program need to be made clear to the incoming students and participating faculty.

The committee recommends that a committee consisting of representatives from academic/residential and living/learning programs be formed to coordinate publicity for the programs including developing a central and well-publicized Web site for all programs; clarify distinctions between the programs to ensure that students understand their differences; determine the most appropriate time for students to apply; develop assessment measures that are tied to program goals; and provide ongoing assessment that can measure outcomes over time.

Marketing for special academic residential programs (i.e., Shakespeare, WLP) should be extended to potential applicants, based on their current involvement in programming such as summer stock theater or Boys and Girls Clubs.

The faculty guide and faculty-in-residence programs must be promoted more widely. Faculty who represent diversity in academic rank, disciplines, and other traits should be encouraged to participate.

Community Relationships

Guiding question: How are the relationships between GW and the metropolitan Washington area contributing to the mutual benefit of the University and the population in the region?

GW's mission statement (see Supporting Document **5.01**) affirms the symbiotic relationship between GW and the greater Washington area, stating: "The George Washington University draws upon the rich array of resources from the National Capital Area to enhance its educational endeavors. In return, the University, through its students, faculty, staff, and alumni, contributes talent and knowledge to improve the quality of life in metropolitan Washington, D.C." The committee's review of community relations between GW and the metropolitan Washington area looks at two aspects of the question of community: GW's academic programs and how they benefit the D.C. area, and the civic relations of this large institution with its neighborhood, city, and area. The SPAE (see Supporting Document **5.04**) goals of quality and challenge in undergraduate education (Goal 1), strengthened and expanded professional education (Goal 2), better developed sense of community (Goal 4), and maintenance of a strong financial base (Goal 6) inform the committee's response to the guiding question.

The metropolitan Washington area provides GW with many opportunities for course-related service learning and individual student volunteer efforts. The University, through its students, faculty, staff, and alumni, contributes talent and knowledge to improve the education, economy, health, and overall quality of life in metropolitan Washington, D.C., even while focusing in the main on providing learning opportunities for students. For example, over 25% of GW undergraduates engage in some level of community outreach; at least 30 faculty across 17 departments include service learning in their courses (see Supporting Document **5.02**); and some programs, such as human services, require community involvement as part of their graduation requirements. While there are many outreach efforts, there is no coordination of outreach efforts across the University, nor is there a central repository to provide comprehensive representation of service and outreach activities.

The University has made great strides in improving relationships with its Foggy Bottom neighbors. From the late 1990s through early 2000, the University was actively engaged in constructing new buildings or modernizing current structures to accommodate its expanding undergraduate population. Neighbors in the Foggy Bottom area expressed strong concerns about the University's encroachment into the neighborhood and worried that a shrinking Foggy Bottom residential community would become a "de facto campus." These concerns may have been exacerbated by a campus planning process that some neighbors thought was neither sufficiently collaborative nor sufficiently sensitive to community needs.

In early 2002, responding to residential and business requests for dialogue and collaboration, the University's Office of Government, International and Corporate Affairs (GICA/AOD) (see

Supporting Document **5.03**), worked with the neighbors to establish FRIENDS, a group now numbering over 400 people devoted to discussing and developing practical solutions for issues of concern. Two years later, the University took another major step in promoting positive dialogue with its neighbors by creating the Office of Community Relations. This new office was charged with coordinating and cultivating the University's relationships with its Foggy Bottom neighbors to enhance the community's quality of life.

The committee recommends that the University continue its efforts in developing a coordinated, coherent community outreach strategy. The strategy should define and implement mechanisms to enhance appropriate coordination, communication, integration, and tracking of outreach activities across GW, including an enhanced Web site to consolidate GW information relevant to the community. This Web site should include a feature incorporating information on or links to all GW community service activities. The working group also recommends that a campus-wide discussion take place about whether to require service learning for undergraduates.

Standard 2: Planning and Resource Allocation

To what extent are the resources available in the metropolitan Washington area and the University's relationships with the immediate community, the city, and the region, taken into consideration in the SPAE?

Goal 4 is central to the role of community relations within the SPAE[57] and indicates several strategies[58] and one metric[59]. Goal 1a of the SPAE urges capitalizing on the resources of Washington, D.C[60]., specifies two strategies[61], and includes no metrics concerning these. Goal 2

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[57] GW's goal of developing a strong community also extends to its Foggy Bottom neighbors, the city, and the metropolitan areas of Maryland and Virginia. GW will continue to provide opportunities for its students to benefit from rich partnerships in the D.C. metropolitan area through research, service learning, internships, and volunteer activities. Such experiences foster a spirit of service and discovery and improve the students' understanding of community strengths and challenges (see Supporting Document **5.04**, p. 19).

[58] Create a vigorous community dialogue on issues of social, political, and cultural significance through public debates, forums, conferences, and media programming; expand the University's service contributions to the Washington, D.C., community through the Office of Community Service, the GW Neighbors Project, and other partnerships with government, schools, businesses, and professional groups (ibid., pp. 19 and 20).

[59] Number of students involved in community service activities in the Washington metropolitan area (collected by the Office of Community Service, ibid., p. 19).

[60] GW's undergraduate program will increasingly capitalize on the rich array of resources in the nation's capital and the D.C. metropolitan area. GW courses will engage students in problem-focused activities that take them beyond the traditional classroom to government agencies, think tanks, foreign embassies, museums, corporate offices, and media outlets. A greater percentage of undergraduates will collaborate with GW faculty members on research and creative projects and will apply their skills in national laboratories, international agencies, and cultural institutions. Students will have opportunities to study the diverse urban environment of the District of Columbia and to explore how physical, social, cultural, political, and economic factors influence public policy and human well-being. New teaching and learning initiatives will take full advantage of the Washington location to increase the depth of students' educational experience and to better prepare them for future employment, graduate education, and lifelong learning (ibid., p. 7).

acknowledges GW's location in support of graduate education[62], has a strategy[63] for alliance, and suggests measuring the number of partnerships and joint ventures within the Washington area.

GW has a rich history of building and maintaining relationships with the federal government, the metropolitan-area school systems, boards of trade, public and private institutions, embassies, museums, local businesses, churches, charities, neighborhood advisory commissions, special interest associations and organizations, and other organizations and institutions. These relationships take many forms (e.g., consulting with local businesses and organizations, student internships, community service, volunteerism in local nonprofit organizations) and involve University faculty, staff, and students.

How effectively are community outreach programs coordinated across the University?

Community outreach programs can be loosely grouped into two areas: community service and community affairs initiatives. While outreach efforts are too numerous to catalogue, two offices serve as resources and gateways to inform the community about outreach activities: The Office of Community Service (OCS) and the Office of Community Relations.

The most extensive repository for information about community service is OCS. Focusing on volunteerism, it provides training and placement services and experiential learning opportunities (not necessarily associated with credit-bearing courses) for the University community through its 65-plus community partnerships, including social service agencies, not-for-profit organizations, and public schools. Its Web site (see Supporting Document **5.16**) lists myriad opportunities for involvement and has an application form for those who want to be placed in a community project. In addition, each professional school has a Web site that posts information about community service opportunities specific to those teaching in or preparing for the profession.

The office most closely associated with community relations is the Office of Community Relations. Under the umbrella of GW's Office of Government, International, and Corporate Affairs (GICA), the office was established in 2004 to coordinate and cultivate GW's relationship with its neighbors in the Foggy Bottom/West End areas. The office serves as a central intake point for community issues and works to ensure timely and effective responses to issues raised by the community (see Supporting Document **5.17**).

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[61] Emphasize the intellectual and academic culture of GW and Washington, D.C., in recruitment, admissions, and orientation literature and programs. Continue to offer inquiry-based courses that expose students to the history, culture, and resources of the District of Columbia and that unite them in a common educational experience (ibid., p. 9).

[62] GW's location in a growing corridor of business and research positions us to contribute to the region's development by addressing organizational and individual learning needs (ibid., p. 14).

[63] Expand strategic alliances and partnerships with Washington-area business, government, nonprofit, and K–12 educational institutions so that these agencies will turn to GW as the educator of choice for programs to benefit working professionals (ibid., p. 15).

While there is tremendous effort, especially from OCS, there is fragmentary coordinated activity between the academic enhancements called service learning and the student life efforts called volunteerism. There is no coordinated, overarching strategic engagement strategy. Nonetheless, the initiatives that exist, as measured by the SPAE metric of the number of participating students, are having a positive impact.

In summary, the University has a strong commitment to relationships with the greater Washington area, as evidenced by the many activities and involvement of various entities within GW.

Standard 3: Institutional Resources

Are the resources committed to the offices and programs related to community outreach sufficient to achieve their stated goals?

Community outreach is very decentralized at GW. There are numerous volunteer outreach programs, some long-standing and ongoing, and others that come and go (one-time service programming) based on an identified need and the level of interest in meeting that need. Numerous outreach efforts are organized, funded, staffed, and monitored by administrative offices (OCS[64], Office of D.C. and Foggy Bottom/West End Affairs—see examples above) that exist to support outreach activities, as well as those that are organized and supported by schools and academic departments (see examples in Appendix H).

OCS activities are supported, largely, by outside funding sources and with limited programmatic funding[65] (approximately $30,000 annually) from the senior vice president for SASS. In 2005–2006, OCS procured and managed, primarily from a series of small grants, over $170,000 provided from the Points of Light Foundation, Youth Service America, the Strong Foundation, the Freddie Mac Foundation, the Herb Block Foundation, the Cafritz Foundation, and AmeriCorps (see Supporting Document 5.35). In addition, approximately 23% of GW's federal work study dollars are used by students involved in community service projects; this percentage is greater than that used for service by students at Stanford University and is more than double the amount used at many universities, including Columbia and Harvard (see Supporting Document **5.18**). However, these resources are not enough to support the strong interest in civic engagement among GW students, staff, and faculty. Thus, the greatest challenge for OCS is to provide services to the campus with only limited institutional funding and a heavy reliance on outside grant funding.

OCS believes that integrating meaningful service to the community into course curriculum is a key component of an innovative and civically engaged educational experience. Where possible, its staff supports service-learning initiatives across all academic departments by providing resources, support, and information to faculty, students, administrators, and community partners.

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[64] Founded in 1992 and a leader in the concept of student volunteerism and service learning.

[65] Some additional funding is available, from SASS, to be used for office space, equipment, and to help support the salary for program staff working in the office.

However, to fully support the increasing interest in service learning, the office needs more staff to assist the half-time assistant program coordinator assigned to this responsibility[66].

Resources for outreach activities supported by GICA (see Supporting Document **5.03**) are directly overseen by GICA's vice president, working closely with the EVP&T. All expenditures are zero-based and reviewed annually; the University's financial commitment to this office's efforts totals approximately $275,000.

In summary, some funding is available for community outreach, and, as with every fiscal decision, programs are continued or created based on allocation of funds. Any increase in funding comes from external funding sources.

Standard 7: Institutional Assessment

What policies and procedures are in place to ensure the cost-effective use of resources across all units administering community outreach programs?

While few formal policies ensure the cost-effective use of resources across all units administering community outreach programs, a number of ongoing operational procedures, put in place by academic and student services units, formally and informally track the use of resources expended on community outreach programs. What exists has evolved according to departmental practice, history, and accepted institutional standards, particularly over the past 15 years as town-gown and community relations have emerged as an increasingly important priority for GW.

For example, in SASS, staff complete three reports on the progress of community outreach programs during the year, tracking participants, sites served, and total hours contributed to the community. The results of these reports are compiled for aggregate review by senior staff under the senior vice president and ultimately are shared with trustees serving on the Student Affairs Committee of the Board. At the close of each year, the data are combined into an annual report that is again reviewed by the senior vice president and his staff and ultimately is shared with the president and senior management[67].

Additionally, but not systematically, academic reports such as course evaluations, annual reports, and Faculty Senate and department reviews describe aspects of community service and student service learning that occur formally and informally.

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[66] A recent Service Learning Advisory Board Report on Service Learning, December 2006, recommends funding two full-time positions dedicated to supporting, coordinating, and expanding service learning throughout the University (see Supporting Document **5.19**).

[67] Similar protocols also direct staff in the Office of Government, Corporate, and International Affairs, as they regularly track progress toward community outreach objectives and report the findings to the vice president for government relations and GW senior management. Data from this division are similarly reported regularly to the Board of Trustees Committee on External Affairs for review and analysis. The number of neighbors' complaints has been dramatically reduced because of efforts to provide a single contact within the University, include neighbors in the FRIENDS group, and expand the local business association support.

The results of all activities supported by federal grants and corporate or foundation awards related to GW community service or social outreach are documented with data and assessment. In cases where funding comes from a corporate or federal source, procedural reports generally are prepared in conjunction with the Principal Investigator, the Office of the Vice President for Development (for foundation/corporate donations), or OCRO (for any federal grant).

In summary, the University has policies and procedures that are intended to facilitate sound business practices and call for each responsible party to be accountable for safeguarding the assets and resources of the University. Responsible individuals are required to review and evaluate activities to ensure the cost-effective use of resources. In addition, grant recipients have the responsibility for assuring the fulfillment of the terms and conditions of an award, documenting the achievement of these terms, and certifying compliance with applicable regulations.

What assessments are being used to examine the effectiveness of the community outreach programs? How are the results of these assessments being used to enhance the programs?

OCS is responsible for gathering metrics for its services, including the number and type of community partnerships, the economic value of the services provided, and the number of community service hours. It also tracks recruiting, training, placing, and supporting student, faculty, and staff service providers. Service provider reaction to programs and participation are gathered and analyzed. However, while data are often collected at the individual, department, school, or division level, the University lacks a strong collective culture of assessment campus-wide to direct program revision.

GW has always had a small cadre of faculty and programs dedicated to incorporating service learning and volunteerism into the curriculum (e.g., the GW Human Services Program in Columbian College). The growth and expansion of service learning into other schools and departments has been achieved in small, incremental steps, taken over the past few years. The forward thrust links back to several strategic steps taken in 1992, when GW founded OCS. The office's administrators support student volunteerism and service learning, and they see service learning as an integrated tactic in concert with the SPAE goal of student engagement. While few documents illustrate the growth of service learning since 1992, a recent report by the Service Learning Advisory Board (see Supporting Document **5.19**) includes a status report and comments by those involved in service learning.

The development and approval of a 20-year campus plan for GW provides an example of institutional assessment that led to changes in community relations efforts. The campus plan is a unique requirement of all universities in D.C.; its approval by the neighbors and zoning board is crucial to the development of the University. The 2000–2009 Campus Plan was articulated through an internal GW process to identify GW needs. Unintentionally, it provoked misconceptions and false perceptions of the University. For example, residents of Foggy Bottom feared that GW was expanding its student population, further encroaching on the neighborhood. However, in reality, the total number of students has remained constant between 2001 and 2006. The number of full-time undergraduates living on the Foggy Bottom Campus stayed the same between 2001 and 2006. Since 2001, GW has made concerted efforts to house more students at

the Mount Vernon Campus and has substantially increased the number of students who study abroad both in the fall and spring semesters.

GW's further assessment of the planning process indicated that the University needed to change the 20-year campus plan in order to obtain approval. In the summer of 2005, GW hired facilitators to inaugurate a community-based planning process that took 2 years to complete. Simultaneously, the GICA office of DC/Foggy Bottom and West End Affairs provided one point of contact, and created and supported efforts and activities for FRIENDS. This group identified about 47 areas of concern. The top three were quality of life for the local residents (hence the hotline noted below), land development (hence the new campus plan), and trust (an intangible). FRIENDS meets the first Tuesday of every month on the GW campus. The neighbors set the agenda, and about 75 residents from the area attend every meeting. As a result of these efforts, the new campus plan stipulates that GW will grow up, not out, a solution specifically related to the neighbors' concern that GW not exceed its borders. The University will remain within the current 20,000-student size, will not purchase property outside the campus borders (unless for investment), and will establish a groundbreaking historic preservation district on campus.

Other initiatives that have improved town-gown relationships include creating items to support the neighborhood, such as booklets and a Web site, and finding and sharing historic materials about the neighborhood. GW added a 24-hour hotline staffed by University Police so that neighbors can register concerns and compliments. The University supports the annual Foggy Bottom/West End Neighborhood Block Party; at the most recent party, about 1,500 people attended and 100 local venders sold their wares. To accommodate a local farmers' market within GW's borders, GW worked to resolve the hospital's concern for security. A local business community was also formed, and GW is a partner/member.

Another example of institutional assessment of community outreach programs comes from the Office of Off-Campus Student Affairs (see Supporting Document **5.20**). An analysis of 160 complaints made by GW's neighbors revealed that noise is the top concern of complainants. Further analysis indicated that most complaints occurred in October, around Halloween, and in April, when students return from spring break. These data are being used to prepare some changes, including coordination with the community and discussions in the residence halls to bring attention to the effects students' behavior has on the neighbors. The office is also coordinating visits by neighborhood children to new residence halls in Foggy Bottom[68].

Standard 14: Assessment of student learning

Have learning outcomes been established for those community outreach programs that directly involve students? If yes, are these outcomes being achieved?

Broad learning outcomes for community service can be inferred from President Trachtenberg's welcoming message (see Supporting Document **5.16**) on the OCS Web site that states: "We believe that civic engagement enhances learning and contributes to the well-being of local residents." Learning outcomes tied to a particular program are typically defined by the program doing the outreach.

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[68] The Mount Vernon Campus did not appear on the report.

In most cases, indirect measures demonstrate the achievement of these outcomes. For example, the Graduating Senior Survey includes questions about students' involvement in community service and the learning outcomes that may have resulted. Compared to others, students who volunteered reported gains on 24 different skills and abilities, including an appreciation of urban life; the independent acquisition of new skills and knowledge; an ability to function effectively as a member of a team; an ability to relate to people of different races, nations, and religions; a clarification of their future goals; and self-understanding.[69] Other measures include GW's ranking as the top school among medium-sized colleges and universities to produce Peace Corps volunteers; *The Washington Monthly College Guide*'s ranking placing GW fourth in the country in terms of its dedication to civic engagement; GW's placement on the President's Higher Education Community Service Honor Roll with Distinction for General Service in 2006, and the high percentage of students using federal work study funds for community service.[70]

Specific programs offering community service typically include assessment measures in the course or program evaluation. For example, students in psychology, one of the largest majors at the University, have the option of doing a field placement[71]. Qualitative descriptions and assessments of the field experience are collected from the students and the site placement supervisor. After reading these descriptions, the department chair determined that the program needed improvement. He assigned two faculty members to attend the service learning brown bag lunches and suggested that the course be revised and expanded next year.

Goals and outcome measures are standard components for courses that include service learning, as critical reflection on the experience is a key component of such courses. Other measures include students' reports, presentations, and course evaluations.

What measures are in place to assess student satisfaction with the community learning and service opportunities available to them?

GW was selected as one of six schools to pilot a 2-year (2005-2007) project to expand civic engagement and public service careers in the federal sector. As part of this project, Partnership for Public Service (see Supporting Document **5.24**), GW students (457) and faculty (14) completed surveys in the fall of 2005 to establish baseline information about their interest in working for the federal government compared to working in large private-sector companies and nonprofits, their knowledge about federal-sector job opportunities, their awareness of recruitment information about federal service opportunities, and other factors that would entice students to work in the federal government. Compared to students at the other schools in the pilot program,

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[69]Graduating Senior Surveys: 2004–2006 (see Supporting Documents **5.07** and **5.21**–**5.22**); the mean scores of enhancement between those involved and not involved in community service were significantly higher, measured by t-tests, for those involved in community service.

[70] Other awards and distinctions can be found on the OCS Web site (see Supporting Document **5.23**).

[71] Psychology 192 Field Experience (3) Senior psychology majors will spend a minimum of 6 hours a week in a local mental health, rehabilitation, school, or community setting. Students registering for this course must have weekly blocks of time available in their class schedules.

GW students were more knowledgeable about and interested in job opportunities in the federal government[72]. A follow-up survey took place in spring 2007; the results are pending.

Volunteerism among GW students continues to expand. There was a 25% increase in participation (both student numbers and amount of hours) in community service from the academic year starting fall 2003 to the one starting fall 2004 (see Supporting Document **5.18**).

Analysis

The University reaches out through many avenues. This outreach is reflected in University academic departments and in individual involvement on the part of scores of individuals (see Appendix I for programs of distinction).

Although Goals 1 and 4 of the SPAE are two examples of how the University takes outreach and community relations into consideration in its strategic planning initiatives, GW has set no overarching definition of service, general mission and vision for service, basic and general criteria for outreach programs, assessment guidelines, or strategies that guide all GW service and outreach activities. There are no specific goals for outreach for students, faculty, and the University, and the metrics noted in the strategic plan do not enable the University to judge whether its actions are sufficient. For example, is a 50% participation rate good enough? Should the programs expand or contract?

Tremendous work taking is place across campus, but it is often not as coordinated or integrated as it could be. GW's nine schools, various academic departments (including individual faculty), student organizations, and administrative departments conduct a wealth of diverse activities. Some of these activities are coordinated and monitored by OCS and some by GICA... If there were more coordination and integration of activities and programs across GW, perhaps the University could create tools for faculty to use in service learning, develop synergies that would enhance GW's ability to do more, share information, reduce redundancies, share limited resources (human and financial), and develop cross-functional partnerships.

While there is a wealth of information about GW service and outreach activities, there is no central repository for people to obtain a comprehensive representation of service, ideas of best practices for course and volunteer opportunities, and existing outreach activities. A centralized, comprehensive database would readily demonstrate the educational, medical, financial, cultural, and economic impact of the University's service/outreach activities.

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[72] *Interest is high, knowledge is low.* Contrary to common perceptions, interest in federal service is high among college students, with more than 42% of juniors and seniors extremely or very interested in federal government jobs—only 8 points lower than the interest in large private-sector companies. The biggest problem with attracting recent college graduates appears to be lack of knowledge, with only 13% of students saying they feel extremely or very knowledgeable about federal jobs.

Recommendations

While outreach activities continue to draw interested faculty, staff, and students, the University can do more and better.

The committee recommends that the University develop a more coordinated, coherent community outreach strategy with conversations across the many groups and departments engaged in and with the community. The strategy should define and implement mechanisms to improve coordination, communication, integration, and tracking of outreach activities across GW and might include an enhanced Web site as a one-stop GW service information resource.

The committee also recommends initiating a campus-wide discussion about whether to require service learning as a part of the undergraduate experience. Such a comprehensive discussion should address the potential learning outcomes for students, advocate best practices across disciplines for tracking these outcomes, and boost the place of the faculty member's participation in service learning in faculty promotion and tenure decisions.

Community Diversity

> *Guiding question: Are the levels of diversity achieved among GW's faculty, students, and staff consistent with the mission of the University and the goals of the SPAE?*

The aim of achieving diversity among faculty, staff and students is expressed in GW's mission statement[73] and noted in Goal 3[74] as well as Goal 4[75] of the SPAE. Strategies associated with the goals include recruiting, rewarding, and retaining an outstanding and diverse faculty[76] and recruiting students and faculty who value cultural and intellectual diversity and who will nurture a community that encourages the exploration of new ideas[77]. The metrics are outlined in Goal 4[78] of the SPAE.

The University respects and values its diverse community of faculty, students, and staff as well as the diversity of the District of Columbia and its surrounding metropolitan area. GW practices

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[73] "The University values a dynamic, student-focused community stimulated by cultural and intellectual diversity and built upon a foundation of integrity, creativity, and openness to the exploration of new ideas."
"To promote the process of lifelong learning from both global and integrative perspectives, the University provides a stimulating intellectual environment for its diverse students and faculty."

[74] Raising GW's level of academic distinction will require continuing to build a talented, productive, diverse faculty that is recognized for excellence in research, scholarship, and teaching (see Supporting Document **5.04**, p. 16).

[75] to continue to develop a strong sense of community (ibid., p. 19).

[76] Goal 3

[77] Goal 4

[78] Diversity of faculty by gender, race/ethnicity, rank (see Supporting Document **5.05**).
  Diversity of student body by gender, race/ethnicity, nationality (i.e., numbers) (see Supporting Document **5.06**).
  Rating of how well GW enhances undergraduate students' ability to "relate well to people of different races, nations, and religions" from item on GW Graduating Senior Survey (see Supporting Documents **5.07** and **5.21**–**5.22**).

equal opportunity in its personnel actions (see Appendix J). The Office of Human Resource Services (HRS) expects employees, as a key competency, to demonstrate value and respect for a diverse community. By promoting a culture that connects people and values and that respects diverse contributions to the University, employees reflect GW's appreciation for diversity (Appendix K).

The aspiration of achieving diversity in the faculty is noted in the Web site of the Office of Faculty Recruitment and Personnel Relations (FR&PR), which calls on "faculty, academic administrators, and library directors to fulfill their responsibility to foster a culturally diverse faculty and librarian workforce and to create and maintain an environment free from discriminatory actions and behaviors" (see Supporting Document **5.25**). Measures are in place to increase diversity among the faculty. While the University has made considerable progress in this area, there is still need for improvement.

Staff diversity is attended to by the Office of Equal Employment Opportunity (EEO); its director meets quarterly with HRS recruiting staff to review areas or departments where diversity should be improved and to encourage HRS to discuss the issue with departmental contacts. The University has an EEO plan and a pattern of practice that is consistent with affirmative action hiring. EEO is in the process of developing a diversity plan to include recruitment and retention programs.

GW strives for a diverse student body with traditional ethnic backgrounds as well as socio-economic and geographic backgrounds. The Office of Undergraduate Admissions is expanding regional recruitment, and the financial aid program is now offering more need-based support (with an allied reduction of merit-based support) to help the University achieve a diverse student body.

There are also clear measures in place to increase diversity among the faculty. For example, the share of Hispanic faculty remained static at 2% between 1990 and 2006, when it rose to 3%. The University has made considerable progress in this area, but there is still need for improvement.

In summary, there are no written levels, quotas, or mandates established by, or requested of, the University. However, the University has articulated through the president, senior staff, academic deans, and others its commitment to diversity among its faculty, students, and staff.

While information about the diversity of faculty and students is collected biannually, shared with the Faculty Senate, and published for the community, there is little analysis of what the numbers reveal. Specifically, exit and climate surveys are encouraged to identify work-climate issues among the various communities at GW and to determine why people choose to leave the University. The information from these suggested analyses relating to staff and faculty diversity should continue to be examined closely to assist in program improvement or to make changes to the existing University practices.

Standard 2: Planning/Resource Allocation

What are the University's goals for, and measures of, diversity?

A strong campus community characterized by diversity and a sense of inclusiveness is an essential element of academic excellence. Goal 4 of the SPAE states: "A diverse student body [Appendixes L, M, N] and faculty [Appendix O] enrich the educational experience by exposing students to a wide range of ideas and perspectives, fostering teamwork and mutual respect, and preparing students to communicate more effectively with individuals from different backgrounds." The strategies to achieve this goal are:

- create a campus environment that values and celebrates the diversity of GW students, faculty, staff, and alumni;
- increase the number of faculty from underrepresented minority groups to foster greater cultural diversity within the University;
- promote and preserve a spirit of collegiality among GW faculty;
- attract and retain students from diverse cultures, countries, and backgrounds; and
- initiate a vigorous community dialogue on issues of social, political, and cultural significance through public debates, forums, conferences, and media programming.

The overarching goal for diversity is to increase the presence of diverse students, faculty, and staff at all ranks and levels at GW[79]. As the largest private employer in the District of Columbia, GW endeavors to create a campus community that reflects the diversity found in the metropolitan Washington area. Moreover, GW is currently the lead employer in the D.C. Business Leadership Network (see Supporting Document **5.26**), whose mission is to "stimulate employers' best practices for including people with disabilities in their workforce." Hiring practices for staff are consistent with GW's affirmative action program[80], and records about the

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[79] In 1990, President Trachtenberg articulated a need for, and financially supported the expansion of, the Educational Opportunity program (EOP) to the Multicultural Student Services Center (MSSC). At the time, EOP had a narrow focus, and offered activities and programs for a finite population (students from the District of Columbia, which at the time was predominantly black). President Trachtenberg's vision was to have a wider and more multicultural approach to enhancing and supporting diversity. This approach would involve increasing the consciousness and appreciation of differences associated with the heritage, characteristics, and values of many different groups, as well as respecting the uniqueness of each individual. Furthermore, it involved managing conflict and holding people accountable for their actions. For the most part, the University community (students, faculty, and staff) supported this vision and began to tap MSSC and other resources (such as the dean of students' office, particularly the community living and learning staff, international services, the Student Activities Center through its leadership series, and the student organization orientation) to initiate recruitment and retention programs for faculty, students, and staff.

[80] The affirmative action program is statutorily driven by Executive Order 11246 and is enforced by the U.S. Department of Labor's Office of Contact Compliance Programs.

The program requires government contractors with 50 or more employees and $50,000 or more in federal funding to write an affirmative action plan (AAP). The University is a government contractor. The Office of Equal Employment Opportunity is responsible for the University's affirmative action program and writes the AAP.

The AAP depicts the number of full- and part-time minority and female benefited employees by job groups. It also shows how the University recruits for vacancies and strives to hire qualified minority and female candidates in areas

number of women and minorities GW employs, including information about their retention, departure, promotions, and transfer, are reviewed to determine whether or not the representations of a diverse community are consistent with recruitment.

Over the past 10 years, from 1997 to 2006, with the exception of international students, the percentage of students of color in both the undergraduate and graduate student population has remained fairly constant (see Figures 5-1 and 5-2). However, these percentages mask the increase in the number of students of color entering as freshmen (see Figure 5-3). From 1997 to 2006, the freshman class size increased by about 750 students, from 1,723 in 1998 to 2,464 in 2006. In 1997, students of color made up 21% of the incoming class; by 2006, students of color represented 27% of the incoming class. Since 1997, the number of entering freshmen who are African-American grew by 71%; Latino/Hispanic freshmen increased by 77%; Asian-American freshmen rose by 35%; and international freshmen increased 35%. Moreover, members of the most recent incoming class are more geographically diverse than those who entered in 1997. Fewer students come from New York, New Jersey, Pennsylvania, Massachusetts, Maryland, Connecticut, Delaware, the District of Columbia, and Virginia (67% of the class entering in 1997; 69% of the class entering in 2006), and there are large increases in students from California, Florida, Illinois, Georgia, New Hampshire, Ohio, Texas, and Minnesota.

Figure 5-1
Undergraduate Enrollment by Race and Ethnicity: 1997–2006

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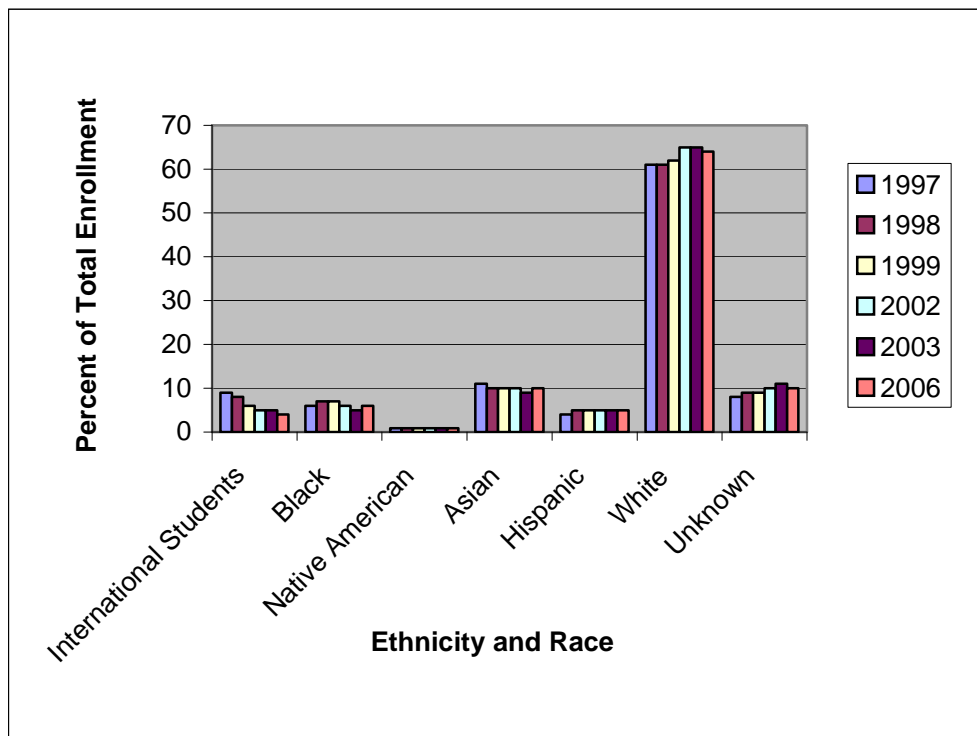
of the University where minorities and females are underutilized. Underutilization occurs within job groups, when the GW workforce has fewer minorities and women than would reasonably be expected by their availability. Their availability is determined by the areas from which the University recruits to fill vacancies. The diversity of the workforce is altered by the effectiveness of GW's recruitment strategies.

Figure 5-2
Graduate Enrollment by Race and Ethnicity: 1997–2006
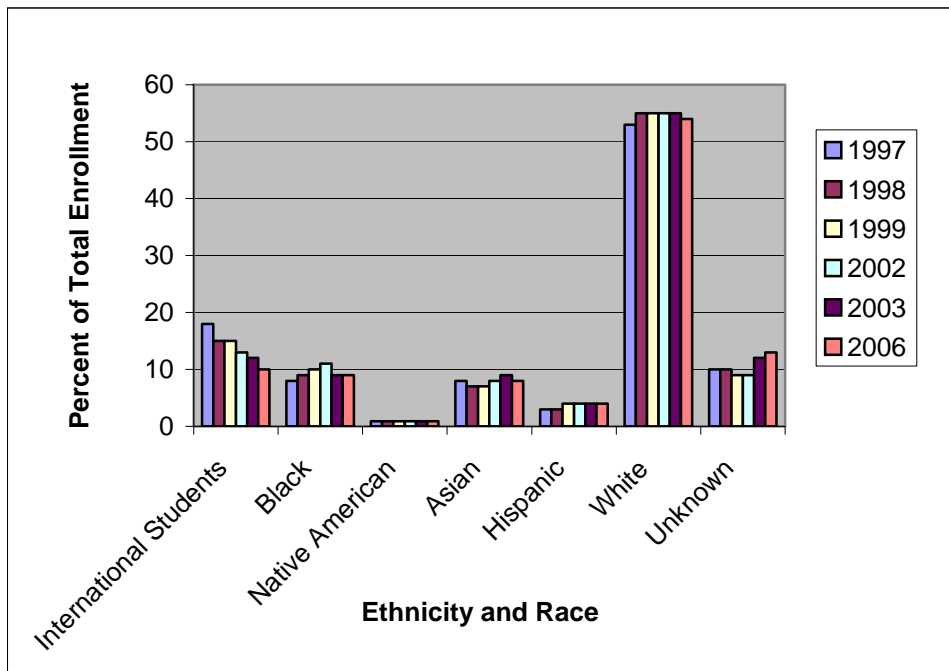
Figure 5-3
Freshman Enrollment by Ethnicity and Race: 1997–2006
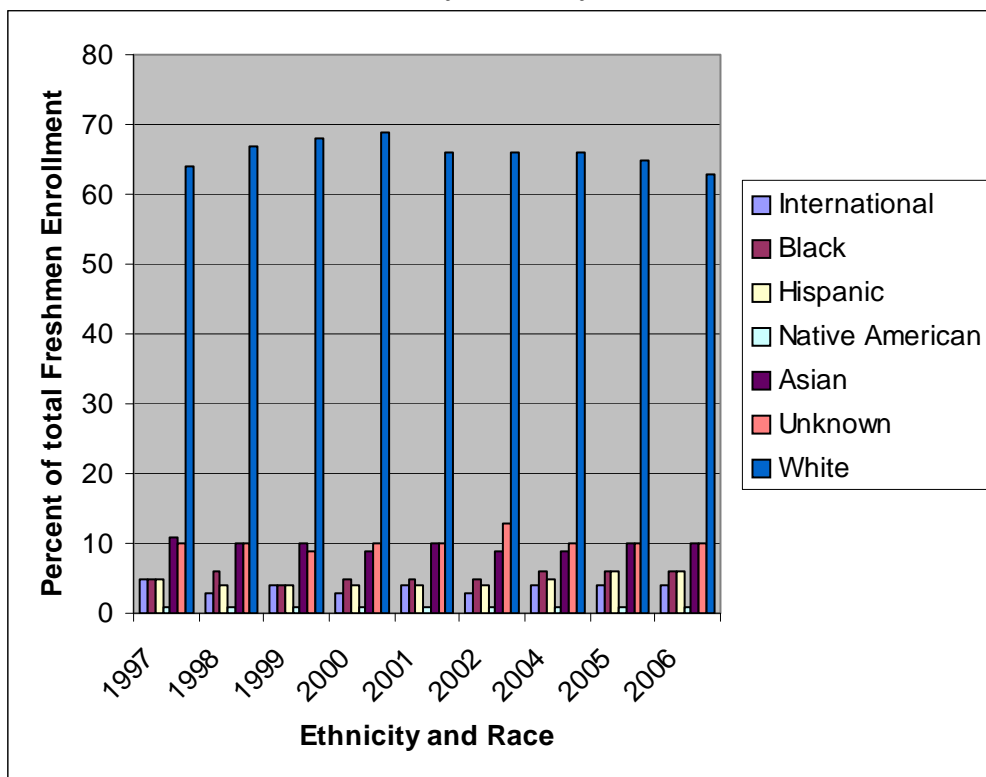
The diversity of full-time faculty has also increased over the past 10 years. In 1997, 30.5% of the full-time faculty was female and 13% of them people of color. By 2005 (the most recent year for which there are data), 36% of the faculty was female, and 19% minorities (see Figure 5-4).

Figure 5-4
Full-time Faculty by Ethnicity and Race: 2001–2005
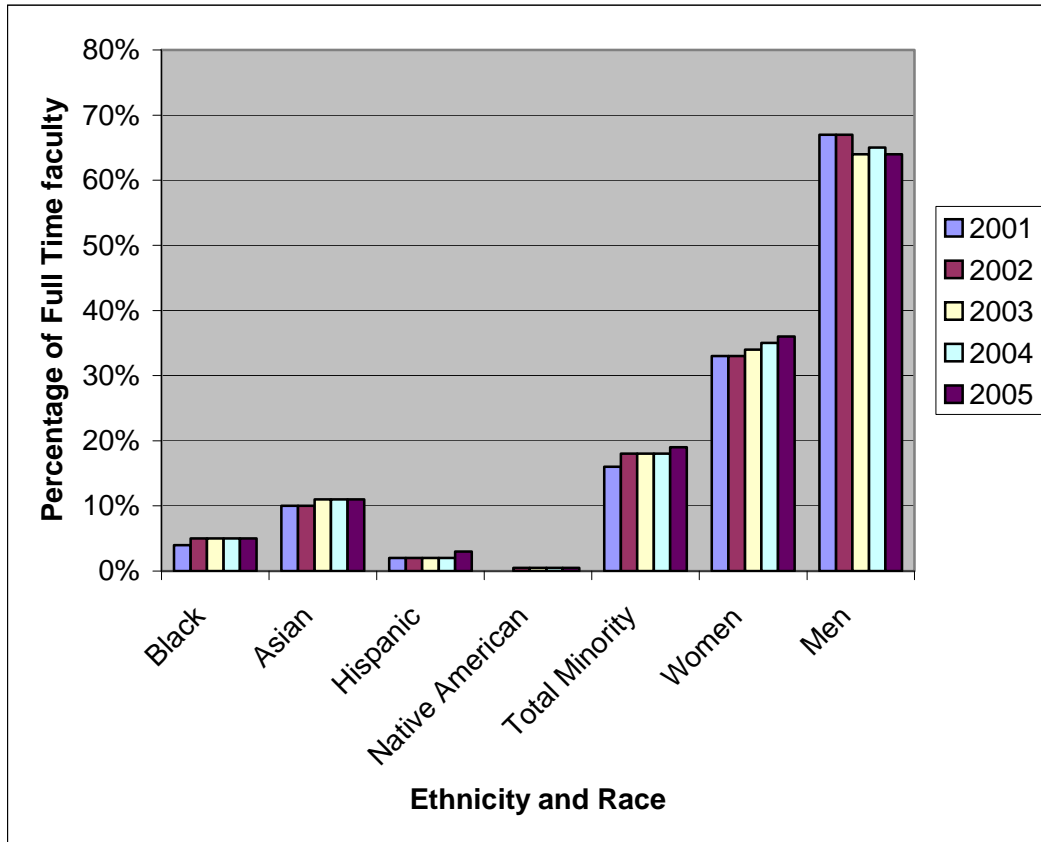
The faculty and the student body continue to represent a diverse membership. However, the student body continues to be more diverse than the faculty (see Figure 5-5). There is a larger percentage of students of color than of faculty[81].

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[81] The chart represents only faculty and students of color–there is no representation of international students or multiracial students or faculty.

Figure 5-5
Comparison of Faculty and Undergraduate Student Diversity: 1997–2005
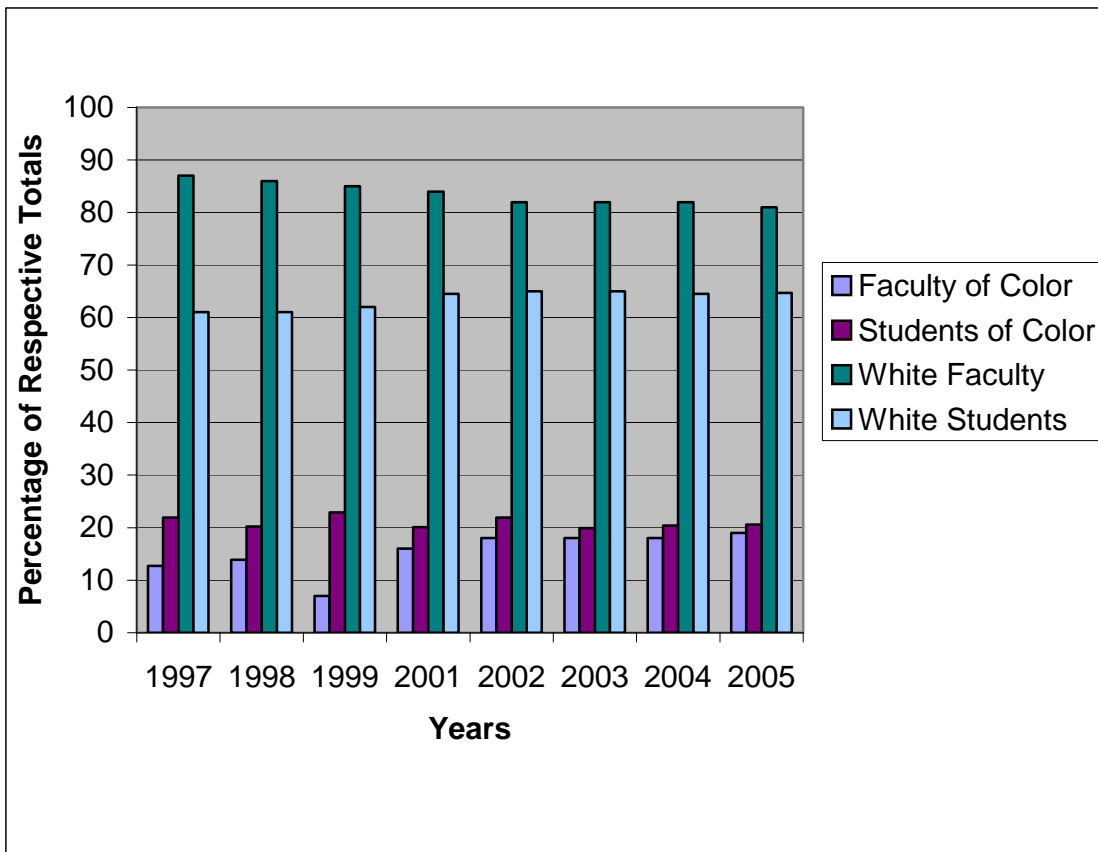
The University is in the process of establishing a University-wide diversity plan. That said, GW does have a diverse staff in that it has representation from the four major minority ethnic groups and a considerable percentage of female employees (see Figures 5-6 and 5-7). Establishing a plan is an act of good practice and ensures that the University's activities to forward diversity are well understood in the GW community.

Figure 5-6
Full-time Male Staff by Ethnicity and Race: 2005–2006
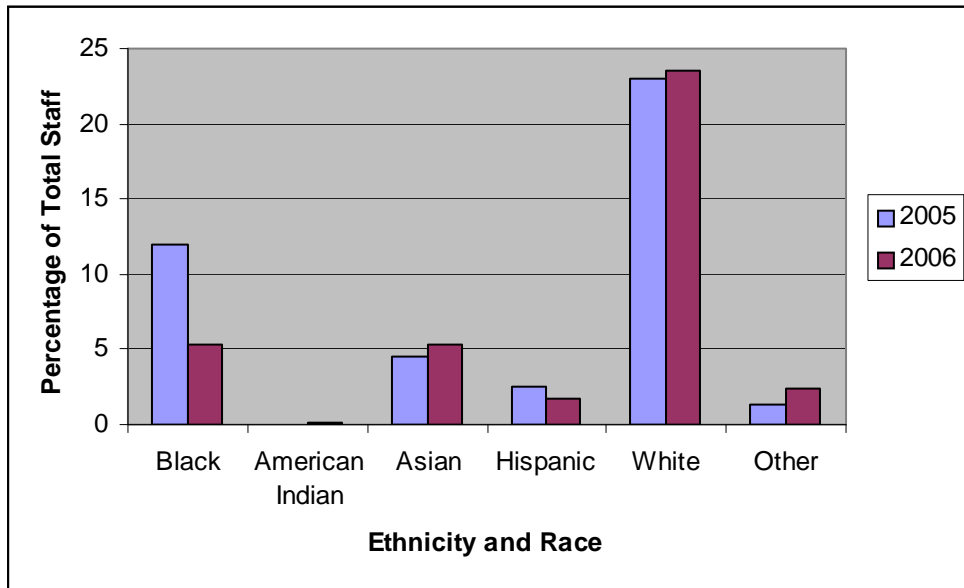
Figure 5-7
Female Staff by Ethnicity and Race: 2005–2006
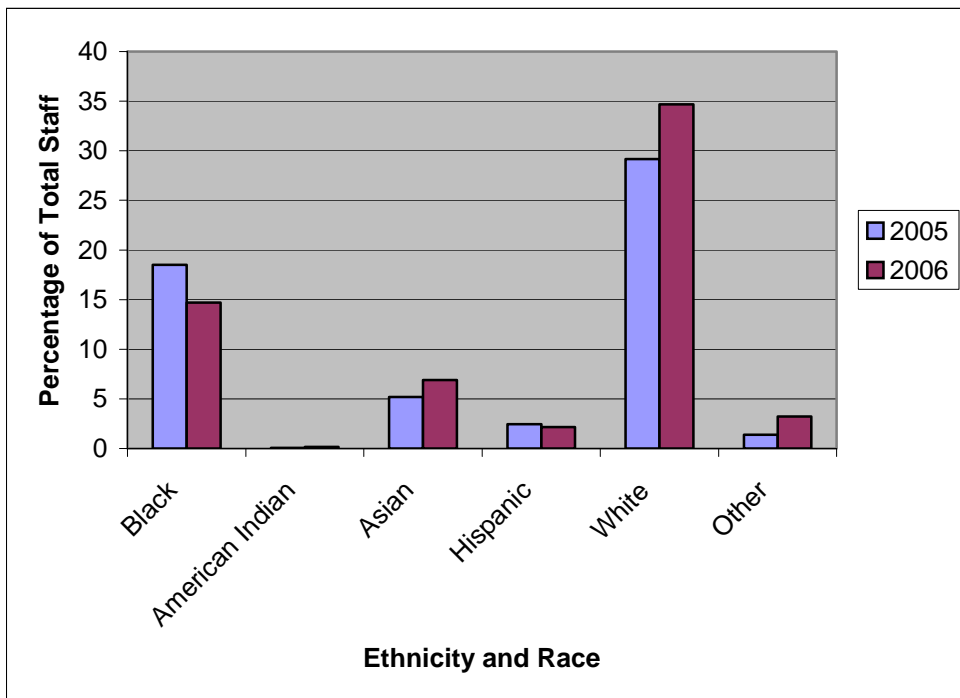
Are the needs of a diverse university community adequately considered in GW's strategic planning processes?

Equally important to recruiting a diverse community of faculty, students, and staff is providing a welcoming environment that allows for growth and development opportunities for all its members. The Office of Faculty Recruitment and Personnel Relations (FR&PR) provides services and resources to faculty and librarians to support their recruitment and retention. For example, FR&PR regularly reviews departmental faculty recruitment plans to promote, support, and advance a diverse faculty. The office monitors recruitment from position availability to appointment offer, and it encourages departments to use new methods to uncover and expand the applicant pool of women faculty and faculty of color. Academic departments are instructed to comply with EEO policies and procedures in their recruitment and retention strategies and are encouraged to create a staffing pattern that represents a culturally diverse workforce.

In addition, FR&PR services and resources to faculty and librarians help create an environment free from discrimination. To this end, FR&PR coordinates and advises various University committees charged with improving the quality of professional life for all faculty, with attention to women faculty and faculty of color. The office works with deans and department chairs to improve faculty development and formulate strategies to address performance concerns, and to provide confidential counseling when needed. Moreover, FR&PR has developed an action plan to advance faculty diversity that focuses on four issues:

- increasing attention to the importance of faculty diversity;
- building/enhancing leadership commitment and action;
- designing and updating retention programs/activities; and
- reviewing recruitment and selection processes.

Recruiting and retaining a diverse student population remains an important goal for the University. The Office of Undergraduate Admissions (Admissions) definition of diversity includes geographic and socioeconomic as well as racial and ethnic diversity. To achieve diversity of these types, Admissions continually identifies and cultivates new geographic markets and partnerships, participating in programs sponsored by or targeted to multicultural populations, and working with matriculated students of color who assist in the recruitment efforts. To identify and cultivate new geographic markets, Admissions hired regional representatives to concentrate primarily in urban or tertiary markets (i.e., California, Chicago, and the Carolinas). Over the years, need-based aid policies have shifted to increase the yield of students of color, students from families with moderate to low income, and those outside the east coast corridor. The share of freshmen who went to high school in the mid-Atlantic region (New York, New Jersey, Pennsylvania, and Maryland) has declined from 55% in 1997 to 46% in 2006. GW has substantially increased its enrollment of students from the south, Midwest, and west coast, including many students from Florida, California, Illinois, Georgia, Ohio, Minnesota, and Texas.

Providing an experience that enhances students' abilities to relate to people of different races, nations, and religions is important to retaining a diverse community. The University recognizes that students have very different academic, social, ethnic, religious, and economic backgrounds,

and many student cultures exist on campus. Professionals within SASS, and, in particular, the Multicultural Student Services Center (MSSC), Student Activities Center (SAC, including New Student Orientation and OCS), GW Housing Programs, and the International Services Office develop, implement, and evaluate programs to help students learn about, understand, and relate to different cultures, experiences, backgrounds, and religions. Staff members also advise, encourage, and support the over 90 student organizations with interests in diversity.

One measure of GW's success is the increase in undergraduate graduation rates of international students and students of color. The percentage of black students who graduated in 6 years was 64% in 1997; in 2005, the 6-year graduation rate was 71%. For Hispanic students, the 1997 6-year graduation rate was 58%; in 2005, it was 73%. For Asian students, the rate went from 73% in 1997 to 82% in 2005, and for international students the rate went from 39% in 1997 to 77% in 2005 (see Figure 5-8).

Figure 5-8
Comparison of 6-Year Graduation Rates by Race and Ethnicity: 1997 and 2005

Most undergraduates in the past 10 years thought the campus climate was supportive of diversity, while, over the same period, the climate has improved for graduate students. In both 1997 and 2006, 79% of the graduating seniors indicated on a graduation survey (see Supporting Document **5.27**) that their GW experience greatly or moderately enhanced their range of friendships within diverse populations. On the same survey, 83% of the seniors in 1997 and 79% in 2006 indicated that their ability to relate well to people of different races, nations, and religions was moderately or greatly enhanced. In 1998, the first year a graduate-student graduation survey was distributed (see Supporting Document **5.28**), only half the graduating graduate students strongly agreed or agreed with the statement that the campus environment was supportive of persons of diverse ethnic/racial backgrounds. By 2006, 81% agreed or strongly agreed with the statement (see Supporting Document **5.29**).

Do the goals and measures reflect a broad definition of diversity that is consistent with the University's mission?

Although the University has no specific definition or described goals for diversity, there are broad guidelines that are targeted to support the University's mission of a student-focused community stimulated by cultural and intellectual diversity. The SPAE addresses only traditional measures of diversity and does not mention geographic or socioeconomic backgrounds..

Standard 3: Institutional Resources

Are the University's programs for recruiting and retaining a diverse faculty, staff, and student body adequately funded?

With the exception of EEO, most department and program budgets do not include a line item for recruiting and retaining a diverse community of faculty and staff. Rather, current resources are reallocated to assist with the recruitment of a diverse faculty, staff, and students. In an

unstructured and informal interview, several directors, faculty, and deans stated that guidance, financial resources, and human resources provided by GW allow them these requirements:

- educational materials and programs that help current stakeholders understand the environment of recruiting and retaining a diverse workforce;
- networking and information-sharing opportunities among local and market-basket institutions;
- creative ideas to increase and retain a diverse community;
- development and implementation of surveys;
- attendance at conferences and membership in professional associations;
- in-house training for faculty, staff, and students regarding climate and diversity issues;
- flexibility with standards and guidelines to take into consideration difference in numbers;
- funding opportunities for special activities that promote diversity;
- cosponsored activities among departments, staff, and students;
- advertising and marketing to special populations;
- attractive need- and merit-based student financial aid awards; and
- honorariums for speakers.

The amount of money available for student financial aid is based on GW's discount rate and is approved annually by the Board of Trustees. Existing policies support GW's strategy for recruiting and retaining students through merit and need-based packages. Financial aid caps and the means to address gaps in award amounts are guided by these policies. For the past 3 years, the discount rate has remained stable at 35.8%.

The share of freshmen receiving any form of merit or need-based aid declined from 72% in 1997 to 55% in 2006. In 1997, 48.5% of freshmen received need-based aid, and 24% received merit aid. By 2006, only 40% of the freshmen received need-based aid; and 15% received merit aid (see Figure 5-9). This money was used to attract students from around the country with outstanding high school records who would help improve the quality and reputation of the undergraduate schools. In addition, the merit funds were used to assist a number of middle-income families that applied for financial aid but did not meet the "demonstrated" financial need requirements. While on paper these families appeared to have the financial resources to cover GW's tuition, room, and board, they did not have the liquid assets or cash flow to meet GW's cost. These strategies proved effective in substantially increasing the number and quality of applicants from across the United States.

Figure 5-9
Freshmen Receiving Merit or Need-Based Financial Aid: 1997 and 2006
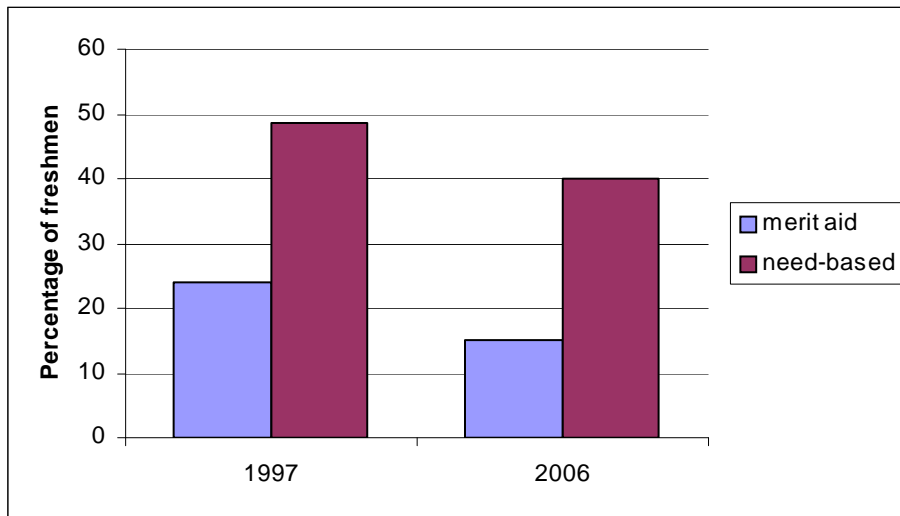
GW faces a constant challenge as it strives to inform all faculty, staff, and students body about the various resources and support for diversity in the community, such as reaching out to a wide pool of applicants and providing and highlighting a supportive environment.

Standard 7: Institutional Assessment

What assessments are in place to examine the diversity of the University's constituent groups (i.e., faculty, students, and staff)?

Data about diversity among faculty and students are collected annually and posted in GW's Factbook, produced by the Office of Institutional Research[82]. An assessment of the recruitment, appointment, promotion, tenure, retention, and climate for women faculty and faculty of color is conducted biannually, and a report is given to the Faculty Senate in March of even-numbered years (see Supporting Document **5.32**). The data are used to modify existing programs and to develop new initiatives.

Formal assessment of GW staff is undertaken on an ad hoc basis, usually at the request of the Faculty Senate or a vice president. Departments and administrators responsible for monitoring, recruiting, and retaining a diverse community continually use the data to modify existing programs and to develop new initiatives.

Diversity in the student population, especially at the undergraduate level, is assessed using both formal and informal methods. In 1998, a Working Group on Undergraduate Retention and Graduation examined all facets of campus life, including the academic, student support, cocurricular, social, and residence life areas. From this review, the group developed a Strategic

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[82] See Supporting Document **5.30** and Appendixes C, D, E, F, G, H and I.

Plan for Increasing Retention and Graduation (1998) that called for more intensive advising for minority and international students and additional financial assistance to low-income students from the Washington area. Five years later, a Joint Administration/Faculty Senate Committee on Retention of Undergraduates at GW was charged with reviewing the 1998 Strategic Plan and reaffirming the progress made on the original recommendations, defining new goals, and developing strategies to meet those goals.

The joint committee did an exhaustive study of retention and graduation rates, examining variables such as the impact of students' home state, race, financial aid package, family income, and residence hall assignment. The data summarized in the report (see Supporting Document **5.32**) indicated that students from GW's primary recruitment market (Connecticut, Delaware, District of Columbia, Maryland, Massachusetts, New Jersey, New York, Pennsylvania, and Virginia) are more likely to remain at GW than those who are not from those states. Receiving merit or need-based financial aid does not, in and of itself, have any bearing on retention; 85% of students who received some form of financial aid remained at GW as did 85% of those who did not receive any form of aid. There are statistically significant differences in family income and amount of aid received between those who remained and those who left. Typically, however, those who remained at GW reported higher family incomes and received, on average, larger need- and merit-based financial aid packages compared to those who left (see Table 5-4).

Table 5-4
Mean Financial Aid Packages and Family Income of Those Who Received
Financial Assistance by Enrollment Status

	Remained	**Left or Transferred**
Family income[**]	$97,200	$87,600
Average institutional aid package	$12,900	$11,800
Average merit aid package	$10,500	$ 9,200
Average amount of financial aid paid	$20,000	$18,800

The interaction between the amount of financial aid and the student's home region affects retention in interesting ways. Of the full payers (those not receiving any financial assistance from GW) who left GW, 34% are from home states outside of GW's primary market, compared with 29% of those receiving financial aid who were from one of the states outside of GW's primary market. There is no difference in the entering academic qualifications of these two groups.

The MSSC uses a number of assessment measures, including academic initiatives, enrollment numbers, retention and graduation rates, and ratings of campus climate. This information guides program development and assistance for at-risk students.

[**] Family income is available only for those students who applied for and received any form of financial assistance.

Formal assessments examining staff diversity are undertaken on an ad hoc basis. GW does not currently have a comprehensive diversity plan. However, should the University establish such a plan, GW is prepared to consider a series of climate measures, including a campus climate survey. Based on an analysis of these assessments, diversity can be measured statistically and through qualitative examinations of the perceptions of community members.

How are the results of these assessments used to guide programs intended to recruit and to retain a diverse community?

Formal assessments that produce reports and recommendations are circulated and discussed and form the basis for new initiatives and for more concentrated efforts throughout the University community. For example, the findings in the "Faculty Salaries by Rank, School, and Gender" report (see Supporting Document **5.33**) were used to make recommendations regarding future appointments and salary reviews. Data collected about the hiring practices of faculty are evaluated and serve as a resource for reviewing and revising recruitment procedures and policies such as assigning search committee responsibilities, developing and placing position announcements, and communicating with applicants and candidates.

In an effort to be affordable to low-income students, GW has revised its financial aid policies and has shifted some of its financial aid funds to need-based aid. The strategy used for the class entering in 2007 was to raise the bar for the awarding of merit aid. Savings from the merit aid pool were redirected to more effectively address the needs of low-income students. In response to the 2003 retention report, which recommended efforts to increase the retention of students from areas outside the east coast corridor, the University created a living and learning residential program designed to help these students find kindred spirits and feel more comfortable staying at GW and in Washington, D.C.

The hiring of a new human resource services director, who reports directly to the president of the University, will improve GW's management of staff issues. The director is working on a plan to implement EEO workshops and training that will be strategically repeated and rotated through various areas of the University. This training will include Americans with Disabilities Act sensitivity and compliance, sexual harassment awareness, and other important topics that directly or indirectly relate to the diversity climate on campus.

How effective are the University's programs for developing and supporting persons in leadership positions responsible for the recruitment and retention of a diverse university community?

The University has numerous positions with highly qualified individuals overseeing the recruitment and retention of a diverse faculty, staff, and student body. Positions include an assistant vice president for faculty recruitment and personnel relations, a director of the Office of Equal Employment Opportunity, a director of the Multicultural Student Services Center, and the aforementioned newly hired director of human resource services. There is a climate of support for individuals in leadership positions responsible for recruitment and retention of a diverse University community. There is no formal program of support, but education and training are provided on an individual basis or by division as the need arises.

Assessment

The University respects and values its diverse community. The GW community reflects the considerable diversity within the District of Columbia and the surrounding metropolitan area, and measures are taken to recruit and retain diverse faculty, students, and staff. Many efforts are made to gather data reflecting diversity on campus. Levels of diversity achieved seem to be consistent with the mission of the University and the goals of the SPAE. However, the University could better use data currently collected to develop a holistic plan for faculty, student, and staff diversity on campus.

GW collects a great deal of data about its community for reporting purposes. However, the data are not interpreted in such a way as to provide evidence to support program revisions and enhancements or changes to existing policies. The responsibility for assessing staff diversity should be examined more closely to ensure that the data are reviewed and analyzed.

Consistent leadership is paramount to enhancing and maintaining a supportive, diverse community at GW, as are review and analysis of goals, objectives, and programs vis-à-vis funding allocations.

Recommendations

The major recommendation of the committee is to create assessment processes to interpret the data collected and to use these assessments to make recommendations to support or improve current University diversity practices. Specifically, data from satisfied students, faculty, and staff of color who stay and thrive at GW should be used to enhance climate and community through new or redesigned programs. It may prove appropriate, based on these assessments, to reallocate funds.

The committee recommends expanding the categories for indicating ethnic or racial background. The current surveys and instruments do not permit individuals of a multicultural background to correctly identify their race or ethnicity. The current category, "other," is not sufficient or appropriate for data collection.

The committee encourages GW to continue to create and establish innovative and intentional programs that for recruiting and retaining students, faculty, and staff of color (see Supporting Document **5.34**)[83]. Furthermore, GW should develop a stronger system of sharing information, innovative activities[84], and resources with faculty and staff to enhance its diverse community. The University should continue to encourage mid- to senior-level managers to be active and visible in shaping the diversity agenda and partnership—both on the campus and in the city of Washington.

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[83] See suggested concepts at the NSF Web site (Supporting Document **5.36**).
[84] See Supporting Document **5.37** for a list of schools with innovative practices.

Supporting Documents

5.01	GW Mission Statement
5.02	Office of Community Service Annual Report 2005–06
5.03	VP's Office for Government, International and Corporate Affairs
5.04	Strategic Plan for Academic Excellence (SPAE)
5.05	Office of Institutional Research - Faculty Demographics
5.06	Office of Institutional Research - Enrollment Demographics
5.07	Graduate Student Grad Survey 2005 - Summary Tables
5.08	GWHP Online Assessment Questions
5.09	MVC First-Year Experience 1999
5.10	Back to School: Rethinking Federal Recruiting on College Campuses
5.11	WLP 2006 Retreat Minutes
5.12	Dean's Scholars in Globalization - Admissions Overview
5.13	Dean's Scholars in Globalization - CCAS Site
5.14	Politics and Values 2005 Course Evaluation
5.15	Cornerstone Survey
5.16	Office of Community Service Web Site
5.17	Office of D.C. and Foggy Bottom/West End Affairs
5.18	Office of Community Service Annual Report 2004–05
5.19	SLAB Report 2-1-07 Final
5.20	Office of Off-Campus Student Affairs Annual Report 2005–2006
5.21	Graduating Senior Survey 2004
5.22	Graduating Senior Survey 2005
5.23	OCS - Awards and Distinctions
5.24	Partnership for Public Service
5.25	Office of Faculty Recruitment and Personnel Relations (FR&PR)
5.26	DC Business Leadership Network Brochure
5.27	Graduating Senior Survey Summary Tables 1998
5.28	Graduating Senior Survey Summary Tables 2006
5.29	Graduate Student Graduation Survey Summary Tables - 1998
5.30	Graduate Student Graduation Survey Summary Tables - 2006
5.31	Office of Institutional Research - Home
5.32	Recruitment and Retention of Women Faculty and Faculty of Color
5.33	Faculty Salaries by Rank, School and Gender - 2004–05
5.34	Strategic Plan for Increasing Retention and Graduation (1998)
5.35	The Strategic Plan for Increasing Undergraduate Retention Rates: Final Report: January 2003
5.36	NSF Broadening Participation for Greater Diversity
5.37	NSF Institutional Transformation Awardee Web Sites
5.38	SASS Self-Study - Preliminary Findings Presentation - 5-1-07
5.39	SASS Self-Study - Preliminary Recommendations Presentation - 5-9-07
5.40	SASS Self-Study - Final Report to Board - May 2007
5.41	National Study of Living-Learning Programs - Summary Results 2004

CHAPTER 6

Working Group 5:
Strengthen GW's Infrastructure

Michael M. King, Chair (Professor and Chair, Department of Chemistry)

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Rob Donaldson (Professor of Biology)
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Scott Pagel (Associate Dean for Information Services, Law School; Director, Law Library; Professor of Law)
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Guy Jones (Chief Technology Officer)
Fred Joutz (Professor of Economics)
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Student and Administrative Services Subcommittee:

Mary Bayliss (Assistant Director, Budget)
Cheryl Beil (Assistant Vice President, Academic Planning, Institutional Research, and Assessment and Assistant Research Professor of Psychology)
Dan Cronin (Director, CCAS Finance and Personnel)
Elliot Gillerman (Undergraduate Student, ESIA)
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SPAE Goal 5: Strengthen GW's infrastructure, including the University's libraries, technology resources, and business and service operations, to support excellence in the academic enterprise.

Working Group 5 examined the topics of research and learning spaces, including the libraries, technology service and capacity, and student support services and business operations at GW. The committee's focus corresponds to the fifth goal expressed in the Strategic Plan for Academic Excellence (SPAE), which is to improve upon the University's infrastructure, including libraries, technology resources, and business service operations. The following questions were formulated to guide the inquiry:

- Are the supply and quality of existing research space and resources sufficient to meet the current and future needs of the University and the goals of the SPAE?
- Are the supply and quality of existing learning space and resources sufficient to meet the current and future needs of the University and the goals for the SPAE?
- How well is the use of technology serving GW students and faculty?
- How well are information resources and the associated infrastructure meeting current needs? What can be expected in the near term and thereafter?
- How effectively are Student Services and University Business Operations meeting the needs of stakeholders?

The guiding questions address the five areas considered in Goal 5. To accommodate common themes and overlapping content areas, the committee developed three subcommittees to address the issues: The Spaces Subcommittee explored research and learning space issues; the Technology Subcommittee looked at technology and learning and technology capacity and capability; and the Student and Administrative Services Subcommittee examined student services and business operations. The consolidation of themes produced two structural changes in chapter 6: Committee recommendations are listed by subcommittee topics rather than the original five areas, and content for a few of the standards' questions are either covered under a different content area or, as is the case with the technology section, the questions and responses addressing the four standards for technology and learning and technology capacity and capability are combined.

Working Group 5 met once as a committee of the whole at the beginning of summer 2006 to discuss the purpose of the project, timelines, and process. Thereafter, the committee functioned as a set of three independent subcommittees, each of which met throughout the fall 2006 term (see Supporting Document 6.121, Appendix 5). The chair of the committee effectively served as the subcommittee chair, though each group had a convener who helped with scheduling. Summaries of meetings, e-mail exchanges with administrators responding to specific questions, and resource materials that were collected during the course of the semester were regularly posted in the e-Room document folders for all to view. Drafts of the sections of the report were likewise posted in the e-Room for review and sent specifically to each subcommittee member. Following presentations to various campus groups in the spring of 2007, several drafts of the report were circulated among the committee members for review and comment.

Research Facilities

Guiding question: Are the supply and quality of the existing research space and resources sufficient to meet the current and future needs of the University and to achieve the goals of the SPAE?

Standard 2: Planning/Resource Allocation

Is the process by which priorities are established for the assignment, construction, and renovation of research space appropriate to the University's mission and attainment of the goals of the SPAE? Who are the key decision makers?

As part of the preparation of a new campus plan recently approved unanimously by the D.C. Board of Zoning Administration, GW engaged in extensive presentations and discussions in a number of venues on the broad goals and recommendations for land use within the confines of the Foggy Bottom Campus. This process was an unprecedented outreach to all stakeholders, including students, the Faculty Senate, University staff, and the neighboring community, and involving a number of presentations and meetings. In addition, a comprehensive Web site was employed to ensure broad participation and explicate all aspects of the plan. It is because of this careful groundwork, thorough consultation with the Office of Planning for the District of Columbia, and outreach that the process worked well and demonstrated the maturity of the institution in its handling of governmental relationships.

Surprisingly, however, during the course of its review on learning and research spaces, the committee learned that the process of space allocation within GW is not as transparent to the broader University community as may have been intended and that the guiding principles behind space-related decisions are not generally understood by all of the GW community. Because GW is such a dynamic environment, it seems imperative that these principles and the processes involved in their implementation be articulated and publicized when space-related questions arise. Discussions with senior administrators clarified the process in a convincing manner and demonstrated for the committee that sound principles were applied to the latest campus plan submitted to the D.C. Board of Zoning (see Supporting Document **6.022**).

In general, allocating space for <u>academic needs</u> at the University begins with the senior academic officers who, in turn, work with the deans to provide input (see Supporting Document **6.023**). The executive vice president and treasurer (EVP&T) and the executive vice president for academic affairs (EVPAA) set the space allocations in motion, and then the schools and deans work out the distribution of faculty offices and classrooms in consultation with the associate vice president for academic planning (AVPAP). The allocation and reallocation of space includes consideration of faculty recruitment plans within the schools and of research proposals. The University has written standards for certain spaces such as offices, though this is not widely known. Space allocations for residential and student support are the purview of the senior vice president for student and academic support services (SVPSASS). Nonetheless, the allocations of specific resources at a detailed level beyond the broad outline encompassed in the campus plan for particular academic uses, student residences, nonacademic administrative offices, and the

libraries remain a somewhat obscure process to the community, as it seems that the decisions generally are the result of discussions among senior administrators in both formal and informal gatherings. Notwithstanding changes that may arise because of serendipitous opportunities, the process within the schools and centrally needs to have greater transparency, with the decisions articulated in an appropriate manner for the entire campus community.

What are the University priorities and time frames for facility building and improvements for the several schools and libraries of the University?

It has been stated that the guiding strategy for the Foggy Bottom Campus is to "preserve as much space for academics and academic support and [for] our students" as may be possible "for the next 10 years" (see Supporting Document **6.022**). Meeting this goal requires moving administrative units from the Foggy Bottom Campus and out of expensive leased space in the city to less expensive quarters or to the Virginia Campus. This goal becomes closer to reality as the University is able to provide more administrative self-service through the Internet from offices relocated to the Virginia Campus. Furthermore, the University is considering additional off-site library storage for books and relocating nonpublic processing operations to the Virginia Campus, thus releasing valuable public spaces at the Foggy Bottom Campus. These ideas are consistent with the goal of preserving the Foggy Bottom Campus for academics.

Standard 3: Institutional Resources

How well has the allocation of resources for research facilities kept pace with the goals of the strategic plan?

Until a few years ago, the Board of Trustees had allocated a yearly draw from the endowment for improvements of academic spaces (see Supporting Document **6.024**). The capital budget process within Academic Affairs distributed those funds to upgrade teaching spaces (e.g., general-purpose classrooms, teaching labs, fine arts and performing arts studios, and seminar rooms in which classes are regularly scheduled) and renovations of research spaces for externally funded faculty or newly hired faculty. Input for the process was solicited from the Columbian College of Arts and Sciences (CCAS), the School of Engineering and Applied Science (SEAS), the Elliott School of International Affairs (ESIA), the School of Business (GWSB), the Graduate School of Education and Human Development (GSEHD), the Gelman Library, and the Mount Vernon and Virginia campuses. This process was critical for addressing ongoing space needs, particularly to support externally funded research programs and to provide offices and research space for new faculty. The loss of flexible funding for space improvements from outside of the regular Academic Affairs budget has created new constraints on available resources, placing greater demands on already stretched budgets and compromising academic quality. Maintaining and enhancing the academic quality of the University clearly depends on deliberate planning processes that engage the entire community and set budget priorities to support the academic goals.

The Foggy Bottom Campus Plan (2006–2025) (see Supporting Document **6.025**) identifies specific sites on campus for academic and residential growth at Foggy Bottom. This plan meets GW's commitment to accommodate its forecast academic and student housing needs on campus. Academic space needs of approximately 1.55 million square feet are forecast for state-of-the-art

research labs, modernized lecture halls, classrooms with integrated technology, and additional space for the Gelman Library. Fourteen sites for academic growth have been identified, but the specific uses on these sites are mostly undesignated. The schools with the greatest academic needs for new or expanded space of this nature have been identified, and the location and size of potential building sites have been evaluated. Student housing needs of approximately 425,000 square feet are forecast for approximately 1,000 new beds. Three sites for residential growth were identified in the plan.

Implementation of the plan is constrained by limited space and limited financial resources and by the need to preserve buildings on campus with historical and architectural importance. GW's ability to meet its growth requirements hinges on balancing these two scarce resources—land and money. An integrated development strategy (accommodating academic and student housing space on unutilized or underutilized sites and developing the vacated former hospital site for revenue generating purposes) strikes this balance. The D.C. Zoning Commission voted in March 2007 to approve the plan, providing the framework for Foggy Bottom development for the next two decades (see Supporting Document **6.026**). The challenge now is to raise the capital to realize the plan.

How well have the quantity and quality of research space kept pace as the University has moved to incorporate greater degrees of research involvement in student portfolios?

Concurrent with the growth of the undergraduate student body, the University's research enterprise has increased dramatically over the past decade, with sponsored program expenditures increasing from approximately $45 million to approximately $132 million (see Supporting Documents **6.016** and **6.017**). In the context of this progress, GW is poised to emerge as a leading research university. GW's rapid expansion has, however, produced substantial challenges for its research infrastructure. Most notably, University researchers require more and better facilities to successfully compete with peer research universities.

These needs have been carefully documented by the Faculty Senate Committee on Physical Facilities (see Supporting Document **6.018**). Its study revealed the following: The sciences occupy approximately 90,000 square feet across the Foggy Bottom Campus (excluding the Medical Center, which has reported adequate research space to meet present needs). This figure is less than half of what is needed, resulting in overcrowded research labs, students turned away from saturated classes, and no ability to grow by hiring more research-active faculty. Dedicated instructional space in SEAS is about 55% of the projected need. The most critical need is for specialized lab space to support team projects that are now conducted in hallways, a non-climate-controlled shed, and an adjacent parking lot. Like that of the natural sciences, SEAS research space is about half of what is needed for the program, limiting graduate student enrollment and research opportunities. The School of Public Health and Health Sciences (SPHHS) shares space with the School of Medicine and Health Sciences (SMHS) in Ross Hall, a building that is now over 35 years old. Space constraints limit SPHHS classes to after 3:00 p.m. Specialized instructional space in GSEHD is about 25% of its needs. Dean Lawrence also discussed Law School facilities in terms of gross square footage, which has increased more than 50% over the past 7 years. However, while significant improvements have been made to the physical plant of the Law School, at 135 net square feet (NSF) per student (see Supporting Document **6.017**), GW

still lags behind when compared with the American Bar Association average of 190 NSF and with peer institutions, nearly all of which have twice the amount of space per student. The list can go on, but the point is clear: The current supply and quality of research and learning spaces to meet current and future needs remain a major challenge for the University.

What additional resources and space are required to meet current and future needs?

One critically important outcome of the work of the Faculty Senate Committee on Physical Facilities was a Faculty Senate resolution passed unanimously in May 2004 calling upon the administration "to make construction of new science facilities the top priority among new academic structures" (see Supporting Document **6.019**). In 2006, University decision makers identified five additional top-priority academic facilities for new and/or expanded space: SPHHS, SEAS, GSEHD, Law School, and SMHS-Cancer Center (see Supporting Document **6.020**). The Faculty Senate has endorsed by resolution a recommendation by the Committee on Physical Facilities outlining priorities for the academic units that will follow once a new science building is constructed and occupied. In that review, SEAS and GSEHD were ranked first and second on the University side, and SPHHS was ranked first on the Medical Center side (see Supporting Document **6.017**). One scenario currently under discussion within the administration calls for construction of a science and engineering complex in the space now occupied by a University parking structure and a second smaller structure. This suggestion may obviate the need for a separate space for SEAS and is fully consistent with the recommendations of the Faculty Senate and the campus plan. As the conversation moves forward to address these critical needs, it will be important for planners to keep both future expansion and flexibility in mind, along with meeting current needs, so as to realize the goals of the SPAE in increasing the scope and excellence of the GW research enterprise.

In addition to the above reports from the Senate Committee on Physical Facilities, the Faculty Senate Committee on the Libraries in its annual report stated that space was also a critical problem for the Gelman Library System (GLS: the Gelman, Virginia Campus, and Eckles libraries) and recommended that the University libraries work together on strategic planning, budgeting, and sharing resources (see Supporting Document **6.021**). Chronic problems of adequate, sustained budget and space needs plague the GLS.

Standard 7: Institutional Assessment

What measures are being used to evaluate the productivity resulting from laboratory space and resource allocations?

The committee was unable to identify the specific means by which productivity changes resulting from laboratory space and resource allocations are measured. Each academic department submits yearly departmental reports to its dean, which includes information on accomplishments, challenges, and obstacles. These reports are filtered by the deans into an annual school report, which is submitted to the EVPAA. It is assumed that these reports as well as the school and GLS strategic plans provide guidance on how effective the allocations have been.

In what ways are these measures being used to guide further investments and reallocations of resources within the resource enterprise?

This question is addressed in paragraph 2 under Standard 2: Planning/Resource Allocation.

What processes are being used to guide the allocation and use of resources for the University's libraries?

This question is addressed below under Learning Space, Standard 7: Institutional Assessment.

Learning Space

> *Guiding question: Are the supply and quality of the existing learning space and resources sufficient to meet the current and future needs of the University and the goals for the SPAE?*

For an urban university in a city with particularly high land values and associated high construction costs, the investment in quality spaces to fulfill GW's mission of research and teaching calls for thoughtful planning and execution. While the SPAE focused attention on the strategic needs for the GLS "to ensure the highest-quality resources for undergraduate and graduate instruction, research, scholarship, and creative projects" (see Supporting Document **6.001**), it is evident that the constraints of space in general have a critical impact on all University activities and therefore ought to be considered alongside the strategic goals of the libraries. Indeed, in order to fully meet University expectations of the GLS, the University needs to appreciate that all issues of University space constraints are interwoven.

Standard 2: Planning/Resource Allocation

Is the process by which priorities are established for the construction and renovation of library, classroom, and laboratory facilities appropriate to the University's mission and attainment of the goals of the SPAE? Who are the key decision makers?
These questions are addressed above under Research Spaces, Standard 2: Planning/Resource Allocation.

Standard 3: Institutional Resources

How well do the University's libraries meet the needs of GW's students and faculty?

Built in 1973 at a time when student learning focused on finding specific information or writing scholarly papers based on research using books and journals, the Gelman Library building and collections now fall short in many respects for current needs, let alone future requirements. Today's students and faculty expect electronic book and journal collections and other full-text resources in addition to print research collections—as well as support for multimedia viewing and presentation, wireless capability, and other IT essentials not imagined over 30 years ago.

Today's students work collaboratively in groups and rely heavily on technology to learn and conduct research. As with all institutions of higher education, it is an ongoing challenge to support these changes within the shifting landscape of the information age and an aging facility.

Library personnel have also become an integral part of the University instructional team, creating new budgetary strains for the Gelman Library. [85] The partnership between faculty and librarians for effective instruction has grown, particularly with the introduction of the University Writing Program (UW20 and Writing in the Disciplines - http://www.gwu.edu/~uwp/), for which the instructional model includes particular roles for librarians. This transformation has necessitated an increase in space within the building for instructional activities as well as both group and quiet study space for the growing student population. It has also required the Gelman Library to seek much of the funding for these changes from outside donors. Furthermore, staffing needs have placed further pressures on collection maintenance, even as inflationary pressures have relentlessly hit this sector of the University budget.

How effectively are GW's classrooms and laboratories keeping pace with enrollment trends and pedagogical innovations implemented by the faculty?

Two issues arising from an almost 49% increase in the undergraduate student body from 1998 to 2005 (see Supporting Document **6.002**) have created significant challenges: the need to accommodate 70% of the first 8,000 undergraduates and 100% of all those above 8,000 in residences within campus borders (as required by zoning restrictions) (see Supporting Document **6.003**) and the need to provide adequate learning spaces, including study space, classroom space, and studio and laboratory space. Many of the stakeholders (faculty and students) report that learning spaces have not kept pace with needs (see Supporting Documents **6.004** and **6.005**), a fact particularly apparent in AY 2004–2005 when the number of "homeless classes" at the conclusion of the first run of the scheduling software reached a new high (191 classes), even delaying the start of preregistration (see Supporting Document **6.006**).

To address the issues of homeless classes and general classroom needs, the Faculty Senate requested a high-level review to investigate the problem. Among the discoveries presented by the ad hoc committee of faculty and staff were the following (see Supporting Document **6.006**):
   1) several time bands were overloaded, particularly for classrooms with capacities of 50 or more;
   2) schools were using preassignments of classes prior to the running of scheduling software to strategically gain prime spaces for faculty regardless of pedagogy or technology needs;
   3) departmental space for labs, studios, and other spaces specifically designed for certain activities was not assigned properly; and
   4) there were several software and staffing issues.

The situation was further exacerbated by the fact that one of the main classroom buildings, Funger Hall, was being renovated at the time, eliminating 13 classrooms. While corrective measures (centralizing scheduling, implementing a new school-level responsibility, and more

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[85] As this report was being written, full wireless access in Gelman Library was completed, and the offices of Academic Technology and Information Systems and Services have both placed support staff in Gelman-donated space to serve students.

completely utilizing the University's scheduling software[86]) have been undertaken, the ad hoc committee noted that the problem goes beyond whether all scheduled courses can be placed into classrooms. According to the report, "already in 2002, approximately half of all undergraduate sections closed before classes began. Given the increased burden on smaller, upper level classes, students very likely will have difficulty completing their academic programs as planned. This is a serious situation that cannot be ignored by a private university in the tuition niche GW occupies. If course sections are added to alleviate this problem, there will be an increased strain on classroom availability." [87] In September of 2006, the AVPAP described the general-purpose classroom inventory for 2006–2007 as having 135 classrooms at the Foggy Bottom Campus and 25 at the Mount Vernon Campus. This pool of classrooms has been significantly enhanced by the addition of 24 general-purpose classrooms that were completely renovated and reconfigured for the start of the 2007–2008 AY as part of the Monroe and Hall of Government renovation project. With the exception of several basement rooms in Monroe and three rooms on the first floor of the Hall of Government, which were not part of the project, all of these classrooms will eventually have some technology enhancements when the project is fully completed. An additional view, raised in several forums, is that with this enhancement of the classroom inventory, it well may be time for the University to review the current set of scheduled time bands (see Supporting Document **6.007**).

Certain specialized classroom needs, such as space for the teaching of science and the arts, are critical. Anecdotal evidence indicates that for some time now, students have been closed out of laboratory sections, which are fixed in size because of limits of capacity (see Supporting Document **6.012**, slide 16). Outside of the renovation of the Acheson Science Building on the Mount Vernon Campus (see Supporting Document **6.008**), no additional laboratory capacity for teaching was provided to serve the increased number of undergraduates enrolled during the period from 1998 to 2005 or to compensate for the limitations imposed by new safety requirements (see Supporting Documents **6.009** and **6.010**). The situation is similar for other dedicated, specialized instructional spaces, including spaces for the performing arts.

The adequacy of study spaces to meet the growth in the undergraduate student body has also been a particular irritation among students, who are unable to utilize their residential space for the disparate types of assignments now called for in a vibrant educational environment (see Supporting Document **6.012**, slide 18). Some study space outside of their residence hall rooms, primarily in the form of study lounges, is available in a few of the halls, such as Ivory Tower and Potomac House, while in others (e.g., Fulbright, Crawford, and Lafayette), the areas are a combined TV lounge/study space (see Supporting Document **6.013**). Space surveys in the Gelman Library have shown significant taxing of the spaces set aside for individual and group study and research (see Supporting Documents **6.014** and **6.015**). The crowded atmosphere creates a tension between individuals who are doing research with the materials in the facility and those in need of either quiet or group study space. To help to ease the pressure, the University has been making classroom and collaborative spaces available in academic buildings when they are not scheduled for classes or organized events. Students need only contact the

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[86] The registrar is selecting new scheduling software, which is expected to ameliorate these issues.

[87] In order to address the concern noted by the ad hoc committee, the University has been working on adjustments to classroom time bands and making greater use of the facilities located at the Mount Vernon Campus. These changes have helped to alleviate some of the strains that the ad hoc committee noted in its report.

Academic Scheduling Office to reserve a room, but apparently they are not fully aware of this process. Greater promotion of these opportunities would help.

Recent practice has been to charge departments and schools a "rental fee" for the use of classrooms to hold academic seminars and colloquia (see Supporting Document **6.011**). Such fees are intended to help offset the cost of technology support, maintenance, and replacement, including the costs associated with having support staff available outside normal working hours. However, this practice is anathema to the core purpose of an academic institution, discouraging sponsors from holding such events or forcing units to "hide" uses to avoid fees paid from tight departmental budgets. Technology should have its own sustainable budget and not depend on "reallocations" through fees for its operations. Rather than charging fees for using University space to hold seminars and colloquia, the University should be encouraging units to do more by simplifying the process and aiding in the logistics of bringing scholars to campus.

Standard 7: Institutional Assessment

What have the yearly evaluations of the Gelman Library System revealed about the libraries' collections and services? How are the results used to enhance the GLS?

While the Gelman Library System has received both special allocations and regular funding increases for collections from the University, overall regular funding for library collections has not kept pace with inflation (see Supporting Documents **6.027** and **6.077**).[88] Consequently, the GLS is increasingly challenged to sustain existing programs and core undergraduate needs while trying to find resources for emerging University priorities. As a result, it has become necessary to reallocate funds from operations and turn to outside fundraising to close the gap in support for both collections and emerging program priorities. With support from the GW central development team, Gelman's development office continues to be aggressive in finding opportunities to close the collections gap. Stable, predictable budget increases will avoid the disruption of collections that occurs when special allocations lead to purchases of subscriptions that must subsequently be canceled, when the allocations are not sustained.

In spite of the incredible expansion of the availability of electronic resources from approximately 2,000 electronic journal titles in 2002–2003 to over 28,000 in the spring of 2006 by the GLS (see Supporting Document **6.028**), the quality of the collections continues to slip relative to its market basket of research universities. Data from the Association of Research Libraries (ARL, 2003–2004) indicate that GW remains at the bottom of its market-basket group for collections expenditures. Moreover, GW remains in the top 10 of "total items" borrowed from other institutions, reflecting the institution's inability to meet all the core needs of students and faculty from its libraries' collections (see Supporting Document **6.029**). These data are consistent with Gelman's borrowing record. While consortium and interlibrary borrowing is intended to

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[88] With the initial writing of this report, GW libraries' collections funds were projected to reach the midpoint of the market-basket school expenditures by 2012. Since that time, with updated ARL data, projections now indicate that GLS has actually fallen further behind the market basket with an average increase of 7.37% compared to the market basket increase of 8.79%. If funding continues as projected, GLS is not projected to reach the midpoint of the market basket in the foreseeable future [*updated ARL comparison for Middle States Sept 07*].

supplement collections for researchers, the high level of borrowing by the GLS indicates that GW is instead relying on consortium partners to fill core requirements for the GW community. This consistently high record of inequitable borrowing strains the consortium relationships, will very likely result in future increased membership fees, and affects the library's ability to deliver materials to its clientele in a timely manner. Part of the strategy of the GLS has been to focus resources on staffing in order to provide access to information through efficient borrowing and the use of commercial document suppliers, since the funding for collections has not generally been adequate to support all University programs. A preferred alternative posited by the library would be to raise the funding level of collections to meet the market-basket average by 2013, which would require an average annual increase of 10.3% (see Supporting Document **6.027**).

Collection space at the Gelman Library is in a critical state, and seating appears to be at a premium (see Supporting Document **6.012**, slide 18). Although the Gelman Library has routinely sent less used research materials to the Washington Research Library Consortium offsite storage facility, the current structure is projected to be at capacity by the end of 2007.[89] Beyond that time, shelving capacity for collections in the Gelman Library will not allow room for the approximately 20,000 volumes purchased annually. Facilities within the libraries are also needed to house rich and increasingly unique research and special collections that have been donated or that the University has been able to acquire and to digitize important holdings to make them readily available to GW students and faculty, as well as to researchers around the globe, thus raising GW's visibility and stature in research communities.

How well have the renovations to the libraries supported the work of students, faculty, and staff?

The Gelman Library has seating space for approximately 1,450 students. Although the library provides additional seating for 181 at the Eckles Library at the Mount Vernon Campus, this seating capacity is less than one half of that recommended for an academic library, according to standard measures adopted by the Association of Research Libraries[90]. The need for additional seating/study space in the Gelman Library is further supported by the LibQUAL+[91] survey results from 2006 (see Supporting Document **6.015** and **6.012**- slide 18), which revealed that quiet study space and group study space did not meet the minimum expectations of either undergraduate or graduate students. Although continuing renovations of the Gelman Library building have seen the creation of three dedicated electronic classrooms since its opening, a major renovation effort and additional space are needed to support the current and future needs of a research university. An immediate step to alleviate the unacceptable space constraints

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[89] Although plans for the expansion for the WRLC storage facility have been discussed and expensive temporary arrangements to use a second facility have just been arranged, a permanent expansion of the WRLC storage facility is at least 3 years away. Moreover, current anticipated rapid growth of special collections to support the University's increased emphasis on research will require an even larger portion of any new, shared storage facility for GW's libraries.

[90] *Planning Academic and Research Library Buildings*, by Philip D. Leighton and David C. Weber, 3rd ed., 1999, Chicago: American Library Association,.

[91] LibQUAL+ is a national Web-based survey administered by the Association of Research Libraries (ARL) in collaboration with the Texas A&M Libraries. The survey seeks to measure library user perceptions and expectations.

affecting Gelman would be to relocate a number of non-library-related functions (e.g., classrooms, faculty offices) that are housed in the facility as part of the University's effort to grapple with its growing pains. In addition, the library must address the issue of collection digitization, which has been the subject of intense debate within the library for some time. Although GW has made progress on electronic storage of documents, the GW libraries have not been able to move forward aggressively in their own right with conversion to electronic resources. In part, this is because they have been unable to take advantage of package deals and "bundles" of electronic content owing to the uncertainty of budget increases to cover inflation.

It is important to observe that the GLS engages in continuous assessment of its services and collections and carefully integrates those assessments into a rigorous strategic planning process that is tied to staff and resource allocation (see Supporting Documents **6.030**–**6.032**). However, the shifting landscape of the library's mission, tight budgets that increasingly affect collection maintenance, and a space crunch for people and materials are continuing challenges that affect planning. The University must address these issues in order for the library to be able to maintain and expand its support for the research aspirations of the institution.

Working Group Recommendations for Research Facilities and Learning Spaces

- The University should invest in the building priorities for research and learning as outlined by the Physical Facilities Committee of the Faculty Senate as soon as feasible within the constraints of zoning requirements and available funding resources.

- The Physical Facilities Committee of the Faculty Senate or another cross-functional advisory group should participate at the initial stages of strategic campus planning to promote academic goals and a greater transparency in the planning process.

- A plan for additional space beyond the present capacity of the Gelman Library for collections and library functions is needed.

  o The process of removing non-library-related operations from the Gelman Library building should be expedited in order to meet current demands for information resources, instructional activities, and study spaces.

  o Long-term University plans should include an addition to and remodeling of the Gelman Library.

- A strategy that takes account of the special opportunities available in the area should be developed and funding allocated for collections for the Gelman and Himmelfarb libraries to bring their resources to a level commensurate with peer research institutions .

- Classrooms should be made more readily accessible to students as study spaces at all times, especially during final exams, when they are not in use for scheduled classes, provided appropriate security is in place.

- Resources outside of the Academic Affairs budget should be set aside each year (similar to the Classroom Endowment Fund of previous years) to continue to transform and improve spaces needed to meet academic priorities, including general and special learning and research spaces.

- The units responsible for supporting the use of technology for academic purposes should be funded at an appropriate level so that the practice of charging "rental fees" for academic programs such as colloquia and seminars may be discontinued.

Technology

Note: For the purpose of this discussion, IT is intended to encompass all aspects of information technology as it affects the University's mission of teaching and research, including networking, data management, software, and classroom technology.

Guiding questions: How well is the use of technology serving GW's students and faculty? How well are information resources and the associated infrastructure meeting current needs? What can be expected in the near term or thereafter?

Introduction

As the close of the 20th century approached and Y2K loomed, the University hired a consultant to review its information systems and technology strategies. For an institution aspiring to top-tier status, the infrastructure supporting its technological needs was woefully behind (see Supporting Document **6.033**). The network consisted of 2,200 slow, shared copper connections with Internet connectivity at 3 Mbps and none to Internet2 (see Supporting Documents **6.034** and **6.035**). There was no centralized e-mail service; old mainframe systems used character-based or proprietary thick clients and housed administrative systems from which it was hard to get information. There was no central help desk or e-mail support, training was slow, and there were serious concerns regarding system protection and continuity. The tape backup system at this time required an estimated 2 months to full recovery after a disaster.

GW undertook an aggressive program called the Millennium plan (see Supporting Document **6.036**) to bring the University systems and system architecture forward to meet the information and technology needs of a top-tier university. Through strategic decisions and investment over a 5-year period, funded by special allocations from GW's endowment, the University built a robust network and moved its major data center to the Virginia Campus, where a state-of-the-art facility houses its major computing systems. The goal of the Millennium networking project was to bring ubiquitous connectivity to all faculty, staff, and students. Specifically, each faculty and staff member with a workspace would be provided with at least one network connection and one telephone connection. The goal for residence halls was to provide a network and telephone connection for each student (where often there had been none). Rather than simply wiring the University with traditional copper cable, the plan called for wiring computers in the University with fiber-optic cable from the central hub all the way to the computer. The increased network

bandwidth has allowed the University to work with exciting new Internet applications like streaming video and will enable the University to meet future technology demands. Additionally, the Millennium plan funded a faculty workstation initiative (see Supporting Document **6.037**) and an Instructional Technology Lab (see Supporting Document **6.038**), setting the stage for technology-driven pedagogical innovations.

By the time the SPAE was in place, the University had converted to a fast fiber system with about 15,400 connections. Connection to the Internet was at 1155 Mbps and to Internet2 at 155 Mbps.[92] The Enterprise e-mail service was handling 3 million messages per week with many large attachments. Enterprise systems had moved to thin Web-based clients, providing self-serve ability for the user community with easy, on-demand access to information, and a service Help Desk was created with REMEDY-based problem tracking (REMEDY is an IT Management software ticket tracking system for service desk and IT operations), logging 4,000 calls/e-mails and 90,000 Web queries per month. These enhancements represented enormous changes and raised even greater expectations among stakeholders (see Supporting Document **6.034**).

Security, Continuity, and Sustainability

Particularly in the post-9/11 period of heightened concerns over information security, sustainability, and continuity, GW's Board of Trustees has mandated redundancy and security in a highly protected manner (see Supporting Document **6.039**). This decision led to the establishment of a system architecture that is the envy of many other universities and organizations. For example, in 2003, ISS earned an honorable mention from *Computerworld* and the Distributed Management Task Force for "Best Practices in Enterprise Management" in the "Security/Risk Management" category. Again in 2006, ISS was recognized twice by *Computerworld*'s "Best Practices in Storage (Business Continuity)" award program as an honoree in spring 2006 and as a finalist in fall 2006 (see Supporting Document **6.040**). This significant investment in system architecture and security has meant that the University's systems capacity is both broad and deep and, at the same time, adaptable to continuing needs in the foreseeable future. Most important, given the nature of the University's enterprise system, the major focus has been to ensure continuity of operations within hours, not days, to full operation in the event of any significant disruption. Highlights of this plan (see Supporting Document **6.041**) include duplicate data centers with split production (many miles apart) and redundant data kept off-site with automated backups. Extensive testing has demonstrated that all enterprise systems would be in full production within 24 hours of a disaster, while critical applications would be online within 2 hours. In effect, the University has moved forward aggressively to a highly competitive IT network that is secure and sustainable and retains available capacity to meet the demands of an information-hungry, technologically savvy community.

Enterprise and "Departmental" Systems

Concurrent with the system architecture improvements have come important enterprise application changes (see Supporting Document **6.048**). The University introduced a new financial application system (Enterprise Accounting System (EAS)) and undertook several major

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[92] Internet connections now total 1.4 GB and Internet2 totals 1.0 GB.

vendor-required upgrades of the enterprise information system (BANNER). During the same period, GW brought up GWeb, the Web portal to the University, and invested in the development and implementation of a data warehouse (starting with a Student Data Mart). These enterprise applications have been critical to the expressed University goal of making more information accessible to the user community online and providing greater levels of self-service for the community. While consultants and external vendors were once at the core of running these operations, the University made the strategic decision to take over the management and support of these applications in-house and built its own personnel team (Information Systems and Services (ISS)) to manage and run the enterprise-wide applications. By and large, this strategy of creating an internal IT management and operations team has been highly successful.

In recent years, vendor upgrades to the enterprise systems have seemingly become more frequent, forcing ISS to allocate resources for numerous upgrades and pressing the user community into a mode of continual testing (see Supporting Documents **6.049** and **6.050**). Clearly, some changes are necessary to address federal requirements and make enhancements that users request. In other instances, however, these major upgrades increasingly appear to add less value with each iteration. Nonetheless, the institution must stay current with its systems in order to maintain vendor support; otherwise, GW pays a steep price when unsupported systems fail. The result of these upgrade cycles is a resource squeeze, limiting the University's ability to move forward with other IT projects or system initiatives. Potentially important initiatives have been delayed or abandoned because required resources were not allocated to them. The University should consider taking the lead with other institutions in slowing the vendor-mandated upgrades, particularly when there is little value added for such changes and upgrades.

As the University moves forward with its goal to empower the community and achieve higher efficiencies by making more business and service operations self-service, there will be a greater need for what ISS has termed "departmental systems" and their support (see Supporting Document **6.051**). Students, staff, and faculty also want more self-service capability, making departmental systems increasingly important. Current departmental systems include library, parking, Harris directory, Apply Yourself, scheduling, registration, housing, and development; the varieties of departmental systems will grow. Unfortunately, there has been a history of frustration within the community, leading units to decide on their own to invest in incompatible systems that ultimately prove costly to replace or integrate with GW's existing architecture. Sometimes a more global solution is actually better and cheaper in the long run. Better decision-making processes may avoid these missteps by facilitating earlier discussions and garnering the support of University leaders, who sometimes countermand requests because they have not backed a particular priority or who occasionally do not provide the necessary feedback on why decisions are made. A new mechanism is being developed for defining projects and getting them on the project list, which will help in moving projects along in a strategic way. Clearly, the number of departmental systems will grow in importance and will require attention now to ensure appropriate levels of planning and resource allocation.

Academic/Classroom Technology

In April of 2001, an ad hoc Committee on Strategic Planning for Academic Information Technology (SPAIT) was commissioned by the EVPAA (see Supporting Document **6.058**).

Taking into consideration recommendations from the University's academic technology community, the committee produced a report featuring guidelines for using information technology effectively to enhance education and research at GW (see Supporting Documents **6.059** and **6.060**). The goal was to set a visionary modernization plan for GW's academic technology infrastructure (see Supporting Document **6.061**) in motion. In order to maintain a competitive edge in the realm of 21st-century technology, it is essential for the University to provide outstanding academic technology services and support to faculty and students. The ever increasing sophistication of current technology and its users required a more fluid convergence of audiovisual and computing equipment in the existing technology classrooms. To respond to the growing number of technology classrooms and classroom utilization hours, as well as the development of new and innovative teaching methodologies, Academic Technologies (AT) created a new model for technology classroom design and operation, which has really moved the University forward with respect to pedagogical capability.

In 2001, AT supported 122 general-purpose classrooms, of which only 17 were technology-enhanced classrooms (see Supporting Document **6.062**). These classrooms had a variety of deficits to be addressed, including legacy equipment, outdated software with no common platform on resident computers, no life-cycle replacement plan, no consistent standards, lack of operational policies and procedures, and a lack of staffing resources to appropriately support the growing demand for further integration of technology into the traditional university classroom. As of February 2007, AT was supporting 147 general-purpose classrooms on the Foggy Bottom and Mount Vernon campuses, 83 of which are technology-enhanced classrooms. AT also maintains and supports nine technology-enhanced classrooms on the Virginia Campus. This has been a remarkable transformation in the face of genuine budget constraints and speaks well for the planners who were involved in the process.

Resident equipment in most of these classrooms includes custom AMX touch-panel systems, enhanced audio systems, motorized display screens, DVD/VCR players, IP-addressable LCD projector(s), resident PCs with monitors, document cameras, laptop connectivity, Internet access, security devices, and power conditioners (see Supporting Document **6.063**). The configuration of these devices enables AT staff to remotely monitor the status of the equipment and assist faculty who experience difficulty with the equipment. In addition, AT maintains a wide array of portable equipment for use in nonequipped classrooms.

Wireless

In 2001, wireless networking at GW was just beginning to emerge as a service, rich with opportunity and fraught with challenge. Thanks to the robust wired networking available to many campus buildings and residence halls, individuals were creating "mini-wireless" networks by plugging ad hoc wireless routers into campus network nodes. The Gelman Library was the first area to start championing ubiquitous wireless networking, but even Gelman was running its own, nonstandard network. In fall 2002, ISS created a new campus wireless service, "GWireless," intended to coordinate ad hoc wireless nodes and bring a standardized, secure environment to GW (see Supporting Document **6.078**). This new standard was first introduced in the Gelman Library; it required signing on to a virtual private network (VPN) client to access the network by making a secure, encrypted connection from the user's wireless device to the network (see

Supporting Document **6.079**). This basic scheme for networking is still in place and has become a widely used service in a number of key campus areas. For example, the Mount Vernon Campus has become totally "wireless," and GWireless is even beginning to serve a few campus residence halls. However, as more students come to campus with personal laptop computers, the gap between provision of service and provision of user support will widen unless more comprehensive support services are in place. Fortunately, it is our understanding that plans have been drawn up to address this gap.

Although wireless networking at GW is very strong and secure, it is not ubiquitous. Guest access is by strict event-based decisions, and the VPN often introduces challenges that prevent even seasoned users from gaining consistent access. What the University enjoys in robust networking bandwidth and highly secure wireless transmissions is balanced by compromises in ease of use. Certain requirements are necessary to make GWireless a very secure service, and these call for users to have considerable technical knowledge. As of this writing, there is not yet a campus standard for wireless support on the user side, meaning that providers of GWireless on campus do not operate through one single service point or organization for wireless troubleshooting services.

Standard 2: Planning/Resource Allocation

Is the process by which priorities are established for the deployment and support of technology appropriate to the University's mission and attainment of the goals of the SPAE? Who are the key decision makers?

How are stakeholders (students, faculty, and administrators) engaged in the process of determining, allocating, and managing academic and administrative technology resources to support the University's mission? To what extent do the administrative and academic technology units collaborate in strategic planning?

With a growing appetite among the user community for more tools and increased access to the information, GW was faced with strategic choices in setting priorities for IT needs. In 2002, two cross-functional committees, a Research and Instructional Technology Committee (RITC) (see Supporting Document **6.052**) and an Administrative Information Technology Committee (AITC) (see Supporting Document **6.053**), were established to help give voice to the user community and develop strategic priorities (see Supporting Document **6.054**). An executive IT Committee consisting of the EVP&T, EVPAA, AVPAP, and CIO appoints individuals to these committees and remains in communication with each committee through its chair (see Supporting Document **6.055**). RITC has as its domain research computing, instructional technology, and policies associated with these two areas. The administrative committee, AITC, has enterprise-wide and departmental administrative applications and associated policies as its province (see Supporting Document **6.056**).

In principle, these committees, representing the full range of the user community, serve to assess needs, review policies and priorities, and recommend strategies and goals. But in fact, these roles have often been thwarted by a breakdown in partnerships among the IT Executive Committee,

the IT community, and the users. While extensive reports have been provided regularly to the cross-functional committees detailing the terrific accomplishments that have been taking place at GW, managers and constituents have not felt a full partnership in developing priorities. Needs assessments are not seen as timely, so instinct and territorial divide become the driving forces for many decisions at the highest levels. Some users have expressed concern about the large investment in the academic technology that was installed in the late 90s and early years of this decade (e.g., video on demand, hard wiring to classroom desks) and sleek IT and software that has not been optimally used, while more modest needs remained unfilled (e.g., software licenses for classes, courseware needs, or document storage). Fixes to applications or particular user needs that are not championed or appreciated at the highest levels seem as though they are not reviewed and thus remain unmet (e.g., end-of-year rollovers, audit programs for graduation clearance).

Regrettably, the AITC was informed that the IT executive committee would set strategic priorities and report them back to the committee rather than the reverse (see Supporting Document **6.057**). This top-down approach represents a change from the paradigm of a 2000 ISS Strategic Planning group and does not reflect the genuine desire of that committee of stakeholders to assess needs and establish priorities. Concurrently, faculty have abrogated their role in strategic decisions on academic technology priorities by passively deferring to others such as the Center for Innovative Teaching and Learning (CITL) or AT, rather than make an extra effort upon themselves. This tendency to defer is strengthened by the professional access of CITL and similar groups to presentations at EDUCAUSE meetings and published reports in the IT literature. However, the University is not well served when users allow themselves to shy away from the discussions and decision making. This imbalance between users and professional staff could lead to resource allocations that are not fully in line with actual user needs.

These dysfunctions create an air of distrust among the users, the ISS/IT professionals, and the decision makers, all of whom are genuinely focused on institutional goals but worried from their perspectives about the best use of institutional resources. Further complicating the matter of IT governance and resource allocation: an overzealous, highly conservative perspective on matters of compliance; aggressive, external auditors who lack an appreciation for the mission of the University; mandates by the highest levels of institutional governance, whose full appreciation of academic needs has been filtered through several levels; mounting financial challenges that drive decision making; and continuing communication deficiencies between stakeholders and professionals. These challenges can be addressed by developing and maintaining true partnerships with clear roles for the committees in determining needs and setting priorities and through the committee service of engaged users who represent broad constituencies, not parochial interests.

Standard 3: Institutional Resources

Are the resources allocated to academic and administrative technology meeting the needs of the University's students, faculty, and administrative staff? How well are the school-based vs. centrally administered technology support approaches providing the support students and faculty require? How has the balance of resource allocation among all forms of technology and the remainder of the enterprise been achieved?

Notwithstanding the exceptional achievements stated above, there have been continuing IT challenges. An important information security policy adopted in 2004 (see Supporting Document **6.042**) required that academic deans and nonacademic department heads furnish staff with appropriate qualifications to provide technical support for all department staff, faculty, and public resources such as computing labs. A separate local support partner (LSP) policy (see Supporting Document **6.043**) recommends at least one full-time equivalent (FTE) technician for every 100 FTEs or devices supported.

However, no funds were forthcoming for the LSPs when the security policy was adopted, challenging the schools to budget LSPs by reallocating existing funds from other programs. This policy guideline represents an uncoordinated funding among centrally supported activities, local needs, and the resources to accomplish tasks. For some schools, LSPs are often a weak link and cause for frustration on all sides, as there are too few LSPs to handle the multiplicity of issues, and they are overtaxed and inadequately trained to handle the breadth of needs. Other schools were able to leverage resources to partner with ISS for the services of LSPs, and that support is apparently more robust. Unfortunately, it is also the case that the LSPs are often asked to handle the most minor of issues because of a dearth of client (staff and faculty) training and capability.

One of the most fundamental of IT tools has been e-mail (see Supporting **6.044** and **6.045**), which has grown in use at a phenomenal rate at GW from 3 million e-mails per week when the SPAE was introduced to 3 million e-mails per day at the start of 2007. GW, like other institutions in higher education, has experienced the enormous value of this tool, while coping with the increasing demands on the infrastructure supporting it. More users, increased daily traffic, and the growth in attachments are some of the pressures on the infrastructure. The primary challenge has come, however, from the tremendous increase in spam and constant pressures from virus-laden attachments. GW has handled e-mail services exceptionally well through improved spam and virus filtering appliances to ensure the community is not overwhelmed by this malicious traffic. The University has also managed an increase in available disk storage into the terabyte range and has absorbed the increasing costs of the infrastructure within the ISS budget because of falling disk prices. At this stage, however, cracks are appearing. Quota limitations have driven students to external vendors, which offer free mailboxes with higher quotas than the current allocations of 20 MB for students and 50 MB for faculty and staff (see Supporting Document **6.046**). Limitations on attachment sizes (recently raised to10MB) were also an increasing hindrance, though the landscape continues to change. In addition, the community does not appreciate that e-mail is an inefficient storing mechanism, and the growth in demand for larger e-mail quotas has largely resulted because individuals are using it for storage of files and documents. E-mail systems are not optimized for storage or searching, and the University is seeking to create options for individuals to store and share large files outside of the e-mail system. As noted in a recent EDUCAUSE Center for Applied Research (ECAR) paper, the paradigm is shifting (see Supporting Document **6.044**). Emerging options, including outsourcing, that include service improvements and cost reductions are becoming feasible and should be considered.[93]

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[93] ISS is currently investigating the feasibility of outsourcing student e-mail.

The core of the current University business and service three-tier model (see Supporting Document **6.047**) is to move more services to self-service via the Web, requiring ubiquitous access for the community. However, since the conclusion of the Millennium project, ISS brings the service to the wall only, requiring customers to pay for the access and for operations. From the wall to the desktop or wireless hubs, the client pays a monthly fee from operating budgets that have held steady for years, while the cost of service has increased. As a consequence, in order to maintain or increase operations, departments must take funds from other expenditure accounts. The system is quite different for facilities-related matters, where University schools or departments pay for installations but then are not charged from their fixed operating budgets for the electricity or water they consume. While the analogy may not be exact, it illustrates a perception among users that leads them to question why the provision of technology resources is based on such a counterproductive budget model. The committee appreciates that the fixed costs of operations and maintenance must be met, but the present system is based on reallocation within the institution, which might be arranged in other ways. The committee recommends a new budget model be considered, particularly if the expectation is for greater use of paperless, Web-based business practices.

Another recurring theme that affects all forms of IT at the institution is the matter of financing maintenance and replacement of IT and academic technology. As new buildings come on line with appropriate technologies and classroom enhancements, the purchase of equipment is built into the base cost. What is not provided in full is the increase in staff to maintain and support the new equipment or the funding for needed consumable parts or eventual replacement of the equipment. While a relatively modest problem now, maintenance and replacement are growing concerns as equipment use grows and as equipment ages. The life span of all of IT (systems, classrooms, etc.) is very short, so it is sensible to begin planning for replacements now.

In addition, no central budget has been established for GWireless networking in public areas, including lobbies and student lounges in academic buildings. The question of who pays remains unanswered. As an example, the Gelman Library paid for its own wireless infrastructure upgrade in summer 2006, but the upgrade was managed by ISS contractors and staff. The evolution of simple-to-use, yet highly secure wireless networking is ongoing. The success of wireless access campus-wide will be hampered as more individual groups are required to fund centrally provided services, creating an uneven environment of networking "haves" and "have-nots." A coherent and transparent policy or plan that addresses standards, distribution, support, and funding is needed now before more resources are expended.

Standard 7: Institutional Assessment

What tools are in place to assess the extent to which the resources invested in academic and administrative technology are yielding viable returns on the investments? In what ways are the results of assessments being used to improve technology services and guide future investments?

How well is GW's investment in academic and administrative technology contributing to the University's mission?

The faculty's use of basic instructional technology in the classroom is at an all-time high, reflecting an increasing IT sophistication by GW's instructional staff. A December 2006 survey of faculty (with a 28% response rate) revealed significant numbers of faculty using or planning to use LCD projectors, resident computers, or their own laptops, overhead projectors, DVDs, Internet connections, etc., though few are using or intending to use student response systems, course collaboration tools, or content capture (see Supporting Documents **6.064** and **6.065**). This survey of usage may reflect an understanding of the tools by the faculty as a whole but should also serve as a valuable guide to expenditure priorities for the near future. Drawing from these data, it may be appropriate to set priorities for certain AT expenditures while addressing other, more pressing needs. GW is also fortunate to have a highly cooperative relationship between AT (CATS) and ISS, which results in periodic shared resources and economy-of-scale opportunities.

The development of classroom design standards and policies for all general-purpose classrooms, including standards for new construction and existing classrooms, has provided a more consistent framework and user experience in the technology classrooms (see Supporting Document **6.063**). For example, the custom design of the lectern housing the AV and IT equipment, which has a universal touch-panel interface found in all technology classrooms, provides a consistent platform for faculty across the University. With uniformity in the platform, faculty require less time to acclimate to systems in different venues. As a result, calls to the AT Solutions Center requesting "emergency" technical assistance in the classrooms have decreased each year. In addition, AT has implemented a sophisticated remote monitoring system consisting of application tools that allow staff to log in to all technology classrooms from a remote site on campus and determine whether equipment is turned on, functioning properly, or needs preventive maintenance. The system also acts as a security monitor, alerting staff if a projector is unplugged from the network or removed.

All faculty members who wish to do so can get technology training (see Supporting Documents **6.066** to **6.069**). However, many faculty members seem to avoid attending training, which limits AT's ability to meet its goals for equipment maintenance. As a corollary to one-on-one training sessions, the AT Web site offers Adobe Flash tutorials (see Supporting Document **6.070**) and printable versions of equipment documentation in each technology classroom. In addition to self-guided tutorials, the newly updated Web site has equipment request and inquiry forms. As a courtesy to clients, the site also links to technical and educational resources outside of AT, with the goal of empowering individual users to successfully incorporate technology into their teaching. A more aggressive public relations campaign may be needed to acquaint more faculty with these resources. Regrettably, while resources are available for training in new pedagogical approaches and tools, academic units are expected to pick up the costs of production of materials for such technological innovations.

A significant technological improvement for the academic community was the rollout of the course management system Prometheus in 1998. Prometheus was developed in-house and quickly became quite popular at GW. In January 2003, GW sold Prometheus to the commercial

group operating the course management system Blackboard, which is now the universal standard at GW (see Supporting Document **6.071**). The share of course materials made available for student use on Blackboard has grown from 33% to 50% from fall 2004 to fall 2006, with over 93% of the student body enrolled in an activated Blackboard course (see Supporting Document **6.072**). This tool has contributed significantly to communication and learning at the University, perhaps even more so than many of the other academic technology enhancements that have been introduced in recent years. One of the challenges requiring review, however, is the matter of upgrades by the vendor, which are often not fully vetted with users and cause disruptions. A good model to consider is the way in which the Banner User Committee works with ISS staff and users to test and implement upgrades with the least disruption to the University. Another challenge is that the current ASP (application service provider) services for which the University contracts with Blackboard are nearing capacity (see Supporting Document **6.073**). An upgrade to these services, which would also include a staging environment to allow for simulations of production, will be required in the near future. It will be essential to allocate funding for these necessary services, perhaps requiring that other IT initiatives be postponed in order to cover costs.

A December 2006 report from the EDUCAUSE Center for Applied Research (ECAR) (see Supporting Documents **6.074** and **6.075**) described its latest evaluation of undergraduate students and information technology based on a cohort of almost 29,000 students at 96 institutions. Most of the students were enthusiastic users of IT, relying on it to support their academic needs but still preferring only a moderate amount of IT in their classes. According to the report, the greatest value of IT came in course management systems (e.g., the Blackboard Learning System), which provide a strong communication link and access to resources. Across the demographic spectrum, respondents agreed that a course management system helps them to communicate, collaborate, learn, engage, conduct research, get feedback, and control course activities. ECAR reports that IT is also a powerful socializing and recreational tool, with students well versed in e-mail, instant messaging, and social networking. However, students noted some concerns: Instructors need additional training, students want to learn more about the productivity tools they are expected to use, and students worry about the expense of equipment.

Standard 14: Assessment of Student Learning

In what ways are assessments of student learning linked to the planning for enhancements in instructional technology deployment and support? How have changes in academic courseware and classroom and library technology affected student learning? What are the outcomes that have justified the investments?

In 1999—2001, the Academic IT Advisory Council, predecessor to the RITC, tried to evaluate the value of academic technology through the use of case studies. The objective was to demonstrate that the expenditure of funds for technology-rich settings has made a quantitative and qualitative difference in learning and research. However, this suggestion was never fully played out.

At the present, the best estimation of assessment activities suggests that there has been only limited assessment at GW of the linkage between technology enhancements and improvements

in the learning process. Much of the data the institution relies on are anecdotal or from other institutions. In 2005, the Office of Academic Planning and Assessment, together with the physics professors teaching introductory Physics I and II and Astronomy I, launched a year-long assessment of the effectiveness of RxShow (Respondex) and CAPA, a course content tool created at Michigan State that is used to design and grade randomized homework problems (see Supporting Document **6.076**). Overall, students thought that RxShow was moderately effective in helping them learn concepts. Moreover, there was a strong correlation between students' positive view of Respondex as a teaching tool and their grade in the course ($r^2 = .31$). Students were more enthusiastic about the use of CAPA as a learning tool, citing such features as the opportunity for multiple attempts to solve problems and the instant-feedback feature. Furthermore, there was a strong correlation between the instructors' use of CAPA and students' grades in the course ($r^2 = .34$). An earlier study of the RxShow system was intended to do an outcome assessment of sections of the same class with and without the use of the system, but apparently that assessment was never completed.

The use of appropriately crafted case studies and focused survey instruments, as well as studies by students who are interested in researching the effectiveness of technologically enhanced learning, should be revived as GW continues to evaluate the effectiveness of technology enhancements. Before moving too much further with the significant expenditures associated with academic technology, the questions of what actually is needed by the faculty (see Supporting Document **6.064**) and what actually has an impact on learning should be addressed systematically.

Recommendations

- Provide a mechanism for the user community to more fully participate in setting strategic technology directions.

- Clearly define the roles of the IT Executive Committee, the AITC, and the RITC for IT selection, deployment, and support, so as to ensure appropriate levels of transparency and participation of all relevant University constituencies in setting priorities and allocating resources.

- Regularly solicit and apply input from the user community regarding the IT infrastructure and the support needed to improve research and student learning. Ensure that design and implementation for any academic space, including classrooms, have the input throughout of a user group made up of faculty and academic staff.

- Implement broad-based, central funding for IT operations and IT strategic development across all service points at the university, recognizing that different segments of the GW community have different standardization and customization requirements.

  o Develop a budget model that accounts for the maintenance, support, and replacement of both academic and nonacademic IT, including new network

connections.

- o Provide central resources and funding to strengthen the local support partner program in the schools.

- o Fund software licensing for classrooms, computer labs, students, and faculty.

- o Implement a regular campus-wide communication process for administrative and academic technologies.

- o Continue the Faculty Workstation Initiative (FWI), with necessary funding increments to provide computers to newly created regular faculty positions and critical hardware upgrades. Implement a staff workstation initiative.

- Centrally fund, maintain, and support across all of the campuses a highly secure wireless network that is simple and consistent for the user, regardless of location.

- Expand and fund support for faculty to learn new IT pedagogical approaches and to develop and assess innovative teaching methods. Provide pedagogical enhancements such as network-attached storage.

- Allocate IT resources consistent with the teaching and research mission of the University.

- Take a leadership role in slowing the pace of vendor-mandated system upgrades.

- Increase the pace of e-mail quota enhancements and service improvements to the University community.

Student Services and University Business Operations

> *Guiding question: How effectively are Student Services and University Business Operations serving the needs of the stakeholders?*

A robust and responsive infrastructure underpinning the University's business and service operations is critical to achieving the goals articulated in the SPAE (see Supporting Document **6.001**). Concurrent with the appointment of a Committee on Academic Excellence in 2003, the University assembled a Committee on Business and Service Excellence (see Supporting Document **6.080**) to assess the state of business practices, University services, and technology support. The group was charged with ensuring that best practices were being followed universally and that the libraries and other academic spaces were fully supported in reaching the academic goals of the University.

In order to reach the goal of service and business excellence, GW needed a careful assessment of the current state of affairs. In 2001, an advisor to the Business and Service Excellence Committee recommended using a gap survey to the Office of the EVP&T as a means to assess service delivery. This tool surveys respondents to determine the importance of selected services and the stakeholders' satisfaction with them and was determined at the time to be a good model for the assessment of services for planning purposes. The first university-wide gap survey was conducted in 2002 (see Supporting Document **6.081**), with different iterations of it sent to undergraduates and graduate students, alumni, faculty, staff, and parents of undergraduates. Two more surveys have followed (in 2004 and 2006), so that longitudinal data can be used to evaluate and set priorities for any shifts required in providing resources (see Supporting Documents **6.082** - **6.088**).

Standard 2: Planning/Resource Allocation

How are stakeholders (students, faculty, professional advisors, administrators) engaged in the process of determining, allocating, and managing academic and administrative services and operations (e.g., Advising, Registrar, Financial Assistance, Student Accounts, Housing, etc.) to support academic excellence?

Among the several strategies articulated in the SPAE was the establishment of "committees and cross-functional teams" to identify service and business operations in need of improvement and to recommend appropriate solutions. Two such committees were established: an Employee Core Group and a Service Excellence Core Group (see Supporting Document **6.098**). Both committees have achieved some measure of success in improving the climate for business and service operations, lifting operational standards, and improving employee training and morale. Though a great deal has been accomplished in the several years since publication of the SPAE, much remains unfinished.

Employee Core Group

Established in 2003 by the EVP&T, the SVPSASS, and the vice president and general counsel (VP&GC), the Employee Core Group (ECG) has a mission to "ensure that employee services'

strategies and programs will contribute to the attraction, motivation and retention of a well-qualified workforce whose diversity and skills contribute to and sustain the University's mission" (see Supporting Document **6.099**). Concurrently, they sought to build employees' investment in the University's mission through more effective communication and a better sense of community. Like the Drexel University's service excellence model, "Students First," (see Supporting Document **6.100**), the GW initiative assumed the view that a committed, engaged workforce provides better service and ultimately helps attract and retain students.

Initial activities among the first set of 20 projects identified (see Supporting Document **6.121**, Appendix 3) centered on several glaring deficiencies, such as an outdated employee orientation, clumsy, paper-driven hiring processes, and poor employee morale and investment (see Supporting Document **6.101**). Notable successes from the team's review include a Web site and a revamped orientation (see Supporting Document **6.102**) with a professional video for new employees; on-line workflow processes phased in for disseminating job applications (see Supporting Document **6.103**), academic hiring and termination of part-time faculty (see Supporting Document **6.104**); and the creation of Colonial Community, a group designed to improve staff morale and commitment (see Supporting Document **6.105**). In addition, individuals and offices are now competing for service excellence awards each year (see Supporting Document **6.106**), and many processes have been streamlined, with self-service options to speed transactions and increase customer satisfaction. Of particular pride to many is the glowing success of Colonial Community, which has sought to recognize and show appreciation for the services of GW staff, as it endeavors to build a sense of community across University offices. Over the past 3 years, there has been a marked jump in participation in such diverse activities as Brown Bag lunches, Coffee and Conversation (an 80% increase), and outings to Washington, D.C., events and activities, along with employee participation in community service activities (see Supporting Documents **6.107** and **6.108**). One measure of success is the 100-fold increase in the number of hits on the CC Web site. As this program continues to mature, the community will look forward to learning about its impact on staff turnover at the University.

Not all of the original 20 projects of the ECG have been completed, and new concerns are evident. For example, four different units are involved in hiring at the University, one each for staff, faculty, students, and research personnel. Policy differences among the units need to be resolved, as do issues that arise when funding is split between research funds and operating funds. The latest staff payroll system has not been especially robust; leave tracking is cumbersome, paperwork (which should by now be accessible electronically) is not returned in a timely manner, and the University remains overcautious about sharing employee records kept in Banner with the units responsible for supervising those employees. The list of deficiencies and the need for concerted action are sufficiently great as to require further attention and action.

Service Excellence Core Group

In response to goals of the SPAE, a Service Excellence Core Group (SECG) (see Supporting Document **6.098**) was also created to improve customer satisfaction with University business practices by examining processes, initiating improvements, and maximizing the use of technology (see Supporting Document **6.109**). The units comprising its focus were those related to financial services (including the Office of Financial Aid, Payroll Services, Student Accounts,

and the Cashier's Office), student academic services (including undergraduate advising, the Gelman Library, and the Office of the Registrar), and student support services (including Housing Services and Occupancy Management, Undergraduate Admissions, and Alumni Programs). Its charge was to create a list of service delivery improvement projects, to make recommendations to senior management, and then to track and monitor those projects being developed and implemented. The SECG created two cross-functional teams—a Business Services Cluster and a Residential Life Services Cluster—to address service issues related to business and residential life, respectively.

A significant achievement of the SECG is the August 2007 opening of the first phase of a new student services center, Colonial Central, in the Marvin Center as part of a broad program to create service clusters to enhance the GW student experience with "one-stop shopping" hubs. Colonial Central currently houses staff from Student Accounts, the Cashier's Office, and the Office of Student Financial Assistance, as well as self-service aspects of the GWorld card program. Plans call for the addition of select services from the Office of the Registrar and a full-service GWorld card presence during the current academic year.

With its central location and interdepartmental layout, Colonial Central enables students to have immediate access to a variety of services in the hub of student life on campus. The service cluster or hub concept enables students to complete business and financial transactions in a centralized and cohesive setting, eliminating the need to visit multiple offices on campus. Colonial Central has also extended its business hours, including evenings, to serve the needs of graduate, commuter, and working students. The long-term goal of this project is to couple the services center with expanded online services through the Colonial Central Web site (a one-stop Web site for GW students who have questions about financial aid, student employment, or other business services issues) (see Supporting Document **6.113**) so that students can conduct University business in an efficient manner consistent with their schedules. Over time, the Colonial Central concept will grow to serve emerging service needs across the several GW campuses.

Other achievements for the SECG and its two cluster groups include administration of the gap survey and a campaign to improve communication and processes for notification when students' access to registration or other systems is put on hold. As a result of the review, students now receive hold notifications via the Web. Additional successes are as follows:

- Online bill payment - students can now perform self-service and pay their bills online
- Transcripts Express - students and alumni can now order their transcripts online 24/7 with a credit card payment
- Residential Life Cluster projects
- Stewardship of the Customer Service Celebrations (see Supporting Document **6.106**), which reaffirm the University's commitment to customer service.

To what extent do the units that provide student services collaborate in strategic planning?

In their early years, both the ECG and SECG committees included representatives from a cross section of units delivering services. ECG representatives came from Information Systems and Services (ISS), EVP&T, Student and Academic Support Services (SASS), Human Resource

Services (HRS), and several academic units. Similarly, the SECG included representatives from the Office of the EVP&T, SASS, Development, the Gelman Library, the Office of the Registrar, and Academic Affairs. However, over time, there have been personnel changes, and offices have been restructured. A number of the original members of the ECG (see Supporting Document **6.099**) have left GW or changed positions, and no replacements have been added to the group. At present, only the Budget Office and HRS are represented on the ECG. But the value of the ECG seems clear. It is advisable to reinvigorate this group with new appointments, especially individuals who have ties to the academic units. It is critical to maintain cross-functional teams that cover academic units and the business and service units. Furthermore, the existence and work of the ECG are unfortunately little known in the community. A better means of linkage and communication to the campus community, including the academic departments, would be helpful.

As this report was being prepared, the SECG was slated to join two other functional teams, the Business Services Cluster (BSC) and the Residential Life Services Cluster (RLSC), under the auspices of a Business and Services Advisory Council (see Supporting Document **6.110**). In this new configuration, the Business and Services Steering Committee, made up of the EVP&T, the SVPSASS, and additional representatives from SASS and the Office of the EVP&T, will provide strategic guidance for the activities of the working committees. This committee recommends the continued participation of Academic Affairs, especially at the strategic level, since its units are important stakeholders.

Standard 3: Institutional Resources

In the context of continuing financial challenges, what efficiencies are possible in operations in order to redistribute resources toward mission-critical needs? What should be the nature of the planning process?

The Business and Student Services Steering Committee is now instituting a three-tier service delivery model for appropriate service units. The first tier, self-service, offers a structured Web site that allows customers to find solutions to their problems. The second tier provides general service over the phone, through e-mail, over Web forms, or through walk-in help. A generalist who cannot resolve a problem directs the client to a specialist. The third tier is service from a specialist who provides expert assistance to resolve problems. The objective is to enable the GW client to use Web- and phone-based tools, benefiting from an efficiency of operations along with a faster resolution of issues. One of the successes to spotlight is a newly activated Web-based means for students to request transcripts from the Office of the Registrar (see Supporting Document **6.114**). Previously, the student would go to the Office of the Registrar, fill out forms, and wait days, creating a continual source of irritation for students and staff alike. Among many other benefits, this new system frees up resources in the Office of the Registrar for other critical tasks.

While the multitier service delivery model (see Supporting Document **6.047**) seems to be making a difference in correcting some historically troublesome business and service issues, a number of issues remain to be tackled. Some of these have been identified in previous gap surveys; some from conversations with constituents such as students, faculty, and staff in academic units; and

some from informal polls of academic units. The committee recommends review and action by the Business and Service Advisory Council on several fronts: hiring processes, with particular attention to the multiplicity of personnel offices; Supply Chain and its regulations; Payroll; Facilities Management; Scheduling; the International Services Office; the Deans' Offices; LSPs; ISS; Academic Technologies; Office of the Chief Research Officer (OCRO) and Grants and Contracts Accounting Services (GCAS); the Compliance Office; and equipment security (for greater detail on these issues, see Supporting Document 6.121, Appendix 4).

Increasingly, the committee has observed changes in business and service operations driven by the recommendations of external auditors employed to review GW's practices. These auditors have had extensive experience in the private sector but less with educational institutions, leading to a clash of cultures in their recommendations. When changes are made in business practices, including those relating to issues of compliance (see Supporting Document **6.115**), business managers often choose to implement them without involving the actual end users in any discussion involving purpose, direction, need, or implementation. There is a perception that the University is moving away from collaborations and discussions with end users as business offices adjust or implement new practices. The committee strongly recommends that these offices keep in mind the mission of the University, examine whether there is value added with every process, provide flexibility wherever possible for the unique situations that continually arise in the context of a complex, multidimensional educational institution, engage actual end users early in discussions, and explain the basis for particular rules, processes, or policies.

Standard 7: Institutional Assessment

How are the effects of changes in services and operations monitored and used in the planning for other changes?

Ideally, careful assessment contributes to strategic planning, which then directs limited resources to best use. While GW has made important strides in the way it conducts business and provides services in support of the University's teaching and research missions, some barriers to further progress remain. Assessment data are not always linked to strategic decisions. Instead, some decisions, such as resource allocation or strategic priorities, seem driven by instinct, the "squeaky wheel," or the recommendation of outside business auditors with little appreciation for the mission and workings of an academic institution. Planning assumptions and documentation are rarely shared with the community, and decisions made are not sufficiently transparent, either in the lead-up or in the announcement of the outcome. This results in frustration and disenchantment. Financial concerns at GW, as in all of higher education, are so prevalent that regardless of the nature of the planning process, resources are allocated based on the greatest financial return for the investment. There is an increasing impression of disjuncture between assessment and planning, and between planning and resource allocation. A greater spirit of trust and cooperation based on openness and partnership, not to mention a stronger financial base, will help to reverse this trend.

In what ways are the results of the annual "Gap" Surveys used to enhance University services?

In many ways, the initial Gap Survey was valuable for uncovering service concerns. One such concern, for which there was a large "gap" among the student population's reports of importance versus satisfaction, was the student package delivery service, which was failing in its mission. A focused follow-up survey by the Office of Business Operations helped University business planners revise the program to better serve the student clientele. But the Gap Survey is only one type of survey being used at GW. For example, Academic Affairs conducts surveys of departing seniors, as well as graduate students and incoming freshmen; the Gelman Library assesses its patrons regularly; and other offices such as GW Housing Programs, Dining Services, and the Office of Alumni Programs have their own surveys, too (see Supporting Documents **6.090**–**6.096**).

After reviewing several Gap Surveys, it became clear to the committee that there are several flaws in the gap instruments. Some of the groups queried in the first surveys were inappropriate, as when alumni were sent surveys constructed for current students and when retired and part-time instructors or teaching assistants were sent surveys intended for full-time faculty. Some questions are not well constructed, some are ambiguous, and some lack specificity needed to uncover the truly problematic issues. The committee also heard of concerns regarding an understanding of what the "gap" represents to the respondents: Does it measure the difference between what is important to each surveyed party and whether there has been some lapse in an area rated important by the surveyed party? Does it measure a gap between what is perceived as important and user satisfaction? The Office of Alumni Programs solved its concern with the Gap Survey by hiring an outside firm (Performance Enhancement Group, Ltd.) to build its own survey and assess the target constituency (see Supporting Document **6.096**). Thus, it seems that, as in the Office of Business Operations and the Alumni Office, some measure of skepticism in the initial data from the Gap Survey is appropriate.

As an institution, the University is continually administering surveys, to the point where some stakeholders no longer participate. At issue are the value and reliability of the assessment tools currently in use. There seem to be many surveys at the University, and they often come along at odd times in the academic calendar, making the community resistant to their call for yet more information. At the same time, the survey questions have not always been well tested or on target, and the surveying parties often prefer to obtain longitudinal data at the cost of correcting the instruments to gather more meaningful information. When collaborations on data collection across units occur, often it is very late in the process, with little time for careful review. And while findings are reported, the real challenge lies in interpreting and using the data.

The problem of survey overload is not limited to the GW community. Many other campuses experiencing similar problems have begun to address the issue in a variety of ways. They have set up survey coordination committees and a survey calendar, asked interested parties to complete a survey request form, developed policies related to surveying students and faculty, and established a greater connection with their Institutional Review Board (IRB) office. The committee recommends consideration of a cross-functional team representing the several

divisions of the University (much like an IRB—see Supporting Document **6.097**) to review University-wide assessment strategies to ensure that the myriad of surveys are carefully coordinated and valid, that the cohort to be surveyed is appropriate for the purpose, and that respondents are not excessively surveyed or at times in the calendar that are problematic. Better instruments will provide more reliable data, resulting in better prioritizations and strategic decision making. Surveys should be more focused, with their topics made clear, and some alternation of the survey groups should be devised to reduce survey fatigue.

In what ways have changes in University services improved student satisfaction and ultimately retention rates? Is there a reliable connection?

As stated earlier, a number of very positive initiatives that have been undertaken have resulted in increased satisfaction and efficiencies for GW's students, yet many issues remain to be addressed. An informal sampling of students revealed inconsistent access to advising (see Supporting Documents **6.116**–**6.118**); registration issues, such as wait lists; a need for earlier release of the schedule of classes; dissatisfaction with the pricing and supply of texts from the bookstore; insufficient availability of study space across campus; a need for better access to course evaluations; delays and inadequate privacy at Student Financial Assistance; and a general desire for one-stop service locations or Web sites to reduce the time it takes to complete business (for greater detail on these issues, see Supporting Document 6.121, Appendix 4).

Discussion with academic advisors from several schools revealed that there is no uniform degree-audit software available to the different schools at GW (see Supporting Document **6.119**). The advisors noted the capacity for a tool of this type to free up time for staff to spend with students. One of the advisors suggested that such programs are very well received at other institutions.

Although retention rates have inched upward as a consequence of changes at the University (see Supporting Document **6.120**), the committee notes that service delivery is a relatively minor component in this complex issue. Service delivery is nonetheless very important to the well-being of the institution as it connects to the student experience and alumni feelings toward the University. Fond memories of colleagues and classes can be easily wiped out by recollections of surly staff, office bounces and runarounds, lack of useful information, clumsy processing of paperwork, and inflexibility. Thus, while service excellence per se has had little direct effect on student retention, providing quality service and rapid resolution of outstanding issues goes a long way toward creating satisfied alumni and happier, more focused students.

In what ways have changes in University operations and requirements affected faculty productivity and satisfaction?

While it is too early to determine how these changes have affected faculty productivity and satisfaction, frustrations with issues long thought to have been addressed apparently remain. Faculty and departments are often distracted from their primary mission of teaching and research by operational issues and forms that are continually changing under the guise of "compliance" and the recommendations of outside auditors. It seems as if in the interest of timeliness more

decisions are made without the benefit of consultation with the end users, resulting in a shifting landscape that seems to be moving back in the wrong direction.

Working Group Recommendations

- Decision-making processes should be transparent to the University community in order to correct the disjunctions among assessment, planning, and resource allocation. Strategic decision-making bodies should use data as a significant component in the decision-making process.

- Cross-functional groups should include representatives from all the major divisions of the University, particularly when they are recognized stakeholders in the projects.

- A cross-functional team representing the major divisions of the University (much like an IRB) should be convened by the Office of Academic Planning and Assessment to review University surveys.

  o The team should ensure that surveys are carefully coordinated and valid, that the cohort to be surveyed is appropriate, and that constituents are not oversurveyed or approached at a bad time in the calendar.

  o The surveys should be focused on narrower topics to reveal greater specificity, and the survey groups should be rotated to reduce weariness from oversurveying the same audience. Assessment plans should clarify the audience to be surveyed, the purpose of the survey, and how the assessment data will be used.

- A degree-audit program for the academic units should be put in place.

- The Employee Core Group should be reconstituted with representatives from all major divisions of the University.

  o The remaining issues raised by the ECG should be reviewed and resolved as appropriate (see Supporting Document **6.121**, Appendix 3).

  o Additional needs such as reliable time reporting and leave tracking systems, electronic workflows for all personnel actions, read-only access to employees' records, and others as indicated in this report should be addressed (see Supporting Document **6.121**, Appendix 4).

- The Business and Services Advisory Council should continue to address service concerns that have emerged from the original Business and Service Excellence Committee, this report, and subsequent surveys. Many business and service processes remain cumbersome, do not add value to the process, and do not accommodate users' needs. Students report similar concerns with services and processes (see Supporting Document **6.121**, Appendix 4). Further development of "one-stop" models for doing many types of business at the University is encouraged.

- The University should limit its dependence on external business auditors and consultants.

- More services (e.g., grant coordinators, LSPs) and the funding to support them should be housed directly within the academic units.

- Units need to deliver finished projects to the University community faster. This may require a reduction in the number of nonregulatory mandates by the highest levels of University governance.

- Colonial Community is a success story that should continue to be funded and supported.

Supporting Documents

6.001	Strategic Plan for Academic Excellence (SPAE)
6.002	Enrollment Trends 1998–2005
6.003	Campus Development Info and Document Sharing
6.004	Gap Survey Summary of Accomplishments - Fall 2005
6.005	LibQUAL+ Survey 2003 Detailed Analysis
6.006	Task Force Report on Scheduling and Classrooms
6.007	E-mail responses to Goal 5—Spaces from AVPAA
6.008	Update on Classroom Scheduling Availability
6.009	Academic Schedule - Classrooms and Computer Labs
6.010	Academic Schedule – General-Purpose Classrooms
6.011	Room Usage and Reservation Policy for Foggy Bottom General-Purpose Classrooms
6.012	University Gap Survey Summary 2006
6.013	Residence Buildings Common Spaces
6.014	LibQUAL+ Results 2006
6.015	Special Report to Faculty Senate on Sponsored Research
6.016	Faculty Senate Minutes 12-8-06
6.017	Faculty Senate -3 Schools Space Comparisons - Draft
6.018	Faculty Senate Minutes 5-7-04
6.019	Faculty Senate Minutes 2-10-06
6.020	Faculty Senate Minutes 9-8-06
6.021	EVP&T Katz Meeting Minutes 10-18-06
6.022	Capital Budget Process
6.023	Faculty Senate Minutes 9-9-05
6.024	Foggy Bottom Campus Plan Community Meeting
6.025	ByGeorge Article, Foggy Bottom Campus Plan Approved
6.026	Expenditure Projections to 2013
6.027	LibQUAL+ Results - 2003–2006
6.028	Gelman Library FY06 Metrics
6.029	Gelman Library Strategic Plan 2003–2006
6.030	Gelman Library Strategic Plan 2004–2007
6.031	Gelman Library Strategic Plan 2005–2008
6.032	Instructional Technology Advisory Committee Report December 1996
6.033	CIO Report 2003 and Beyond
6.034	Internet Growth 2000 to 2005 in the World
6.035	Millennium Network Project
6.036	Faculty Workstation Initiative
6.037	Center for Innovative Teaching and Learning Web Site
6.038	Data Security August 10, 2006, Presentation
6.039	Information Systems and Services Accomplishments
6.040	Continuity Presentation
6.041	Information Security Policy
6.042	Local Support Partners Policy

6.043	EDUCAUSE Report E-Mail
6.044	ISS – E-mail Policy
6.045	ISS – E-mail Quotas and Eligibility
6.046	Service at GW
6.047	Administrative Applications ISS FY 2003
6.048	Software Systems Upgrades
6.049	Banner Advisory Committee (BAC) Meeting Notes - 5-10-07
6.050	ISS Board Update - January 2007
6.051	RITC Charge, Scope, Membership
6.052	AITC Appointment Letter
6.053	ISS Strategic Partnerships
6.054	IT Governance at GW
6.055	Banner Advisory Committee
6.056	AITC Meeting Notes - 1-18-07
6.057	SPAIT Structure
6.058	Dean's Technology Use Classroom Survey
6.059	Faculty Technology Use Classroom Survey
6.060	SPAIT Report April 2001
6.061	Classroom Technology Survey 03 Results
6.062	Classroom Renovations Standards
6.063	2006 Technology Usage Survey
6.064	Instructional Technology Usage Survey 2007
6.065	Workshops and Events - GW CITL
6.066	Blackboard Introduction Tour
6.067	GW Center for Innovative Teaching and Learning Sample tutorial
6.068	GLearn - Sample Courses and Tutorials
6.069	Academic Technologies Flash Tutorials
6.070	BlackboardNews v2.0b
6.071	Blackboard RITC Presentation 4-26-07
6.072	The Future of Storage
6.073	EDUCAUSE Primary Findings
6.074	Faculty Adoption of Educational Technology
6.075	Respondex CAPA results
6.076	Updated ARL Comparison - 9-2007
6.077	GWireless Help Desk FAQs
6.078	Wireless and Wired Laptop Use in Gelman Library
6.079	Business and Service Committee Report
6.080	Gap Survey 2002 - Data Tables
6.081	Gap Survey 2004 - Data Tables
6.082	Gap Survey 2004 - Graduate Comments
6.083	Gap Survey 2004 - Undergraduate Comments
6.084	Gap Survey Results 2004 - Faculty
6.085	Gap Survey Results 2004 - Undergraduate Students
6.086	Gap Survey Results 2006 - Students
6.087	Gap Survey Results 2006 - Staff
6.088	Academic Planning and Assessment - Surveys Timetable

CHAPTER 7

Working Group 6:
Maintain a Strong Financial Base

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SPAE Goal 6: Maintain a strong financial base.

Working Group 6 examined the success of GW's progress toward meeting the sixth goal of the SPAE. Goal 6 of the SPAE requires the University to develop a financial base capable of supporting the ambitions espoused throughout the SPAE and to develop a budgeting process that targets resources to fulfill the academic initiatives stated in the SPAE (see Supporting Document **6.001**).

Goal 6 spells out seven strategies for fulfilling the SPAE's goals.

- Link the University budgeting process to the strategic plan by identifying institutional priorities and action plans and making associated allocations and reallocations.
- Ensure that financial resources are adequate to fulfill the academic missions of all University schools and programs.
- Pursue multiple strategies for revenue generation, recognizing the value of income from external grants and contracts, new and expanded master's and noncredit programs, entrepreneurial activities, and gifts from alumni, friends, foundations, and corporate partners.
- Build a world-class development office that coordinates fundraising efforts with strategic planning priorities.
- Institute a major initiative to raise new funds for academic programs that support GW's goal of selective excellence.
- Examine strategies for asset maximization, including the option of a year-round academic calendar.
- Annually assess progress toward achieving strategic goals with a set of selected metrics, and make recommendations for corrective action or new priorities.

The committee examined four topics relating to the University's development of a financial base and allocation of its resources. Under the direction of the steering committee, the committee developed guiding questions for each of the four topics and, under each guiding question, identified additional questions that addressed MSCHE Standards 2, 3, and 7. It was decided that Standard 14, Assessment of Student Learning, was not germane to Goal 6.

The financial condition of the University is the sine qua non of its ability to provide resources for teaching and research, and assessing the effectiveness of expenditures is crucial to maintaining financial stability in the years to come. Likewise, for universities to be going concerns, they must continue to attract students and research funding, and this will not happen if financial goals are not aligned with academic goals.

The four topics combined with their guiding questions are:

1) Budgeting Process: How well does the budgeting process align with GW's educational mission?
2) Challenges of Tuition Dependency: Will the University be able to sustain, and perhaps increase, the quality and quantity of its undergraduate and graduate populations under its current tuition and financial assistance structures?

3) <u>Nontuition Revenue</u>: How can the University bring endowment, revenue for auxiliary enterprises, and extramural research funding to shares appropriate for a university of GW's size and stature?
4) <u>Capital and Maintenance Planning</u>: How does GW build and maintain the physical, technological, and human capital necessary to attain its aspirations as a national, research university?

The committee divided the guiding questions into more manageable, specific questions and divided itself into subcommittees to answer the questions. Each subcommittee presented its findings to the full working group. From June 2006 through March 2007, the committee as a whole met on a regular basis. The subcommittees drew on interviews, university documents, and their own expertise in order to answer the questions. The majority of the committee members were administrators with firsthand experience in budgeting and fundraising.

Budgeting Process

Guiding question: How well does the budgeting process align with GW's educational mission?

If the educational mission is defined by the University's SPAE, the answer is almost certainly that the budgeting process at the University does not yet align well with GW's mission. The educational mission is embodied largely in SPAE Goals 1 through 3: move GW solidly into the ranks of the first-tier educational institutions; solidify, strengthen, and strategically expand graduate professional programs and selected top-ranked graduate programs; and move GW into the ranks of the top-tier research institutions; and to some extent, Goal 5: strengthen GW's infrastructure, including GW's libraries, technology resources, and business and service operations. It is particularly important and revealing that Goals 1 and 3 refer to "top-tier" and "top-rank." While "top" is not defined precisely, it presumably reflects a desire to provide undergraduates and PhD students with an educational experience that matches any in the country and to have a cadre of highly recognized researchers performing groundbreaking research.

Yet a review of the documents related to budget issues (see Budget folder in eRoom) reveals only a few instances where budgeting decisions relate specifically to these goals. The exceptions are the selective excellence initiative, the provision of funds for the University Writing Program, and the decision to place faculty salaries at the 80th percentile of AAUP.

Standard 2: Planning/Resource Allocation

How well does the budgeting process support the University's strategic planning process? How effectively does the GW budgeting process balance the competing goals of selective excellence and assuring adequate financial resources? Do the roles and levels of involvement of the deans, department chairs, and faculty ensure appropriate and adequate engagement of the academic community in the budgeting process? Does the budgeting process provide adequate transparency and disclosure?

The best example of how budget decisions are divorced from academic decisions is the August 21, 2006, memorandum that sets forth the George Washington University unified budget model (see Supporting Document **7.06**). This describes a system of budget planning in which the central administration assigns revenue targets and expense budgets to each school and then provides a relatively small reward if schools exceed those targets in a particular way.

More specifically, each school is responsible only for revenues and expenses that can be directly attributed to the school. This includes tuition from continuing undergraduate enrollment in a school's on-campus programs; all graduate students enrolled in a school's on-campus academic programs; all summer students in on-campus classes; all students enrolled in off-campus classes; revenue from course, lab, and other fees; and all direct expenditures in a school's budget, including graduate student aid.

Of particular relevance is the response of this budget system when a school's revenue exceeds expectations. In that event, the school keeps 40% of the margin, and the remainder goes to the executive vice president for academic affairs (EVPAA) and the general funds of the University. In other words, schools pay a 60% marginal tax on extra revenue that they produce for the C-fund budget. On the other hand, schools are not permitted to bank compensation savings.

The rigidity with which funds are allocated to time periods also induces expenditures that might not mesh with the university's mission. In particular, if a unit fails to spend money from its C-fund budget by the end of a fiscal year, it loses that money. This, of course, gives the perverse incentive for units to "splurge" with unspent funds at the end of fiscal years. In FY2007, the University began a policy of allowing rollovers under some circumstances; how well this actually works will be known at the end of the FY2007 budget cycle.

While the unified budget model provides some weak incentives for schools to perform well financially, it provides no incentives for schools that perform well academically. For example, while a school will benefit from increasing enrollments, it will not benefit from enrolling students with higher test scores or better grades. From an annual, operational standpoint, the institution's financial incentives do not align with its stated academic aspirations.

Open communication and discussion about the process are essential to ensure that resources are expended in a manner that is both efficient and consistent with the goals of the SPAE. The budgeting process at GW has been highly centralized and has not involved department chairs or faculty very much. Faculty and department leaders have found it difficult to contribute to the budgeting process because of both the timing of the budget process and the University's tradition

of budgeting one year at a time. The University also faces a perception that its budget process has been top-heavy (i.e., dictated from central administration) and not particularly transparent. The best evidence of this is a lack of consensus on what constitutes a budget "shortfall." From a financial perspective, a shortfall means that the University's balance sheet is deteriorating. But that is not how the University administration has defined a shortfall. It has rather counted a negative cash flow period as a period of shortfall, even when the negative cash flow has arisen as a matter of choice because the University has chosen to amortize debt quickly. Although the administration maintains that it has not been amortizing debt rapidly, some members of the Faculty Senate Budget Committee disagree. If amortization is rapid, the University is financing future students out of the tuition of current students. This could be problematic, because if current students feel they are shortchanged on their experience, they will be less likely to donate to the University in the future. It would be worthwhile to compare GW's financial strategy with that of other institutions to determine whether this is true.

The administration's credibility on the matter of the University's budget condition was particularly compromised when it announced that the University was facing a $12 million budget shortfall over the 3-year period of 2007–09. Ultimately, that "shortfall" turned into a $10 million surplus. Moreover, in 2005, an ad hoc committee of concerned faculty, consisting largely of members of the Economics Department, wrote a blistering criticism of the financial decision-making and spending allocation process at George Washington (see Supporting Document **7.15**). The Faculty Senate took this criticism sufficiently seriously to post it on its Web site.

This is not to say that the administration does not take academic performance into consideration when it allocates resources. The de facto method the University uses for strategic planning is not the formal "selective excellence" process; rather, areas that do not perform well get reduced funding, while those that do perform well (such as signature programs but also others) will get more. The committee did not consider this approach bad but concluded that it could be improved by making the underlying assumptions more explicit. The perception on campus that budgets are driven by fiscal constraints, rather than strategic planning, is exacerbated by budget cuts that come at the last minute in the budgeting process. Although the claim that these cuts are focused on "weak" programs may be accurate, the circumstances and timing of the cuts affect campus perception.

The University's record of actions makes it apparent that Goal 6 of the strategic plan—"maintain a strong financial base"—has dominated decision making. The University has sought to "grow" its way to financial strength by substantially increasing the undergraduate population by 41.5% between 1997 and 2006 and by putting pressure on schools to raise graduate enrollments, especially at the master's level or in revenue-generating programs. This strategy reflects a belief that students are "profit centers" over whom the fixed costs of the university may be amortized. And so they are: Tuition revenue more than covers operating expenses at GW; it covers 80% of all expenses[94]. While this may well be a recipe for financial health, it is not a recipe for improving academic performance and reputation.

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[94] Tuition and tuition-related expenses, such as dormitory fees, cover 90 percent of all expenses.

Standard 7: Institutional Assessment

What review procedures are in place to assure that expenditure allocations are accomplishing strategic objectives?

Because of the centralized nature of budgeting at GW, the lack of transparency, and the limited funding of the SPAE, meaningful assessment of the value of expenditures to the accomplishment of the University's strategic plan is difficult. Nevertheless, the conflicts arising from the budgeting process arguably produced something good: the creation of a University budget working group, a group that consists of administrators as well as faculty representatives appointed by the Faculty Senate. This has led to a more collaborative relationship between faculty and administration, as well as more transparency. This group provides the sort of institutional vehicle that can be utilized to assess expenditure allocations.

Standard 3: Institutional Resources

Are resources adequate to support the goals outlined in the SPAE? What would the impact of a short-term unfavorable investment environment be on the University?

The selective excellence initiative is one clear example of the way the university uses its planning process as a vehicle for driving budgeting decisions. The initial selective excellence programs the University identified included public policy, history, human evolution, Asian studies, political science, biomedical engineering, and transportation safety and security. These programs were to be the beneficiaries of University-generated new funding. Although the University has set aside money for these programs, the committee concluded that the amount of money set aside was not sufficient to have a large or "strategic" impact.

For example, the Political Science Department received $229,000 in selective excellence program funding in 2005; nearly all of the funding went to support graduate students in one manner or another. Such support was the core of the Political Science Department's selective excellence proposal and is important for attracting first-rate graduate students. Likewise, the attraction of top-tier graduate students is necessary, but not sufficient, for both attracting research-oriented faculty and building a nationally ranked department.

The creation of a top-tier department also requires the recruitment and retention of star researchers. Here, the Political Science Department has had some limited success. In part, this is attributable to the university's limited financial resources (and the scarcity of endowed chairs), which have precluded the allocation of sufficient resources to attract and retain star faculty members. The scarcity of endowed faculty positions is an issue that severely hinders GW's ability to fulfill its aspirations (see chapter 4 of this report). With the exception of the $16 million that was recently raised for the newly named Trachtenberg School of Public Policy and Administration, endowed funds in support of the SPAE and the selective excellence initiative have been scarce. Even here, a $16 million endowment provides insufficient annual funds to enable the public policy program to fulfill its aspirations.

The George Washington Institute for Public Policy (GWIPP) also received selective excellence funding. GWIPP has been very successful at leveraging the funding it has received to develop extramural funding, and it has used selective excellence funding to attract high-quality graduate students. But once again, the amount of funding has been relatively small ($419,744). While GWIPP has excellent senior leadership, it relies heavily on research professors (who are on soft-money support) to get its work accomplished. GWIPP has not requested such potentially dramatic strategies as attracting stars from outside institutions, because selective excellence funds are insufficient to attract stars from outside institutions. Because signature program funding has been small both in the context of the overall University budget and with respect to the ability to truly effect change, the committee believes it is not sufficient to be considered "strategic." The selective excellence program has not had enough funding to transform the faculty from excellent to outstanding in even the University's areas of greatest strength. Until programs have the wherewithal to hire a large number of the very best scholars in their field, it is hard to imagine how they will move from being very good programs to being top-tier.[95]

In the document describing the budget for FY2006, the University refers to a Faculty Senate resolution (87/1) to increase faculty salaries to the 80th percentile[96] of all doctoral universities that respond to the AAUP faculty survey.[97] But the survey has salaries for more than 218 institutions, meaning that at the 80th percentile, GW would rank around 43rd or 44th, a ranking few would consider "top-tier." The top 15 schools in the AAUP rankings for full professors (see Supporting Document **7.14**) make up a list nearly any observer would consider "top-tier" (see Supporting Document **Error! Reference source not found.**, Table 2, Panel 1). In three cases— NYU, Washington University in St. Louis, and Emory—the schools are examples of places that have only recently come to be regarded as top-tier. All three are among what GW has deemed to be its market basket. On the other hand, there are a few universities, such as Virginia, North Carolina, and Johns Hopkins, that might well be considered top-tier and have salaries that are quite similar to those at GW (see Supporting Document **Error! Reference source not found.**, Table 2, Panel 2).

The University's operating budget is generally insulated from temporary downturns in the investment climate. The administration uses conservative short-term interest assumptions to budget debt service on the University's variable rate debt and so states there is adequate protection built into the annual budget to offset temporary interest rate increases. Should interest rates increase for a protracted period, the University would have the option of deferring capital project spending before reducing the operating budget.

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[95] EVPAA Lehman points out that new endowment payout moneys of roughly $4.5M per year have helped fund 10 new signature programs. But at roughly $450,000 per program, it is still worth asking whether this is sufficient to transform GW's areas of strength into areas of world renown.

[96] Although the origin of the 80th-percentile goal is unclear, it is at least a financial benchmark that has a direct connection to academic aspirations and is therefore a welcome exception to the norm.

[97] The budget document does not refer to "doctoral" universities, but a look at AAUP and GW salary data (see Supporting Documents **7.08** -**7.13**) implies that this is the comparison group under consideration in the document.

Challenge of Tuition Dependency

> *Guiding question: Will the University be able to sustain, and perhaps increase, the quality and quantity of its undergraduate and graduate populations under its current tuition and financial assistance structure?*

Because of its limited endowment and its aspirations, GW relies extensively upon tuition revenue to fund continuing operations. Among the schools with which it compares itself, GW ranks second in revenue share arising from tuition—only American University relies more heavily on tuition, and then only by a fraction of a percentage point (see Supporting Document **Error! Reference source not found.**, Figure 1). The issue of tuition dependency is a problem for the long-term financial health of the University.

GW's current tuition/financial assistance policy is two-fold. First, GW relies upon high undergraduate tuition. For undergraduates, the tuition rate is held constant throughout a student's GW tenure. Second, GW has a substantial financial assistance discount that is based on need and merit. While this combination has led to negative publicity regarding its "highest in the nation" tuition rate, it is designed with the goal of meeting GW's objectives in terms of ensuring a diverse and highly qualified student body.

If GW were willing to lower admission standards and were able to change the zoning restrictions that apply to GW's main campus in the District of Columbia, there is little doubt that the University could increase undergraduate enrollments substantially. As it is, GW has become increasingly selective over time and now ranks ninth among 14 self-chosen market-basket schools in selectivity (defined as the share of applicants admitted) and eighth in yield (the share of the accepted students who matriculate) (see Supporting Document **Error! Reference source not found.**, Figures 5 and 6).

The increase in selectivity of students is particularly remarkable given that while GW charges among the highest tuitions in the country, educational resources at the University have not been rising markedly. For example, the number of tenured or tenure-track faculty at the University has not been rising in line with undergraduate enrollments (see Supporting Document **Error! Reference source not found.**, Table 1).

GW may well be simply able to reap "Ricardian rents": The economic and amenity value of being in Foggy Bottom is so large that students are willing to pay more to attend GW, with less concern for its pure educational value, than elsewhere. The advantage of GW's location is among its greatest resources and doubtless attracts many fine, ambitious students. The university, *pace* Ricardo, is able to expropriate from students the value of its advantageous site.

Zoning, however, limits the ability of the University to exploit its location. The District of Columbia allows no more than 30% of GW's first 8,000 undergraduate students to live off campus, and none beyond that. While the wisdom of this policy is debatable, it is now a binding constraint that the University must face. GW cannot admit more students absent construction of more residence halls, and so an additional undergraduate population beyond what GW housing now accommodates implies a large financial obligation for the University. On the other hand,

zoning creates a scarcity of space for admission to GW, limiting elasticity in the number of slots at GW. This means that an increase in demand for a GW undergraduate education will most likely be absorbed in higher tuition, rather than more seats for students.

In the short term, the University does have demographics on its side, particularly with respect to undergraduate enrollments. The echo boomer bulge of the first decade of the 21st century will not subside until 2012. The U.S. Census projects that the number of people ages 18 to 22, currently 21,200,000, will continue to rise until 2011 and will not fall below the current level until 2015. Moreover, the fact that the University will face an increasingly global market means that the number of potential students from such places as China and India may well offset the future decline in America's college-aged population. However, as demand for universities becomes more global, the supply of quality university education will also become more global. Universities in Europe and Asia are coming to understand how to become competitive; visa issues[98] are also hurting American universities in the contest for international students, particularly at the graduate level. Along with its aggressively high undergraduate tuition, the University provides a substantial financial assistance discount based on need and merit. The basic structure of these policies may well be reasonable under a variety of assumptions about GW's aspirations and equity needs. GW should, however, undertake analysis to determine whether the resulting net tuition charges are the best way to achieve the University's financial and educational goals. The trade-off between need and merit in the distribution of aid seems to attract attention at general faculty discussions, if not among economists, with sympathies favoring more need-based aid.

These policies doubtless are the function of intuitive, empirical, and political processes. There is also relatively little literature on elasticity of demand for colleges with respect to tuition. At present, it is debatable whether the University can do better with something more formal than the heuristic now used.

In spite of the high discount rate, the most disturbing aspect of the University's tuition structure—and financial condition—is that GW is not in a position to ensure that every well-qualified admitted undergraduate student who wishes to attend GW can afford to do so. One indicator of this challenge is the average debt burden per graduating GW student; the 50% of GW students who borrow have an average debt burden in excess of $29,000.[99] This could have two important long-term consequences for the University. First, it could, and probably does, lead to a socioeconomically homogeneous student body, which undermines the important opportunity to learn from peers with a variety of life experiences. GW's undergraduate African-American enrollment, at 6%, is a little higher than the national average for 4-year colleges and universities

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[98] The National Academies have listed a number of these issues in a statement (see Supporting Document **7.16Error! Reference source not found.**). Among the most serious problems is that repeated security checks cause lengthy visa issuance delays, inefficient renewal procedures, and a lack of transparency in the visa process.

[99] This compares with under $20,000 for the 50% who take on debt at American, $22,000 for the 40% who take on debt at Emory, $17,000 for the 48% who take on debt at Northwestern, $23,000 for the 59% who take on debt at BU, $17,500 for the 47% who take on debt at SMU, and $19,000 for the 38% who take on debt at Vanderbilt. Among GW's peer institutions for which data are publicly available, only NYU undergraduates finish with a higher debt burden than those from GW. These data come from the "Common Data Set" produced by each institution's Department of Institutional Research or its equivalent (see Supporting Document **7.17**). Note that not all universities make these data publicly available.

(see Supporting Document **7.18**) but is only half the African-American undergraduate enrollment percentage of its neighbor in College Park (see Supporting Document **7.19**). Similarly, while GW's Hispanic enrollment is 3%, Maryland's is 5%. Second, it could leave future alumni less likely to donate to the University, as their debt burdens persistently remind them of the high cost of their education.

Graduate enrollment is a different matter. The Law School and the Medical School do not face any difficulty with attracting high-quality students, but the Law School is nationally renowned, while all U.S. medical schools enjoy the benefit of the small total number of slots relative to the total number of qualified applicants. The other schools, however, feel pressure to meet enrollment targets; the Engineering School, in particular, has struggled recently with its ability to attract students. Business schools go through enrollment cycles, and graduate education at the GW School of Business (GWSB) is not sufficiently strong to attract students easily when the cycle is near the trough. Recent strength in national graduate business enrollments has helped GWSB dramatically.

One cannot help but notice that the Law School does follow a different financial model from the remainder of the University; other than a "franchise fee" to the University, it is nearly completely responsible for its own revenues and expenses. For this reason, it has every incentive to make good academic and financial decisions and attracts large numbers of exceptionally well-qualified students.

Standard 2: Planning/Resource Allocation

Do the University's current tuition and financial assistance structures support attainment of the goals of the SPAE?

Overall, there is excess demand for a GW education at the undergraduate level. Because of government-mandated enrollment caps, the excess demand does not provide a cushion for the highly variable graduate enrollments. Although some programs (such as the Law and Medical schools) have strong enrollments and are unlikely to lack qualified applicants in the near future, GWSB, the Elliott School of International Affairs (ESIA), and CCAS graduate programs must continue to work hard to keep up enrollments. Even within these units, the application numbers vary significantly. As a result, some graduate programs are focused on enrollment numbers at the expense of student quality.[100] Such a focus clearly contradicts the goals of the SPAE. What is not clear is the extent to which individual units use this information as a vehicle for determining resource allocation.

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[100] The chair of Group 6 was associate dean of graduate programs at the GW School of Business. While he was regularly asked about expected enrollments, he was rarely asked about the quality of students enrolling.

Standard 3: Institutional Resources

What financial resources are available to assure continuity of the expenditure base during unfavorable enrollment?

The University's operating budget is susceptible to changes in market demand, with over 90% of the operating budget funded by enrollment-driven revenue.[101] If weak economic conditions or other factors lead parents to send their children to other institutions, or adults to postpone graduate education, the University would have to address the enrollment shortfall.

To use a term from finance, the University operates with a great deal of operating leverage—it has high fixed costs and a revenue stream (tuition) that is somewhat variable. This means a small percentage change in tuition can lead to a large change in surpluses and deficits. Moreover, because the University's endowment is relatively small, it does not have much of a cushion against times when revenues are disappointing. Viewing the University as a financial intermediary, and comparing it with its competitors, it would be said that it is not particularly well capitalized. As previously discussed, stronger capitalization will come from improved fundraising.

Standard 7: Institutional Assessment

Do new investments take into consideration their financial impact on the university?

In recent years, investments in new academic initiatives outside the scope of selective investment and the SPAE have been evaluated with an understanding of the fiscal impact of the programs. As a general matter, under the unified budget model, business plans with revenue and expense projections are required before the EVPAA grants approval. A recent example of how this process is implemented is the Middle East studies program in ESIA, but other examples in various schools fit within the guidelines of the unified budget model.[102] While it is clear that these sorts of projections play an important role in the adoption of various programs, the use of these "projections" for evaluation purposes is not clear. Given the need to create incentives to generate realistic projections and the capacity for these initiatives to distract from the SPAE, it is important that the budgetary projections be used as the principal criterion for assessment.

The expansion of the undergraduate program in terms of both quality and quantity over the past 15 or so years has been led by the president of the University and has involved administrators and faculty at all levels. Much of the expansion has occurred using contract and adjunct faculty, with the expectation that there would be a conversion to full-time faculty when the increase in the program was confirmed.[103] The committee recommends that the staffing analysis now be undertaken to assess appropriate student-faculty ratios.

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[101] That is, tuition and auxiliary revenues that depend on enrollments, such as residence hall rents.

[102] This example arises from a conversation of task force members J. Cordes, S. Phillips, and D. Parsons with EVPAA D. Lehman.

[103] Again, this is based on a conversation of task force members Cordes, Phillips, and Parsons with EVPAA Lehman.

The issue of harm (or potential harm) to GW's reputation through budget-driven decision making is regularly addressed by the Council of Deans. A recent example was a review of the Semester-at-Sea program by the deans and their respective faculties. Their concerns about the program ultimately led to a recommendation not to pursue a proposed initiative to bring the program under GW's wing. At times, however, initiatives have been dropped because of either reputational risk or unfavorable revenue projections; when these initiatives did not work out, the postmortem analysis often revealed inadequate faculty input in the planning stages.[104] Where initiatives have involved faculty input (e.g., Mount Vernon), the academic programs have helped drive the success of the initiative. This faculty input can be through the Faculty Senate, deans and their respective faculties, or specially appointed committees.

Nontuition Revenue

Guiding question: How can we bring annual giving, endowment, and revenue from auxiliary enterprises, and extramural research funding, to shares appropriate for a university of GW's size and stature?

The revenue alternatives to tuition are annual giving, endowment income, revenue from auxiliary enterprises, and extramural research funding. Relative to the other schools in its market basket, GW is well below median in annual giving, endowment income, and extramural research funding (see Chapter 7 Appendix, Figures 2, 3 and 7).

Standard 3: Institutional Resources

Are the resources allocated to the units responsible for generating nontuition revenue adequate to achieve those units' revenue targets?

One reason for this lag has been the past unwillingness of the University to invest in these areas. According to the GW Development Office, the school is second from the bottom within its self-defined market basket for spending on development (see Chapter 7 Appendix, Figure 8) despite the fact that for each dollar spent on the development function between $6 and $10 is generated for the University. Spending on the development function is a sensible, obvious, and conventional type of investment.

A less conventional and negative measure of the University's lack of investment is the debt burden the students face when they graduate—a burden that makes them less likely to give to the school upon and after graduation (see discussion above). A reduction in this burden might well produce greater future giving.

As for research, the University is also a laggard when compared with its self-defined peer and aspiration institutions. Again, this could well be a function of a shortage of investment, particularly in faculty. A small-scale example of a successful investment is the George Washington Institute for Public Policy (GWIPP) Scholars Program. In exchange for a small amount of money and course relief, GWIPP scholars agree to write extramural research

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[104] Ibid.

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proposals, many of which get funded. The GWIPP Scholars Program has an important enforcement mechanism—the rare faculty member who becomes a policy scholar and fails to write a funding proposal does not get a second chance at GWIPP funding. The return on the GWIPP investment has been good: each dollar spent on GWIPP policy scholarships returns at least $3 and probably closer to $4 in extramural research funding.[105] The GWIPP model provides a good example for selective excellence programs.

Capital and Maintenance Planning

Guiding question: How does GW build and maintain the physical, technological, and human capital necessary to attain its aspirations as a national, research university?

The University's capital project financing strategy seeks to achieve a balance between providing funding for current capital project priorities and maintaining adequate debt capacity for future projects. This balance is achieved by:

- amortizing project debt based on the useful lives of the financed assets (generally between 10 and 30 years). In some instances, the University's amortization exceeds the annual amount required by the University's lenders; and
- financing projects internally.

Both of these strategies allow the University to maintain its debt capacity. The University's bond rating, while not as strong as some others in its market basket, is good and has the potential to improve.

The administration takes pride that its ability to finance capital projects internally is a result of an increase in capital reserves over the course of the past several years. The increase was a function of:

- improved collection of student fees, grants, and other receivables;
- improved operating results of the Medical Center as a result of the University's sale of GW hospital;
- transfers from operations for capital projects;
- transfers of interest rate savings from the operating budget; and
- transfers of one-time operating budget savings.

The administration maintains that transfers from the operating budget have reduced borrowing needs for the future and allowed the University to invest in the facilities needed to attract and retain an improving student population that expects high-quality academic, housing, and recreational facilities. There is no dispute that the University's capital project financing strategy, along with the reduced exposure to the health care industry and continuing strong student demographics, have strengthened the University's balance sheet and credit rating.

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[105] According to Garry Young, the acting director of GWIPP, the average GWIPP scholar has generated more than $32,000 in extramural research support and has recently received a stipend of $8,000.

Nevertheless, the Ad Hoc Committee of Concerned Faculty criticized the university's capital management structure, arguing that the University should have locked into more fixed-rate debt, particularly in light of the fact that the yield curve has recently been flat or inverted. From an asset-liability matching standpoint, this would put finance theory into practice: The University's assets, largely in the form of real estate, have long duration, and should therefore be matched with long-duration liabilities. Moreover, a substantial portion of the debt service payment that the University makes is principal amortization, which speeds the pace at which it owns equity in real estate. In terms of its portfolio, the University might be better off from both risk and return points of view were it to invest amortization payments into other assets, or, alternatively, into students and faculty. That said, it is easy to understand why the University wishes to maintain and even enhance its bond rating, which in turn would seem to imply reducing debt on its balance sheet. On the other hand, improving the University's asset position would be an equally effective strategy.

With respect to the management of the assets it does own, the University has performed well. The return on the endowment has, in recent years, outperformed the weighted index of assets in which the University invests by almost 3 percentage points per year since January 1996 (see Supporting Document **7.21**). Because the University's endowment payout policy is indexed to the consumer price index, the amount of endowment earnings used to support the operating budget will generally increase each year. Poor investment performance over a sustained period might necessitate a change in the current policy that could, in turn, lead to a slowing of the growth rate of the operating budget.

Standard 2: Planning/Resource Allocation

Are the capital budget priorities determined in a manner consistent with the SPAE? What criteria are utilized to prioritize the capital budget?

Beyond fundraising is the issue of capital budget strategy. The University document on capital budgeting is notable for being short on specifics. The document states that priorities are determined by necessity in meeting the unit's teaching and sponsored research commitments; potential contributions to achieving the goals of the SPAE; life safety and compliance issues; structural, electrical, and mechanical feasibility; and cost.

These are all reasonable criteria, but it is not clear how they interact with one another. In the business world, capital projects get ranked based upon their net present value (NPV)—that is, the net financial value of an investment considering projected cash flows and the likely risk embedded in those cash flows. NPV is probably not the criterion that should be used in an academic setting, but it would be reasonable to try to determine the "net academic value" of potential investments as the University sets its long-term priorities.

Moreover, the University needs to consider that investments are more than tangibles such as bricks and mortar and technology. Just as many of the most valuable companies, such as Microsoft, derive the vast majority of their value from the innovation of their people, great universities derive most of their reputation from their students and faculty. As part of the capital budgeting process, the benefits of a nice building must compete with the benefits of being able to

recruit top faculty: The University must explicitly determine whether investments in buildings or in faculty have a higher payoff.

Analysis, Comparison, and Recommendations

The overall financial condition of the University is good. The first basis for this assessment is the University's bond rating, which Moody's currently puts at A2 (the third best rating) and Standard and Poor's puts at A (again, the third best rating). This means the University is an "investment-grade" credit risk and is able to borrow at a spread of only 100 to 132 basis points over comparable maturity Treasuries.[106] The second basis is that the University receives far more applications from qualified applicants for admission (particularly at the undergraduate level) than it can accept. This is true despite the fact that the University has among the highest undergraduate tuition rates of any school in the country. Graduate enrollments, on the other hand, are more uncertain from year to year and create volatility in the level of cash flow deficits or surpluses, although overall they have been strong recently.

The University relies too much on tuition and not enough on endowment income for its financial health. In 2005, GW had a tuition-dependency ratio of 80%. Among GW's selected peer institutions, only American University relied more heavily on tuition and then by only a fraction of a percentage point. By contrast, the median school in GW's self-chosen market basket relies on tuition for little more than half of its budget (see Chapter 7 Appendix, Figure 1). This is especially problematic given GW's high tuition and its limited ability to increase enrollment. As part of gaining the D.C. Zoning Commission's approval of GW's 20-year Foggy Bottom Campus plan (in March 2007), GW agreed to maintain existing enrollment caps of 20,000 FTE undergraduate and graduate students at the Foggy Bottom campus. The University is coming close to the District's imposed limit.[107] While the University is attempting to respond to these limits by developing programs off campus, one of GW's most attractive assets is its Foggy Bottom location. Thus, it is especially important that GW's programs be attractive to students independent of their location. The heavy reliance on tuition is also problematic because it means the University has high operating leverage: Enrollments, and therefore revenues, fluctuate from year to year, while expenses remain fairly constant. This creates problems both when enrollments come in below projections (because the University then faces shortfalls that it must respond to in an ad hoc manner) and when enrollments come in above projections (because classroom and faculty capacity may not be sufficient to meet the needs of the extra students). Even under the best of circumstances, it is difficult to forecast enrollments precisely.

The principal problem arises from the University's relatively small endowment (particularly per student), which is a consequence of GW's relative lack of fundraising success combined with its aspirations. GW's endowment was about $42,000 per student in 2005; this compares with a market-basket median of more than $102,000 (see Chapter 7 Appendix, Figure 2). GW raised

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[106] See Almeida and Phillipon (2007), The Risk Adjusted Cost of Financial Distress, NYU Stern School of Business working paper (Supporting Document **7.01**). Spreads are a function of maturity as well as credit risk. If GW were to improve its credit rating to AAA, it could reduce its capital costs by 60 to 70 basis points.

[107] Moreover, a D.C. regulation states that the University must house 70 percent of its first 8,000 undergraduates and every student thereafter. For GW to increase its undergraduate enrollment, it must add residence hall space. However, the overall cap puts a limit on the number of residence hall rooms the University may provide.

$47 million from private voluntary giving in 2004; the market-basket median was $115 million (see Chapter 7 Appendix, Figure 3). This shortcoming is compounded by the fact that GW's FTE enrollment of 19,556 in 2005 was substantially above the market-basket median of 12,261.

In addition, the University does not fare well in terms of external research funding. While the committee believes the University should encourage sponsored research, such research should not be considered in the short term as a profit center but instead as a way to enhance the University's prestige, which in turn could lead to more gifts in the future.

Finally, the University has tended to invest more in real estate than in people. On the one hand, the University has recently built magnificent academic buildings, including 1957 E Street, the Law School, and Duquès Hall. On the other, the University relies heavily on adjunct and contract faculty for teaching. The student-faculty ratio at GW is among the highest of its peer institutions (see Chapter 7 Appendix, Figure 4), and increases in undergraduate enrollments have not led to concomitant increases in faculty size (see Chapter 7 Appendix, Table 1). Moreover, according to the AAUP, average faculty salaries at GW are, at all ranks, lower than Georgetown's and are surprisingly lower than American University for full professors (see Supporting Document **7.02**)[108]. And while the University has spent a large sum of money on residence halls (at $70,000 to $100,000 per room,[109] it spends substantially more than many of its peers), annual graduating senior surveys distributed by the Office of Academic Planning and Assessment suggest that the level of student satisfaction with services such as advising and career services is not high (see Supporting Document **7.05**).

Peer Group Comparison

Recently, the University has created a "dashboard" that presents a number of metrics that are used as part of the annual planning process. The metrics track University trends as well as those of peer-group institutions. In this report, the committee has referred to many of these metrics already; they include tuition pricing, student demand, tuition dependency, performance relative to budget, endowment per full-time-equivalent student, debt-to-endowment ratio, and debt-to-net-asset ratio. The University compares itself in the dashboard with the following set of universities: American University, Boston University, Duke University, Emory University, Georgetown University, New York University, Northwestern University, Southern Methodist University, Tufts University, Tulane University, the University of Miami, the University of Southern California, Vanderbilt University, and Washington University in St. Louis.

Such measures as endowment size, research expenditures, bond rating, and fundraising show that GW's true peers at this point are American, Southern Methodist, and Miami (see figures cited earlier); the other universities perform better than GW in nearly every dimension and are considered aspiration schools. The areas where GW is slightly above median for this group are student applications, selectivity (as measured by acceptance rate), and admissions yield. This performance is remarkably good in light of how poorly the University compares with the group

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[108] EVPAA Lehman notes that Georgetown's salaries are higher because of a relatively larger Law School faculty.

[109] See Supporting Document **7.03**, Operating and Capital Budget for 2006. For residence hall room construction costs at other universities, see Supporting Document **7.04**.

in terms of nontuition-based resources.[110] The committee also understands that some of the schools, such as Duke and Northwestern, are clearly at a level, in terms of resources and recognition, to which GW now can only aspire.

The peer group is important as GW assesses its performance. Specifically, the Board of Trustees of GW has identified 21 core indicators of University performance. These indicators are spread over three categories: revenue, operational effectiveness, and characteristics of excellence.

The three revenue metrics are funds from private giving, endowment per student, and tuition dependency. The operational effectiveness metrics are change in gross revenue from student tuition and fees per student FTE versus higher education price index; percentage of undergraduates housed on campus; freshman discount rate; debt service as a share of operating budget; bond rating; and student-faculty ratio. The characteristics of excellence indicators are endowed chairs, federal and total research expenditures, programs in the top 50, faculty teaching load, National Academy membership, undergraduate applications, undergraduate acceptance rate and yield, graduation rate, graduate enrollment, and debt burden per graduating student.

The overall picture is not as GW might like but needs to be taken in context. For the vast majority of metrics, as previously noted, the University falls below the median member of its market basket. While the committee does not wish to be Panglossian about this, this performance does say something about what GW aspires to as a university. It would be very easy to pick 15 places for which GW was above median for all measures.

What is disturbing, however, is that GW is slipping relative to its peers on several important measures, including private giving based on audited financial statements, endowment support, tuition dependency, cost, federal research expenditures, and total research expenditures. An indicator of the University's inability to attract and retain the highest caliber faculty has been its relative decline in the number of faculty members holding National Academy memberships.

Recommendations

As a general matter, the committee thinks there is still opportunity to improve the integration of academic and financial planning in the operating and capital budgeting process.

Recommendations for improvement of the process:

1) Increased transparency of the process would result in broader support of the SPAE. For example, although the committee assigned to determine selective excellence undertook a rigorous and transparent ranking process for the signature programs, several highly ranked programs were not funded. In short, while the process was transparent, the decision criteria were not. Moreover, the capital budgeting decision-making process and the process for reallocating resources throughout the University must become more transparent.

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[110] We have described above how GW lags behind its peers in endowment size and annual research expenditures.

2) To some extent, the uncertainty in the budget process is a function of focusing primarily on developing the budget for the upcoming year rather than multiple years. To address this shortcoming, the FY2007 budget process included developing high-level revenue and expenditure estimates for FY2008 and FY2009. Continuing to expand the multiyear planning process, including incorporating multiyear assumptions from the subunits, would reduce the level of uncertainty, lessen the risk of making suboptimal decisions regarding the allocation of resources, and increase confidence in the University's budget process.

3) The committee's understanding is that the Budget Working Group will be continued in the near term, and it recommends that this group or a more permanent similar forum start earlier in the next planning cycle. In addition, if multiple-year budgets are developed, the committee can assist in monitoring the continuing applicability of the underlying assumptions and make recommendations for appropriate adjustments.

4) The recent revisions to the unified budget model should continue to be implemented; the process and metrics should be reviewed and continuously adjusted and improved to reflect changing conditions.

5) At the University level, the budget process should be regularized with tight adherence to calendar targets and deadlines, so that broader planning processes with faculty and staff can be pushed down to the school, college, and major operating unit levels.

6) Appropriate metrics should be developed to link enrollment projections to staffing and budget decisions. Having metrics in place would provide schools and subunits a framework for developing multiyear planning estimates.

7) Budget processes should provide more incentives for faculty to achieve University goals. For example, units that secure research support should benefit from that support. A good example is the CCAS program, in which 75% of course-buyout funds are returned to the department that secured the funds.

Supporting Documents

7.01   The Risk-Adjusted Cost of Financial Distress
7.02   Chronicle of Higher Education AAUP Faculty Salary Survey
7.03   FY06 Operating and Capital Budget
7.04   Task Force on Undergraduate Residence Life Initiatives
7.05   Graduating Senior Survey 2005 Summary Tables
7.06   Unified Budget Model
7.08   AAUP Report on the Economic Status of the Profession Table 9A 2001-2002
7.09   AAUP Report on the Economic Status of the Profession Tables 2003-04
7.10   AAUP Report on the Economic Status of the Profession Tables 2004-05
7.11   AAUP Report on the Economic Status of the Profession Tables 2005-06
7.12   AAUP Report on the Economic Status of the Profession Tables 2006-07
7.13   Office of Institutional Research - Faculty Salaries
7.14   AAUP Faculty Salary Survey - Facts and Figures
7.15   Ad Hoc Committee of Concerned Faculty - 5/5/05
7.16   Statement and Recommendations on Visa Problems
7.17   Common Data Set - Links to Institutional Data
7.18   AAUP Trends in Enrollment Management
7.19   UMD Student Enrollment by Gender, Race/Citizenship
7.20   Faculty Counts - Fall 2006
7.21   FY06 3Q Endowment Management Report

CHAPTER 8

Conclusions, Challenges, and Recommendations

After several years of planning, information gathering, analysis, and discussion involving individuals from all segments of the GW community (e.g., faculty, students, administrative staff, trustees, alumni), the George Washington University's Board of Trustees adopted in June 2002 the Strategic Plan for Academic Excellence: Sustaining Momentum and Maximizing Strength (SPAE) (see Supporting Document **8.01**). Appropriately, the strategic plan has been the guiding force for changes that have been implemented across the University since its adoption. Thus, having reached the 5-year point in the plan's implementation, and with the dual impetus of a new president assuming leadership of the University and of the reaffirmation of GW's MSCHE accreditation status, the University recognized that it had reached an appropriate and opportune time to take stock of where it stands with respect to achievement of its goals, to reflect on questions that have arisen since adoption of the strategic plan, and to identify the challenges that lie ahead for the University.

The SPAE established an ambitious design to drive GW's academic accomplishments and its reputation into the top ranks of institutions of higher education. The plan called for GW to fulfill its educational mission by building quality undergraduate programs and by focusing on its top-ranked doctoral programs (Goal 1), while simultaneously strengthening and expanding its high-quality professional graduate programs (Goal 2). In addition to serving the educational aspirations of its students, the University sought to become a top-tier research institution with a world-class faculty (Goal 3). As part of its educational and service missions, the University sought to foster a community that was culturally and intellectually diverse, and it sought to build an environment in which a strong sense of community could flourish (Goal 4). To accomplish these goals, the University recognized it needed an infrastructure that matched its education and research aspirations (Goal 5). Finally, the university sought to accomplish this while at the same time maintaining and enhancing its strong financial base (Goal 6). The goals articulated in the SPAE showed that GW was not content to be seen as a second-tier school or as a school that neglected either an educational or research mission. For virtually any relevant metric one might employ (e.g., selectivity of admissions, research dollars secured, faculty visibility, national rankings), the SPAE clearly established a trajectory.

Much of the improvement achieved in the University has resulted directly from initiatives derived from the SPAE. Under these initiatives, the University has developed and rolled out a university-wide undergraduate writing program, created a "selective excellence" program that identified targets for new investment, expanded residential learning communities, and, most recently, dramatically invested in development.

The changes that occurred as a result of the SPAE have raised a number of questions across campus. These range from the effectiveness of various programs designed to accomplish the University's goals to the unintended consequences that flowed from the plan. The questions stemming from the strategic plan have guided the development of this report. Thus, as we addressed these multiple questions, we sought to juxtapose our analysis with our assessment of

four (Nos. 2, 3, 7, and 14) of the 14 accreditation standards embraced by the Middle States Commission on Higher Education.

Middle States Standards

The first Middle States standard that was directly addressed by the Steering Committee and its working groups requires an institution both to conduct ongoing planning and to deploy the results for institutional renewal. In many respects, GW has over the past decade been consumed by a culture of planning and data collection. The SPAE itself, the selective excellence program, the development of the College of Professional Studies, the University Writing Program, and the Campus Plan are all examples of the sort of planning that routinely occurs across the campus. Some of these plans (such as the SPAE and the doctoral program review) are being implemented; others (such as the 4x4 curriculum and an alternative curriculum or mandatory summer) have been the subject of intense campus deliberations but have not been implemented. GW is an institution that embraces planning and that has sought to use such planning to guide its development and allocation of resources.

The second MSCHE standard that was directly addressed is the adequacy of institutional resources. In many respects, GW has made substantial investments yet still has far to go. Major investments in academic technology have paid off. Over the past decade, as the campus has become wired, many classrooms have gained computer technology that professors want to utilize, and students and faculty have acquired ready access to high-powered personal computers. This is a dramatic change from where the university stood a decade ago. Likewise, a number of new or renovated academic buildings have come online. At the same time, major investments are still needed. In particular, the University's science departments and engineering school have space limitations that hinder their advancement. Major investments in research services and development have only recently been made and have yet to yield a substantial harvest. Although by many metrics GW is a university in a sound financial position (e.g., it has an A2 rating from Moody's and an A rating from Standard & Poor's—see Supporting Documents **8.02** and **8.03**), its aspirations outstrip its current financial capabilities. A modest endowment and a dependence on tuition have led to tension between infrastructure and academic program investments and between ongoing basic educational programs and special academic and research initiatives.

The third Middle States standard addressed covers the presence and adequacy of institutional assessment. GW has demonstrated a commitment to institutional assessment. The SPAE includes specific metrics by which changes can be assessed and for which deans and other administrative officials are accountable on an annual basis. Likewise, the University culture is one in which objectives are frequently identified. These objectives range from increased student retention to enhanced student writing, from increased research expenditures to greater community involvement on the part of faculty and students. The University constantly evaluates itself and its success in meeting its objectives. The regular academic program reviews that are required every 5 years (see Supporting Document **8.04**), a recently instituted gap survey (see Supporting Document **8.05**), annual reports submitted by every unit (see Supporting Documents **8.06**–**8.14**), and the extensive accreditation processes in which many programs participate with their own professional organizations (see Supporting Document **8.16**) all demonstrate a broad-based commitment to assessment.

Nevertheless, not all University constituencies are fully committed to institutional renewal. As a result, efforts to reallocate resources are frequently undermined. In many respects, nothing is more illustrative than the "hot topics" that drove this report and the conclusions that were reached. Many of these topics pertained to whether the investments made to accomplish particular goals were adequate. We often concluded that, even though investments were being made, the extent of the investment was frequently insufficient to accomplish the University's goals. Another set of questions arose from a concern about the processes by which goals are established and resources allocated. Were these processes sufficiently inclusive and transparent? Major strategic planning processes such as the development of the SPAE did include a broad range of University constituencies, but stakeholders were frequently more involved in identifying new investments than when making the reallocation decisions that helped fund the investments. One important exception was the recent-graduate doctoral program review, which resulted in several doctoral programs being terminated, consolidated, or suspended in the Columbian College of Arts and Sciences, the School of Business, and the School of Medicine and Health Sciences, with funds redirected to strategic initiatives.

The fourth standard addressed by the Steering Committee was the assessment of student learning. In many ways, the effort devoted to student assessment is improving rapidly. For years, assessment of learning was not tied to clearly articulated goals and objectives. Rather, it included an assortment of direct and indirect measures, such as student success on professional exams, in-class performance and grades, course evaluations, and self-reported measures of learning competencies typically part of a college education. Recently, the University has worked to define learning goals and to develop measures for effectively assessing outcomes. The revised guidelines for academic program reviews (see Supporting Document **8.15**) include a section on assessment, proposals for new courses must address learning outcomes, and new program initiatives require that assessment results be reported. For example, the new University Writing Program developed rubrics to evaluate students' writing based on the goals of the program. For two summers, faculty have engaged in what is familiarly called the "Big Read," whereby they read and evaluate writing samples from each of the sections of the first-year writing course. The findings are then used to improve the teaching of writing. The Law School has instituted a system of peer review to improve teaching and student learning. Other programs are adding capstone courses to assess learning in the major. The University has committed itself to and has taken important first steps toward a more direct and comprehensive assessment of student learning.

Challenges

The greatest challenges to the University in the next decade may well be to secure the resources necessary to realize its aspirations and to fund its initiatives. Over the past decade, GW has financed many of its initiatives from tuition revenue. This has been necessary because of GW's modest endowment (given the size of the University) and limited success at fundraising. Because of enrollment restrictions imposed by the District of Columbia government and a tuition structure that makes GW one of the most expensive schools in the country, the University's capacity to implement its plans depends in part upon securing additional sources of revenue. This

very recognition spawned a major investment in the University's Division of Development and Alumni Relations in 2007.

A second challenge is to move from a culture of data collection and investment to a culture of assessment and renewal. Whereas the University has established metrics and collected data, it has not consistently applied the data collected to meaningful assessment. Likewise, while the University has embraced "strategic investments," it has not fully implemented strategic reallocation as a key means of attaining its goals. The University is much better at making incremental adjustments than at identifying programs and policies that should be either substantially restructured or eliminated. The growth in the undergraduate student body that occurred throughout the Trachtenberg administration made it possible for the University to circumvent some of the choices that, though inevitably difficult, would contribute significantly to the health of the institution.

A third challenge is to maintain the University's dedication to undergraduate and graduate education while at the same time evolving into a more research-oriented university. Programs such as the CCAS Dean's Seminars, the GWSB's First-Year Development Program, and the University Writing Program are all affirmative steps toward making the undergraduate education experience consistent with expectations. In addition, the recent effort to increase graduate stipends for doctoral students is geared toward building top-tier PhD programs.

A fourth challenge stems from the difficulty in balancing teaching and research during a time when available full-time teaching hours are shrinking and student numbers are growing. As more faculty have used research grants to reduce their teaching loads, and as undergraduate student enrollments have risen, a less desirable distribution of teaching responsibilities among tenure-track, contract, and adjunct faculty has emerged. Increased reliance on non-tenure-track faculty and the problems in hiring such faculty presumably make it more difficult to ensure consistently high-quality advising, teaching, and assessment of student performance. These factors, in turn, make it more difficult to ensure that students attain the knowledge, competencies, and skills consistent with the University's goals and expressed learning outcomes.

A fifth challenge will be to continue to develop the University's infrastructure. During the Trachtenberg administration, the University built or improved a number of facilities, including homes for the School of Business, the Law School, the Graduate School of Education and Human Development, the Elliott School of International Affairs, and, most recently, four major CCAS departments (economics, mathematics, political science, and speech and hearing science). The University also added two campuses (the Virginia Campus and the Mount Vernon Campus). Concurrently, the University experienced a tremendous growth in its undergraduate student population. Much of the bricks-and-mortar and infrastructure development has merely enabled the University to keep up with demand for office and classroom space and for undergraduate housing. Further expansion is sorely needed. Perhaps most important is the development of space for both science and engineering. A new campus plan, recently approved by the D.C. Zoning Commission, offers a blueprint for addressing GW's facilities challenges, but the coincident challenge of securing sufficient capital to realize the potential in this plan remains daunting.

A sixth challenge is expanding utilization of the Virginia Campus. Although the campus was established in 1991 with great expectations, it has yet to fulfill those expectations. Appropriate investments in the campus's infrastructure and incentives for faculty to locate their research at the campus are needed if the campus is to fulfill its promise as a major contributor to GW's research enterprise.

A final challenge is to attain status as a preeminent academic institution in our downtown D.C. site. The University's location in Washington is clearly one of its most important assets. Top-notch students and scholars seek to be a part of GW because of its location. However, the University's location in the heart of the nation's capital also poses unique challenges. In addition to thriving in a city with powerful neighborhood organizations that are frequently skeptical of the University's desire to enhance its facilities and to serve greater numbers of students, GW has found that the location has made it hard to build and sustain the ethos of a community of scholars. The opportunities offered by the metropolitan Washington area are a siren's song that lures faculty and student energy and attention away from the University. The challenge is to attain an effective balance between campus and city activity that best serves faculty members' and students' interests.

Recommendations

We offer numerous specific recommendations throughout the report. Here, we highlight three areas that unify many of the recommendations in the report.

Perhaps the most important recommendation is that the University diversify its financial base. It needs to cultivate new funding sources and decrease its reliance upon tuition. The endowment has grown significantly but remains modest for an institution of GW's scope and aspirations. Debt has been used judiciously to expand and enhance the University's facilities. Nevertheless, GW has aspirations that far outstrip its income. The University's reliance upon tuition as its dominant source of funds creates uncertainties that make long-term planning difficult.

A second broad theme throughout the report is that incentive structures throughout the University are frequently inconsistent (and occasionally incompatible) with the SPAE. For example, the SPAE calls for the University to build a world-class faculty. Yet, many departments/programs are fearful that authorized searches will not be reauthorized if a search fails. This fear is exacerbated by hiring decisions that are made on a year-by-year basis. As a result, some departments and units make completing a search a priority rather than limiting their hiring to faculty who truly are world class. This is reflected in the very high proportion of the faculty searches at GW that are successfully filled. Pursuing world-class faculty inevitably will require a number of searches to fail. Likewise, the fact that searches are frequently geared toward finding faculty to fulfill specific "niches" rather than pursuing "targets of opportunity" makes it more difficult to secure a world-class faculty. Along these same lines, the tenure standards employed by some departments and units within the University are not necessarily compatible with building a world-class faculty.

On the research side, it is not clear that an incentive system exists that encourages faculty and departments to pursue external support. In some schools, salary savings have been recouped by

the school, which discourages units from pursuing external support. In turn, returning a relatively small portion of indirect costs to principal investigators limits faculty's incentive to aggressively pursue external support.

On the budgeting side, the unified budget model provides the schools with a marginal incentive to perform well financially and virtually no incentive to perform well academically. The inability of individual schools to bank compensation savings creates an incentive for schools to spend resources in a manner that is incompatible with the long-term objectives of the SPAE. The University development program does not appear to be fully aligned with the goals of the SPAE. While some significant gifts for endowed chairs have been secured, other major gifts (and potential naming opportunities) associated with the SPAE have not been forthcoming. Dean's Seminars, the University Writing Program, and (with the exception of the new School of Business building, Ric and Dawn Duquès Hall) major campus investments (1957 E Street, 1959 E Street, Ivory Tower, New Hall, 2109 F Street, and the recently refurbished Hall of Government and Monroe Halls) have not been associated with naming gifts. Significant investment is now being made in GW's Division of Development with the expectation that this investment will yield a several-fold return.

The third broad area is the need for a transparent and open commitment to renewal. In many respects, GW has mastered the art of identifying targets for investment and of institutional assessment. But with a few notable exceptions (in particular, the doctoral program review), the University has not taken seriously the notion that the reallocation decisions should be routinely contemplated and should be based upon a strategic assessment of both where to invest and where to cut. The major reallocations that have occurred are popularly perceived as being driven by fiscal necessity rather than strategic targeting.

Conclusion

Over the past decade, GW embraced strategic planning, and the University advanced as a result. The SPAE has guided many of the developments on campus. Nevertheless, it is clear that the aspirations captured by the SPAE have not been fully realized. This is in part a reflection of the nature of GW's aspirations and in part a reflection of the fact that this is an environment of limited resources, of incentive structures that are not fully compatible with the SPAE, and of a budgeting process that makes long-term planning complicated. As GW experiences a change in leadership, the SPAE continues to provide an important and achievable vision for the University. Attainment of its goals, however, will require the University to identify more diverse and productive revenue sources and strategically realign its priorities.

Supporting Documents

8.01	Strategic Plan for Academic Excellence (SPAE)
8.02	Credit Ratings Report – Moody's
8.03	Credit Ratings Report – Standard & Poor's
8.04	Academic Program Review Due Dates 9-13-05
8.05	2006 University Gap Survey Summary
8.06	CCAS Annual Report FY06
8.07	CPS Annual Report FY06
8.08	ESIA Annual Report FY06
8.09	GSEHD Annual Report FY06
8.10	GWSB Annual Report AY06
8.11	LAW Annual Report AY06
8.12	SEAS Annual Report FY06
8.13	SMHS Annual Report FY06
8.14	SPHHS Annual Report FY06
8.15	Academic Program Review Guidelines
8.16	Office of Institutional Research - Accreditation

Chapter 4 Appendices

Appendix 1:
Recruitment and Retention of Faculty

Item 1: The following seven key administrators were determined to be in positions that give them insight into the recruitment and retention activities of the University:

1) ESIA: Hugh Agnew (Associate Dean for Faculty and Student Affairs)
2) GSWB: Prabir Bagchi (Senior Associate Dean)
3) GSEHD: Janet Heddesheimer (Associate Dean)
4) Law: Frederick M. Lawrence (Dean)
5) CCAS: Diana Lipscomb (Interim Dean)
6) SMHS: Monica M. Partsch (Director, Office of Faculty Affairs)
7) SEAS: Timothy W. Tong (Dean)

Item 2: The following questions were submitted to the key administrators:

1) What is your definition of a "world-class" faculty?
2) On what basis do you judge a whether a current or prospective faculty member is world-class or not?
3) Is the building (or maintaining) of a world-class faculty in your unit the primary focus of your recruitment activities? If not, what is the primary focus?
4) How do you ensure that the individual recruiting efforts of your subunits are recruiting world-class faculty members?
5) How do you measure the outcomes of faculty searches to evaluate whether they resulted in the addition of a world-class faculty member or not? In other words, how do you judge whether the chosen faculty member is world-class?
6) Do you engage in any recruitment activities to meet needs other than building (or maintaining) a world-class faculty? If so, what are these needs?
7) How are resources allocated between the goal of recruiting a world-class faculty and other recruitment efforts?
8) Are the resources available to you for recruitment sufficient to ensure that your unit is competitive with other institutions in attracting world-class faculty members? If not, what is insufficient?
9) Has your unit failed to retain any world-class faculty member? If so, what factors resulted in your inability to retain these individuals?
10) Is your unit effectively recruiting and retaining a world-class faculty?

Appendix 2:
Sponsored Research Support

Item 1: The following seven individuals were identified as key administrators that hold research-related positions in the various University schools. Written questions were submitted to each and a personal interview was conducted by a member of the subcommittee.

1) CCAS: Diana Lipscomb (Associate Dean for Faculty and Research)
2) GSEHD: Joel Gomez (Associate Dean for Research)
3) ESIA: Kristin Lord (Associate Dean for Strategy, Research, and External Relations)
4) Law: Naomi Cahn (Associate Dean for Faculty Development) and Steven Schooner (Senior Associate Dean for Academic Affairs)
5) SPHHS: Rebecca Parkin (Associate Dean for Research and Public Health Practice)
6) OCRO: Elliot Hirshman (Chief Research Officer)

Item 2: The written questions that were submitted to these administrators were:

1) What is your policy on allocating salary savings garnered from external research funding?
2) What is your policy on indirect cost return, i.e., REIA?
3) Do you allow salary overloads for faculty bringing in external funding? For example, can faculty on 9-month salary increase their salary by more than two ninths by bringing in external funding?
4) What types of infrastructure and other resources do you have in place to support and encourage sponsored research?
5) What is your policy on teaching buyouts (e.g., replacement costs) for faculty bringing in external funding?

Appendix 3:
University Research Environment Research Design

Item 1: The following eight individuals were identified as key administrators who hold research-related positions in the various University schools. Written questions were submitted to each, and a personal interview was conducted by a member of the subcommittee.

1) CCAS: Diana Lipscomb (Associate Dean for Faculty and Research)
2) GWSB: William Baber (Associate Dean for Research and Doctoral Studies)
3) GSEHD: Joel Gomez (Associate Dean for Research)
4) ESIA: Kristin Lord (Associate Dean for Strategy, Research, and External Relations)
5) SEAS: Timothy Tong (Dean)
6) Law: Naomi Cahn (Associate Dean for Faculty Development) and Steven Schooner (Senior Associate Dean for Academic Affairs)
7) SMHS: Anne Hirshfield (Associate Vice President for Health Research, Compliance, and Technology Transfer)
8) SPHHS: Rebecca Parkin (Associate Dean for Research and Public Health Practice)

Item 2: The written questions that were submitted to the key individuals identified above:

1) Is it a goal of your school's strategic plan to increase its research effort?
2) If yes to the above, what are the key points of your strategic plan to increase your school's research effort?
3) Enumerate those areas where you feel there are insufficient resources for the research effort of your school.
4) Does your school's strategic plan place a priority on sponsored over non-sponsored research?
5) Is there the expectation that internally funded investigators should seek external funding?

Item 3: The survey questions submitted to the center and/or institute directors.

- Briefly describe how your institute or center contributes to the research environment of GW.

- Below is a list of services institutes or centers provide. Please indicate the degree to which your institute/center provides each service.
    Scale: 1= To a great extent; 2= To some extent 3= Not at all
    1) Provides start-up money for new research projects
    2) Provides expertise for new research projects
    3) Secures extramural grants
    4) Provides funds for conferences, seminars, etc.
    5) Provides stipend support for graduate students
    6) Plans conferences
Other _____

Appendix 4 Tables

Table 4-1
GW Faculty Holding Endowed Chairs, Fall 2004
Columbian College of Arts and Sciences

Endowed Chair	*Professor*
Louis B. Weintraub Assistant Professor of Biology	Marc William Allard
Ronald B.Weintraub Assistant Professor of Biology	James M. Clark
Weintraub Professorship Fund	Patrick Herendeen
Ruth Weintraub Assistant Professor of Biological Sciences	Gustavo Hormiga
J. B. and Maurice C. Shapiro Professor of Media and Public Affairs	Steven Roberts
Charles E. Smith Professor of Jewish History	Marc Eli Saperstein
Evelyn E. and Lloyd H. Elliott Fund, in support of the Gaston Sigur Professorship	Amy Searight
Elmer Louis Kayser Professorship in History I and II	Dane Kennedy
Elton Professor of Philosophy	William Griffith

School of Business

Endowed Chair	*Professor*
Iran Chair	Hossein G. Askari
Benjamin Franklin Professorship I and II	William R. Baber
Oliver T. Carr Professorship Fund	Richard Green
Dwight D. Eisenhower Professor of Tourism Administration	Donald E. Hawkins

Elliott School of International Affairs

Endowed Chair	*Professor*
J. B. and Maurice C. Shapiro Chair of International Affairs I and II	Edward Gnehm
Edgar R. Baker Adjunct Professorship in the Elliott School of International Affairs I and II	David D. Gow
Japan-U.S. Relations Chair in Memory of Gaston-Sigur	Mike Mochizuki
Korea Foundation Endowment	Kirk Larsen
Yitzhak Rabin Memorial Professor of International Affairs, Ethics, and Human Behavior	Walter Reich

School of Engineering and Applied Science

Endowed Chair	*Professor*
James Clark Professor of Engineering and Applied Science	Gideon Frieder
L. Stanley Crane Professor of Engineering and Applied Science	To Be Named

Law School

Endowed Chair	*Professor*
Emil K. Grubin Professor in Government Contracts Law	William Kovacic

F. Elwood and Eleanor Davis Professor of Law	Ira C. Lupu
Lyle T. Alverson Professor of Law	C. Thomas Dienes
Lyle T. Alverson Professor of Law	Richard J. Pierce
Lyle T. Alverson Professor of Law	Charles Craver
J.B. and Maurice C. Shapiro Professor of Environmental Law	Arnold W. Reitze
Harold H. Greene Professor of Law	Jerome Barron
Howrey Professor of Trial Advocacy, Litigation, and Professional Responsibility	Stephen A. Saltzburg
Professor S. Chesterfield Oppenheim Endowed Chair	Thomas Morgan
Theodore Rinehart Professor of Business Law	Lewis D. Solomon
J. B. and Maurice C. Shapiro Professor of Public Service Law	Jonathan R. Turley

School of Medicine and Health Sciences

Endowed Chair	*Professor*
Ralph E. Loewy Professorship in Oncology	Vincent Chiappinelli
Hugo V. Rizzoli, MD, Chair in Neurosurgery	Anthony Caputy
Seymour Alpert Professor of Anesthesiology and Critical Care Medicine	Michael J. Berrigan
Walter A Bloedorn, MD, Chair in Cardiology	Richard Katz
Walter A Bloedorn, MD, Professorship of Administrative Medicine	John Williams
Oscar I. and Mildred S. Dodek Professor of Obstetrics and Gynecology	John W. Larsen
Leon Yochelson Professor of Psychiatry and Behavioral Science and of Pediatrics	Jeffrey Akman
Murdock Head Professor of Preventive Medicine	AHEC
King Fahd Professorship Fund I	William Weglicki
King Fahd Professorship Fund II	William Hawley
Vivian Gill Distinguished Research Chair	David Reiss
Eugene Meyer Professor of Medicine	Alan G. Wasserman

School of Public Health and Health Services

Endowed Chair	*Professor*
Harold and Jane Hirsh Professorship in the School of Public Health and Health Services	Sara Rosenbaum
Thelma Hunt University Professorship in Psychology and Health Sciences	Elliot Hirshman
Walter G. Ross Professor of Public Health and Health Services	Ruth Katz
Gordon A. Friesen Professor of International Health and Health Policy	Richard M. Southby

University Professors

Endowed Chair	*Professor*
Jenny McKean Moore Writer in Washington Endowed Chair	Joyce Hackett
University Professor of Philosophy and of Human Sciences	Peter J. Caws

University Professor of Islamic Studies	Seyyed H. Nasr
University Professor of Medical Humanities and Professor of Philosophy	Kenneth F. Schaffner
University Professor of Humanities II	Seyyed Hossein Nasr
Henry R. Luce Professor in Human Origins	Bernard Wood

Source: GW Office of Institutional Research (see Supporting Document **4.31**)

Table 4-3
GW Centers and Institutes

OFFICE OF THE CHIEF RESEARCH OFFICER				
CENTER/INSTITUTE	**DIRECTOR**	**ORIGINAL CHARTER DATE**	**CURRENT START DATE**	**RENEWAL DATE**
Biostatistics Center	Sarah Fowler	July 1986	January 2007	January 2011
Center for Washington Area Studies	Royce Hanson	July 1986	April 2006	April 2009
The George Washington Institute of Public Policy	Hal Wolman	May 1999 (provisional)	January 2006	January 2009
GW Center for the Study of Globalization	John Forrer	December 2001	February 2005	February 2009
GW Women's Leadership Institute	Elizabeth Davis	May 2005	May 2005	May 2008
Institute for Communitarian Policy Studies	Amitai Etzioni	June 1995	November 2002	November 2006
National Health Policy Forum	Judith Miller Jones	Exempted by President Elliott	NA	NA

COLLEGE OF PROFESSIONAL STUDIES				
CENTER/INSTITUTE	**DIRECTOR**	**ORIGINAL CHARTER DATE**	**CURRENT START DATE**	**RENEWAL DATE**
Center for Excellence in Public Leadership	James Robinson	October 1999	January 2006	January 2009
Institute for Politics, Democracy, and the Internet	Carol Darr	May 2002	July 2006	July 2009

COLUMBIAN COLLEGE OF ARTS AND SCIENCES				
CENTER/INSTITUTE	**DIRECTOR**	**ORIGINAL CHARTER DATE**	**CURRENT START DATE**	**RENEWAL DATE**
Center for the Advanced Study of Human Paleobiology	Bernard Wood	February 1999	April 2003	April 2007
Center for Economic Research	Anthony Yezer	January 1996	May 2005	May 2009
Center for Innovation in Public Service	Kathryn Newcomer	June 2003	June 2005	June 2008
Center for Nuclear Studies	William Briscoe	November 1990	June 2003	June 2007
Center for the Study of Combustion and the Environment	Houston Miller	April 1997	April 2001	April 2005

Center for the Study of Public History and Public Culture	James Horton / Melani McAlister	September 2000	November 2004	November 2008
Center for Urban and Environmental Research	David Rain	August 1988	October 2006	October 2007
The Documentary Center	Nina Seavey	July 1990	February 2007	February 2011
The Eleanor Roosevelt and Human Rights Project	Allida Black	September 2000	November 2003	November 2007
First Federal Congress Project	Charlene Bickford	July 1986	February 2006	February 2010
GW Women's Leadership Institute	Elizabeth Daris	May 2005	May 2005	May 2008
W. M. Keck Institute for Proteomics Technology and Applications	Akos Vertes, Fatah Kashanchi	January 2003	February 2007	February 2011
Institute for Ethnographic Research	Richard Grinker	February 2001	March 2005	March 2009
Institute for Materials Science	David Ramaker/Charles Gilmore	March 1993	May 2005	May 2009
Institute for Reliability and Risk Analysis	Nozer Singpurwalla	July 1986	February 2006	February 2009
Institute for Corporate Responsibility	Timothy Fort	October 2006	October 2006	October 2009
Center for Global Engagement	Steven Livingston	October 2006	October 2006	October 2008

ELLIOTT SCHOOL OF INTERNATIONAL AFFAIRS				
CENTER/INSTITUTE	DIRECTOR	ORIGINAL CHARTER DATE	CURRENT START DATE	RENEWAL DATE
Center for International Science and Technology Policy	Nicholas Vonortas	July 1986	March 2003	March 2007
Institute for European, Russian, and Eurasian Studies	James Goldgeier	July 1986	March 2007	March 2011
Institute for Global and International Studies	Deborah Avant	January 2005	January 2005	January 2009
Sigur Center for Asian Studies	Shawn McHale	October 1991	March 2003	March 2007
Space Policy Institute	John Logsdon	July 1986	March 2003	March 2007

GRADUATE SCHOOL OF EDUCATION AND HUMAN DEVELOPMENT				
CENTER/INSTITUTE	DIRECTOR	ORIGINAL CHARTER DATE	CURRENT START DATE	RENEWAL DATE

Center for Curriculum, Standards and Technology	Mary Futrell	June 1996	January 2005	January 2009
Center for Education and Human Service in Acquired Brain Injury	Janis Ruoff	June 2001	January 2005	January 2009
Center for Educational Leadership and Transformation	Sharon McDade	October 1999	March 2006	March 2009
Center for Equity and Excellence in Education	Charlene Rivera	June 1996	January 2005	January 2009
Center for Rehabilitation Counseling, Research, and Education	Donald Dew	June 2003	June 2003	June 2007
Center for the Study of Language and Education	Joel Gomez	June 1996	January 2005	January 2009
Center for the Study of Learning	Margaret Gorman	November 1997	January 2005	January 2009
Hamilton Fish Institute for School and Community Violence	Beverly Caffee Glenn	April 2000	January 2005	January 2009
Institute for Education Studies	Joel Gomez	June 1996	January 2005	January 2009

SCHOOL OF ENGINEERING AND APPLIED SCIENCE				
CENTER/INSTITUTE	DIRECTOR	ORIGINAL CHARTER DATE	CURRENT START DATE	RENEWAL DATE
Center for Intelligent Systems Research	Azim Eskandarian	February 1997	December 2006	December 2010
Center for the Study of Combustion and the Environment	Houston Miller	April 1997	April 2001	April 2005
Cyber Security Policy and Research Institute	C. Dianne Martin	October 1993	April 2003	April 2007
GW Aviation Institute	Vahid Motevalli	April 1998	October 2004	October 2008
GW Transportation Research Institute	Vacant	February 1997	May 2001	May 2005
Institute for Biomedical Engineering	James K. Hahn	March 2004	March 2004	March 2008
Institute for Computer Graphics	James K. Hahn	June 1997	November 2004	November 2008
Institute for Crisis, Disaster and Risk Management	John R. Harrald	August 1994	December 2006	December 2010
Institute for High-Speed Telecommunications	Branimir Vojcic/Suresh Subramaniam	May 2002	November 2004	November 2008
Institute for Knowledge and Innovation	Michael Stankosky/William	March 2001	March 2004	March 2007

	Halal			
Institute for Magnetics Research	Edward Della Torre	November 1991	February 2005	February 2009
Institute for Materials Science	David Ramaker/Charles Gilmore	March 1993	May 2005	May 2009
Institute for MEMS and VLSI Technologies	Mona E. Zaghloul	November 1997	January 2005	January 2009
National Crash Analysis Center	Richard Morgan(Interim Director)	March 1994	May 2001	May 2005

SCHOOL OF BUSINESS				
CENTER/INSTITUTE	DIRECTOR	ORIGINAL CHARTER DATE	CURRENT START DATE	RENEWAL DATE
Center for Entrepreneurial Excellence	Erik Winslow / George Solomon	June 2005	June 2005	June 2008
Center for Latin American Issues	James Ferrer, Jr.	November 1998	January 2005	January 2009
Center for Real Estate and Urban Analysis	Richard Green	April 2000	February 2005	February 2009
European Union Research Center	Scheherazade Rehman	November 1998	June 2005	June 2007
Global and Entrepreneurial Finance Research Institute	Theodore Barnhill	October 2004	October 2004	October 2007
GW Women's Leadership Institute	Elizabeth Daris	May 2005	May 2005	May 2008
International Institute of Tourism Studies	Kristin Lamoureux	February 1991	April 2003	April 2007
Institute for Corporate Responsibility	Timothy Fort	October 2006	October 2006	October 2009

THE LAW SCHOOL				
CENTER/INSTITUTE	DIRECTOR	ORIGINAL CHARTER DATE	CURRENT START DATE	RENEWAL DATE
Creative and Innovative Economy Center	Michael P. Ryan	January 2006	January 2006	January 2009
Dean Dinwoodey Center for Intellectual Property Studies	Marty Adelman	March 1992	May 2005	May 2009
Institute for Constitutional Studies	Maeva Marcus	March 2005	April 2006	April 2007
International Rule of Law Center	Susan Karamanian	December 1991	January 2006	January 2009
Institute for Corporate Responsibility	Timothy Fort	October 2006	October 2006	October 2009

SCHOOL OF MEDICINE AND HEALTH SCIENCES				
CENTER/INSTITUTE	**DIRECTOR**	**ORIGINAL CHARTER DATE**	**CURRENT START DATE**	**RENEWAL DATE**
Center for Aging, Health, and Humanities	Gene Cohen	February 2004	February 2004	February 2007
Center for Digestive Diseases	Bernard Bouscarel	October 1986	July 2006	July 2009
Center for Injury Prevention and Control	Mary Pat McKay	June 1998	November 2002	November 2006
GW Cancer Institute	Steven Patierno	December 2003	December 2003	December 2007
GW HIV/AIDS Institute	Alan Greenberg/ Gary Simon	March 2006	March 2006	March 2009
GW Institute for Biomedical Sciences	Linda Werling	March 1996	May 2004	May 2008
GW Institute for Spirituality and Health	Christina Puchalski	October 2001	March 2006	March 2009
Institute for Global Health Sciences and Services	Richard Southby	June 2005	June 2005	June 2007
W. M. Keck Institute for Proteomics Technology and Applications	Akos Vertes, Fatah Kashanchi	January 2003	February 2007	February 2011
Institute of Translational Research and Development	Peter Hotez	March 2006	March 2006	March 2008
Lipid Research Clinic	Judith Hsia	July 1986	November 2004	November 2008
Ronald Reagan Institute of Emergency Medicine	Robert Shesser Jeffrey Smith	July 1992	March 2007	March 2011

SCHOOL OF PUBLIC HEALTH AND HEALTH SCIENCES				
CENTER/INSTITUTE	**DIRECTOR**	**ORIGINAL CHARTER DATE**	**CURRENT START DATE**	**RENEWAL DATE**
Center for Global Health	Margaret Green	July 1992	November 2002	November 2006
Center for Health Services Research and Policy	Sara Rosenbaum	March 1990	January 2005	January 2009
Center for Risk Science and Public Health	Tee Guidotti (Acting)	October 1999	November 2003	November 2007
GW HIV/AIDS Institute	Alan Greenberg/ Gary Simon	March 2006	March 2006	March 2009

Prevention Research Center	Ayman El Mohandes	June 2003	June 2005	June 2008
Wertlieb Educational Institute for Long-Term Care Management	Robert Burke	May 1999	April 2005	April 2007

Source: Office of the Chief Research Officer (list updated on March 27, 2007) (see Supporting Document **4.32**)

Table 4-4
Centers and Institutes Currently Receiving Research Enhancement Fund Awards

Center	Director	School/Department	Award for 2007–2008
Center for Nuclear Studies	William Briscoe	CCAS / Physics	$50,000
Institute for Computer Graphics	James Hahn	SEAS / Computer Science	$39,999
Weintraub Program in Systematics and Evolution	Gustavo Hormiga	CCAS / Biological Sciences	$46,450
Institute for Materials Science	David Ramaker, Charles Gilmore	CCAS / Chemistry	$37,000
Institute for Proteomic Technology and Application	Akos Vertes, Fatah Kashanchi	CCAS / Chemistry	$42,918
George Washington Institute of Public Policy	Hal Wolman	CCAS/ Political Science and Public Administration	$50,054
Institute for Biomolecular Networks	Chen Zeng	CCAS / Physics	$30,005

Source: Office of the Chief Research Officer (see Supporting Document **4.33**)

Chapter 6 Appendices

Appendix 1 (Technology)

Wireless Milestones

2000	Campus deploys high-speed fiber networking to campus buildings
2001	First wireless network node in Gelman Library
2002	Emergence of GWireless campus standard
2003–2006	GWireless increases in presence on campus except dorms
May 2006	GW student gap survey lists wireless networking as No. 1 student concern
Summer 2006	Gelman Library first building-wide installation of next-generation centrally managed wireless network—system stability improves over time
January 2007	GWireless present in selected dorms for student use

Appendix 2 (Technology)

GW's General-Purpose Classroom Milestones

In FY2002:
122   Total general-purpose classrooms from FY '01
 19   Total classrooms taken off-line (Lisner Hall, Stuart Hall)
 17   Total technology-enhanced classrooms
103   Total general-purpose classrooms

In FY2003:
 19   Total new classrooms added (1957 E Street)
          9 technology-enhanced and 10 traditional
 26   Total technology-enhanced classrooms
122   Total general-purpose classrooms

In FY2004:
 23   Total new classrooms added (Rome, 2020 K Street, and Building XX)
          19 technology-enhanced and 4 traditional
 10   Total classrooms upgraded to technology-enhanced from traditional (Rome, Bell, Corcoran)
 19   Total classrooms taken off-line owing to renovation (Funger Hall)
 55   Total technology-enhanced classrooms
126   Total general-purpose classrooms

In FY2005:
  2   Total new classrooms added (Gelman)
          2 technology-enhanced
  5   Total classrooms upgraded to technology-enhanced from traditional (Corcoran and 1957 E street)
  2   Total classrooms taken off-line (Building XX)
 62   Total technology-enhanced classrooms
126   Total general-purpose classrooms

In FY2006:
 13   Total new classrooms added (Duquès Hall)
          13 technology-enhanced
  8   Total technology-enhanced classrooms brought online after renovation   (Funger)
 83   Total technology-enhanced classrooms
147   Total general-purpose classrooms

Appendix 3 (Services)

Employee Core Group Projects

1.   Define career paths for employees; create standard job classifications.
2.   Develop mentoring programs.
3.   Expand training opportunities, including access to online courses.
4.   Identify new methods to motivate/reward employees.
5.   Create a more flexible leave policy.
6.   Expand the orientation program to include more information about how the University operates.
7.   Evaluate use of the 90-day introductory period.
8.   Create a central place for employees to ask questions and request service.
9.   Review and update classification descriptions to ensure ADA and EEO.
10.   Update the applicant data form to ensure EEO compliance.
11.   List job postings in *ByGeorge.*
12.   Create a recruitment brochure.
13.   Conduct process review of research staff recruitment and hiring to achieve greater standardization.
14.   Revise the process for hiring temporary, nonstudent wage staff.
15.   Complete the automation of the salary review notice (SRN) process.
16.   Implement an enterprise leave-tracking system and related processes.
17.   Set up a data mart of employee information; create dashboard reports for management.
18.   Fully automate the processes using the change-in-status paper form.
19.   Create an online version of the applicant data form.
20.   Replace the time-reporting system.

Appendix 4 (Services)

The following are particular issues raised in informal polls and discussions with academic units, faculty, staff, and students. While this report notes tangible progress in attaining service excellence, a number of concerns remain that the relevant unit or office should address.

Faculty and Staff Service Issues

1.   **Hiring Processes**
   +   Giving greater control over the hiring process to the departments has been very positive.
   - Four different HR offices—faculty, staff, students, and research personnel
   - Staff hiring—the posting system has problems because advertising salaries at the grade minimum makes it difficult to attract a good applicant pool. Lack of full job descriptions also hurts the applicant pool for staff.
   - Confusion occurs when problems arise touching on multiple areas—employee relations, compensation and staffing, benefits, and employee records. There is a strong need for one-stop shopping to be instituted.
   - Hiring people on split C-fund and research appointments is difficult.
   - Paperwork is slow (taking sometimes 6 months) to return to originating departments, leaving uncertainty as to the transaction.
   All systems should be handled by electronic workflow, including CIS forms, hiring forms for students, etc.

2.   **Supply Chain/P-Card/Accounts Payable**
   +   Introduction of P-cards has been very beneficial to all units.
   - Inconsistent application of rules and policies by supply-chain units—rules change without full communication, some requirements add no value to a process.
   - There are challenges in getting special consideration for unique circumstances without having to involve a dean's office or go to top management.
   - Encumbrances remain on financial reports and aren't liquidated in a timely manner; rollover data must be re-entered manually each year, resulting in various degrees of error.
   - Travel approvals should all be electronic (workflow) and policies consistent for research and nonresearch travel.

3.   **Payroll**
   - Time-keeping system goes down frequently.
   - Oftentimes the wrong start date for new hires is in the system.
   - Departments are responsible for collecting overpayments, but they should not be collection agencies.
   - There is no electronic leave tracking!

4.   **International Services Office**
- Delays in responses from personnel place faculty and departments on edge, creating an environment of tension that demoralizes colleagues who may have a long-term investment in the University.
- Better training is needed on rules and procedures as they apply to hiring students, faculty, and staff.
- More help is needed with international scholars and visitors, given the complicated paperwork and legal environment.
- The International Services Office must address the needs of academic departments in a timelier manner and not just those of GW students.
- The office is reactive to needs and not proactive in offering assistance.

5.   **ISS/Academic Technologies/Center for Innovation and Tech Learning/Local Support Partners (LSPs)**
- There is not enough local computer support (LSPs) in view of the size of most units; LSPs are perceived to be the equivalent of a help desk.
- The help desk isn't always helpful, and one-stop shopping isn't working well.
- Additional help for Blackboard support is needed.
- There is confusion over the office that staff and faculty should notify when they have computer or technology problems.
- Hiring delays lead to problems in getting faculty access to Blackboard.

6.   **Facilities Management**
- Billing for facilities-related work arrives late (often at the end of the fiscal year), complicating responsible fiscal management.
- Different areas give the "runaround" ("It's not my area," "Talk to transportation services [special services, etc.]").There are concerns over the quality of the work and changing bids.
- Apparently, outside bids may now be accepted for facilities-related projects. Is this policy change clearly stated and posted?

7.   **Registrar, Scheduling, Classrooms**
- There is no degree-audit program available to schools for graduation clearance.
- The Banner system is not easy to use; it is unclear whether the university is operating it to its full capacity; the quality of the data available from the system is sometimes questionable.
- Additional capabilities such as prerequisite checking and wait lists would help with better managing student demand and could help create data for future planning purposes.
- There are not enough classrooms or seats in classrooms assigned as requested.

8.   **Deans' Offices**
- The deans' offices are key for academic units since most transactions have to go through these offices. These have become one-stop shops to solve problems for

their departments and help get things done—if all works well, but most are understaffed.
- Delays for answers from deans' offices regarding hiring challenge departments to get the best candidates.

9.   Research Services/GCAS
- Setting up grants and processing of approvals/paperwork takes too long.
- Research Services and GCAS aren't always on the same page—departments feel stuck in the middle.
- Policies differ for research and C fund activity—travel, supply chain.
- EAS is difficult for the average principal investigator to use with grants, and principal investigators don't trust it.

10.   Compliance Office
- This office seems overly intrusive. Is there value added to each new requirement?

11.   Equipment
- Security and thefts have become significant issues both in terms of items missing when needed and shouldering replacement costs by individual units.

12.   Development
- Better information at department level is needed regarding funds received for departmental gifts, which now require working through the dean's office development staff.
- Better information is needed for e-mail addresses to track alumni after they lose their gwu.edu e-mail addresses.
- There is concern over possible issues resulting from replacement of old student ID numbers based on Social Security numbers with GWID.

Student Service Issues

1.   Academic Advising
+   An online advising system for incoming freshmen, "First Class," has been introduced.
+   One school has introduced instant messenger communication between students and academic advisors.
- Academic advising is inconsistent across different schools and unrelated to the size of a department or program. For example, larger majors in the CCAS have a higher student-to-advisor ratio than smaller majors. Therefore, students in large major fields such as political science enjoy less access for academic guidance and have less opportunity to develop a relationship with their advisor.
- Elliott School—professional and peer, CCAS—pre-/post-major declarations
- There is no degree audit program for academic advisors to use to speed graduation clearance.

2. Study Spaces

\+ Having Duquès Hall available on weekends (with its wireless connectivity) has been very helpful.

- Other spaces, particularly those closer to the east side of campus (e.g., 1957 E), are needed for group and individual study spaces.
- GW constituents want wireless capability throughout the campus.

3. Registrar

- The online transcript request system is an efficient, user-friendly system that has proven very helpful. An effective reorganization to enhance student services has led to a University-wide award for service improvement and exemplary staff development practices.
- The timing of the schedule release challenges students' ability to get timely program advising
- Online requests should continue to be enhanced.
- Some form of wait list and a system for prerequisite checking are strongly desired. (Wait lists could help to gauge course demand.)

4. Student Financial Assistance

- Understaffed for the number of students served; no staff increase to meet enrollment growth.
- There is no privacy for financial discussions.

5. Bookstore

- Supply and Pricing: There are issues with the supply and costs of textbooks. Often, the bookstore understocks books required for class readings. With no access to these reading materials, students are unprepared for the beginning of the semester. A student may go three or four class sessions before the book arrives.
- The steep cost of books has caused an increase in students going elsewhere to purchase texts; for example, students' use of Web-based providers has put an additional strain on Package Services.

6. Access to Evaluations

- Enable online access for students to review course evaluations in order to for them to make more thoughtful course selections.
- Standardization of course evaluations postings would be helpful.

-
7. One-stop shopping
- Students are looking for more one-stop shopping to decrease time it takes to complete business or student services transactions.
- Recent additions such as Web-based services have been well received.

Appendix 5

Meetings of Subcommittee Goal 5—Spaces

Date	Discussion Points	Guests
6/14/06	Organization, data collection	
7/19/06	Data and file gathering	
8/17/06	Learning spaces, classroom task force report	(P. B. Garrett, Linda Gallo)
9/7/06	Law School learning spaces	Meeting at Law School
10/18/06	Campus plan and space strategies	EVP&T Louis Katz
11/29/06	Academic spaces	EVPAA Don Lehman
12/5/06	Library needs	University Librarian Jack Siggins

Meetings of Subcommittee Goal 5—Technology

Date	Discussion Points	Guests
8/10/06	Organization of activities Data sources	
8/28/06	Processes for resource allocation	
10/406	Mandates, governance, wireless	
10/19/06	AITC/RITC	Mary Bayliss, Craig Linebaugh
10/26/06	IT Org/RITC	Dave Swartz, Geralyn Schultz
12/12/06	Student perceptions of IT/ISS	Students Sarah J. Prisley and Trevor Ford

Meetings of Subcommittee Goal 5—Services

Date	Discussion Points	Guests
7/14/06	Organization, data collection	
8/7/06	Gap Survey experience	Nancy Haaga, Scott Mory
9/12/06	Gap Survey	Mary Wallace, Allison Johnson
9/26/06	Student issues	(Presentation by student members)
	Students First at Drexel	(Presentation by Cheryl Beil, Andy Sonn)
10/17/06	Employee Core Group	(Presentation by Mary Bayliss)

10/31/06	New-employee orientation	(Presentation by Andy Sonn)
	Service Excellence Core Group	
11/14/06	Registrar's Office, student advising	Beth Amundson
		School-based academic advisors
11/28/06	Human resources	Val Berry

Chapter 7 Appendices

Table 1
George Washington University
Courses Taught and Faculty Resources Available: 1997-2006

Increase in Credit Hours Taught	45.5%
Increase in Regular Tenure Track Faculty	7.4%
Increase in Regular Active Status Faculty	15.3%
Increase in Limited Service Faculty	32.1%

Source: Institutional Research, George Washington University (see Supporting Document 7.20)

Table 2

Panel 1
Top 15 Type I Universities
Full Professor Salaries

Rockefeller
Harvard
Stanford
Princeton
Chicago
Yale
Pennsylvania
California Institute of Technology
Yeshiva University
New York University
Northwestern
MIT
Washington University in St. Louis
Emory
Duke

Source: American Association of University Professors (see Supporting Document 7.14)

Panel 2
7 Universities Higher and Lower than George Washington
Type I Universities
Full Professor Salaries

Virginia
American
Notre Dame
Carnegie Mellon
North Carolina-Chapel Hill
Rutgers
UC-San Diego
Johns Hopkins
Rutgers
St. Johns (New York)
Boston U.
Connecticut
Cornell (contract)
Texas-Austin

Source: Chronicle of Higher Education Faculty Salary Survey. http://chronicle.com/stats/aaup/ (see Supporting Document 7.14)

Figure 1: Tuition Dependency (2005)

University	Value
American	
George Washington	
Boston University	
Georgetown	
New York University	
University of Miami	
Tulane	
Tufts	
Northwestern	
Southern Methodist	
University of Southern California	
Duke	
Emory	

(Net Revenue from Tuition and Fees)/(total Revenue less Health, Research and AUxiliary)
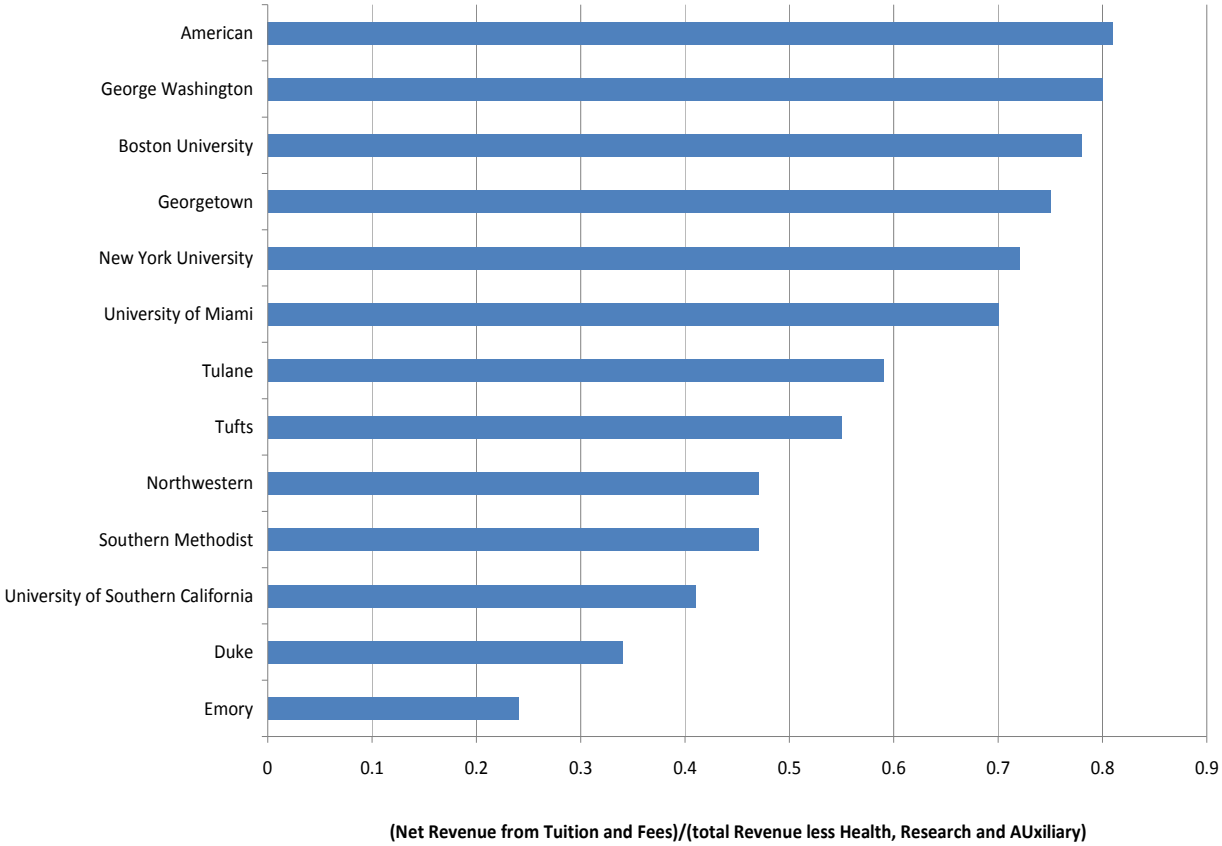
Figure 2: Endowment Funds per FTE Student 2005

University	Endowment per FTE Student $000
Washington University	375
Emory	372
Duke	314
Northwestern	287
Vanderbilt	240
Southern Methodist	111
Tufts	92
University of Southern California	90
University of Miami	90
Tulane	68
Georgetown	60
New York University	47
George Washington	42
Boston University	33
American	27

Endowment per FTE Student $000
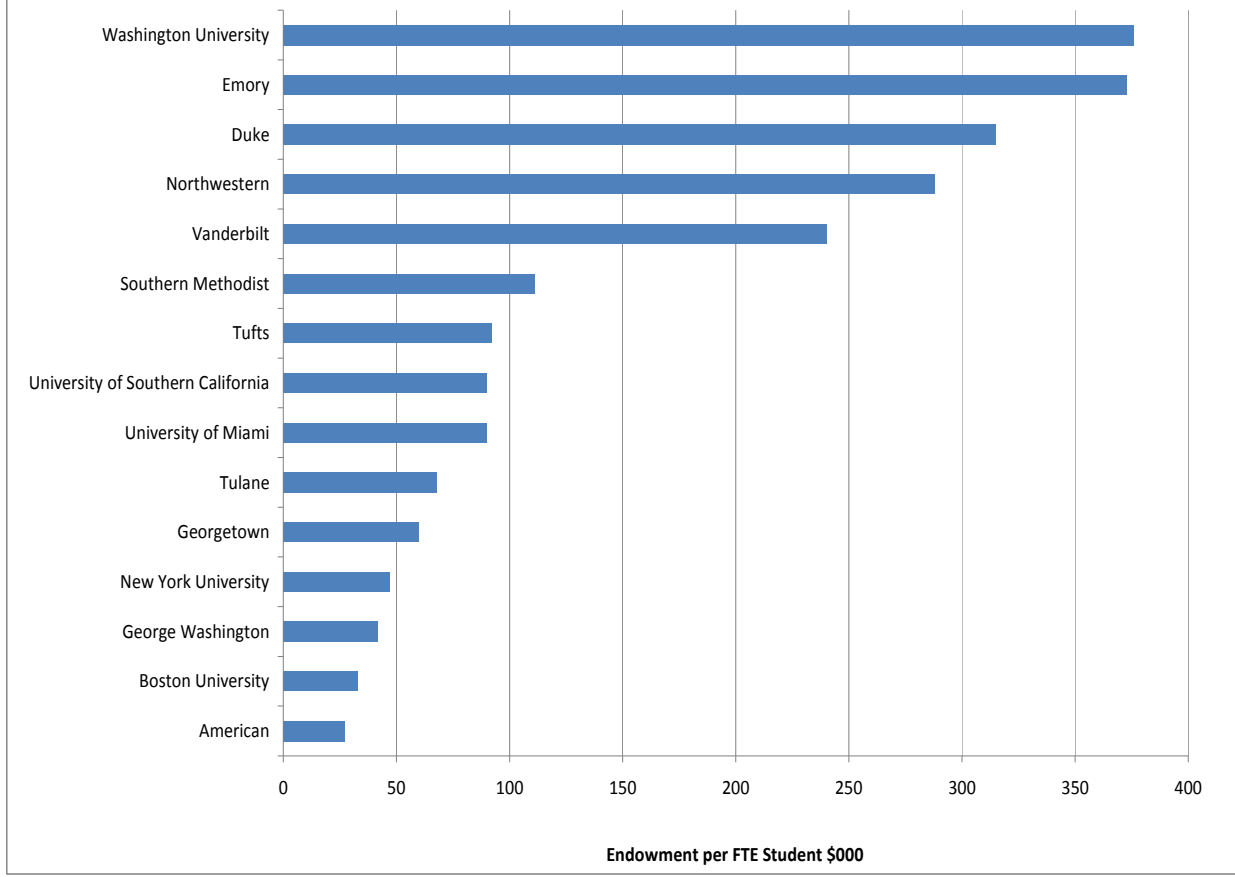
Figure 3: Voluntary Giving: 2004
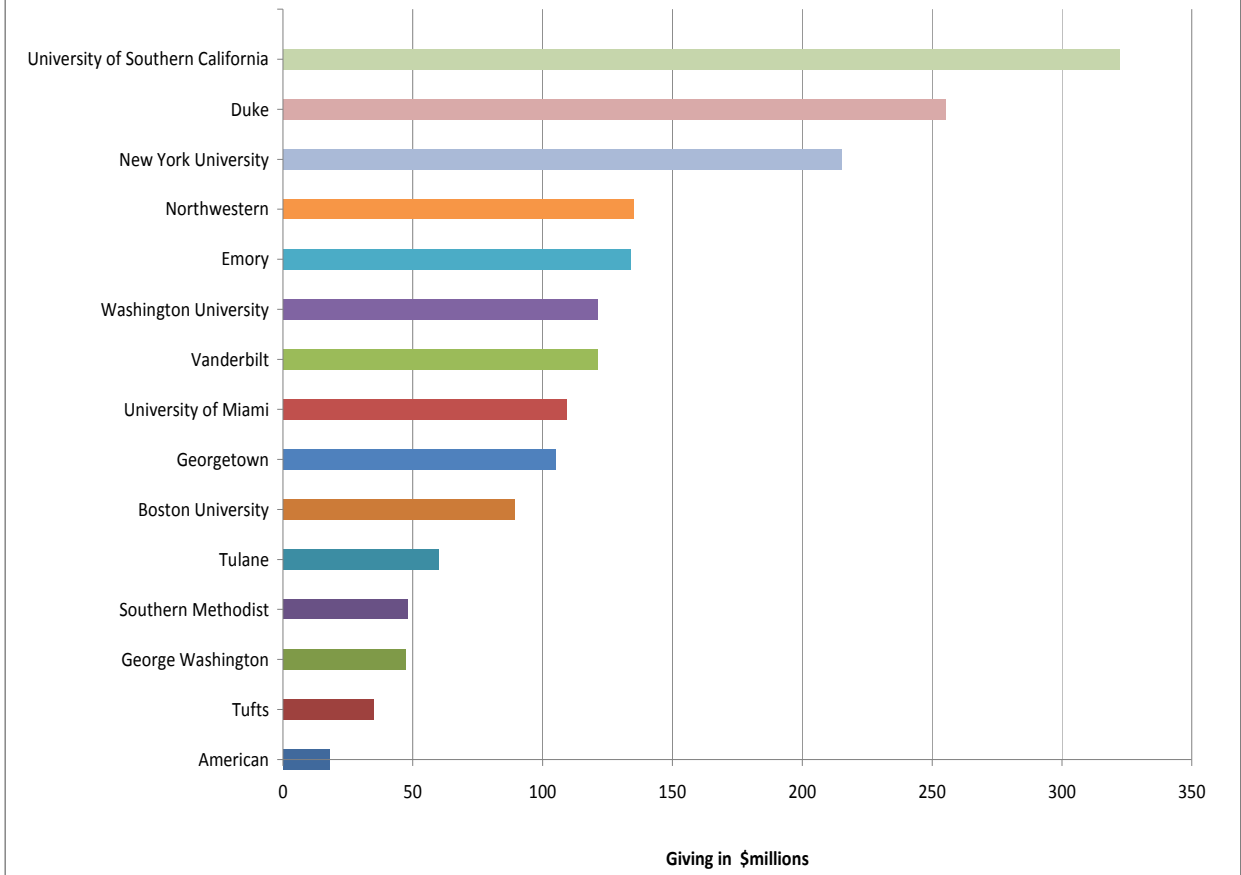
Giving in $millions

Figure 4: Student Faculty-Ratios 2005
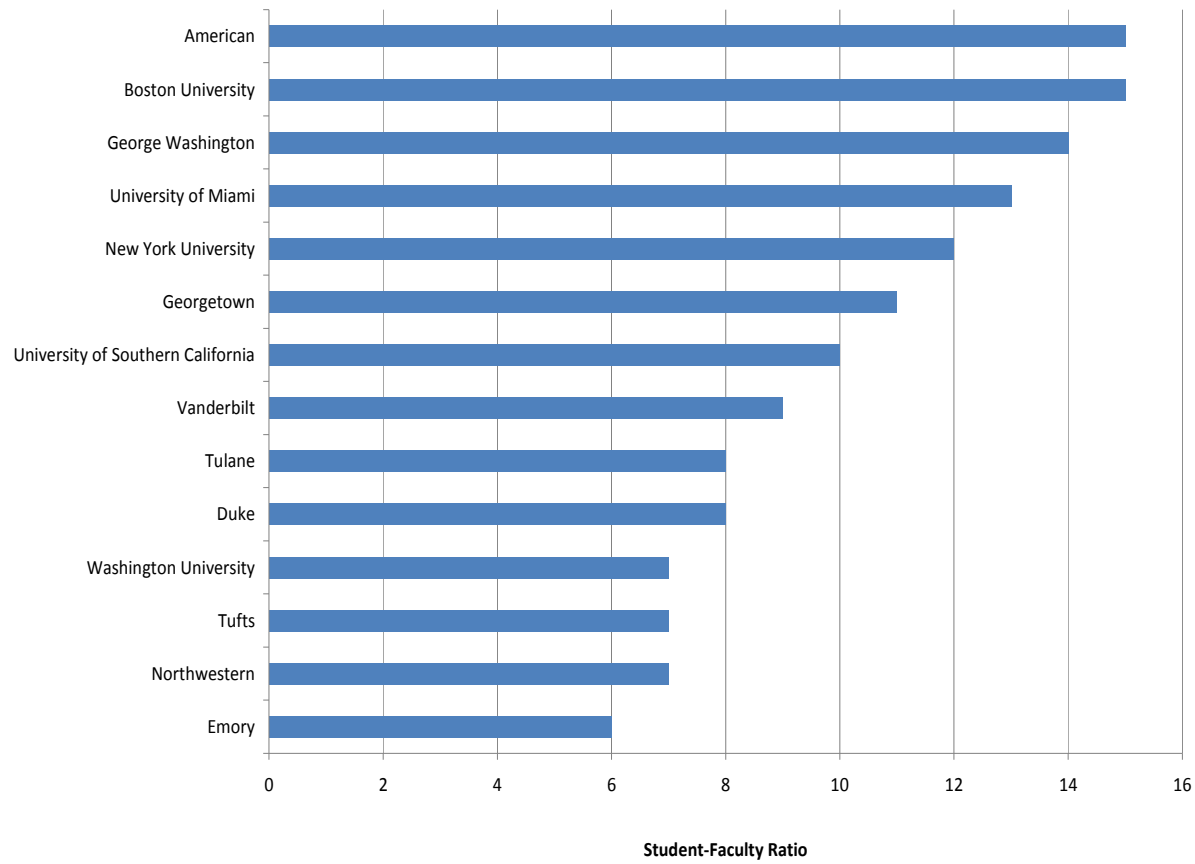
Student-Faculty Ratio

Figure 5: Undergraduate Acceptance Rates (2005)

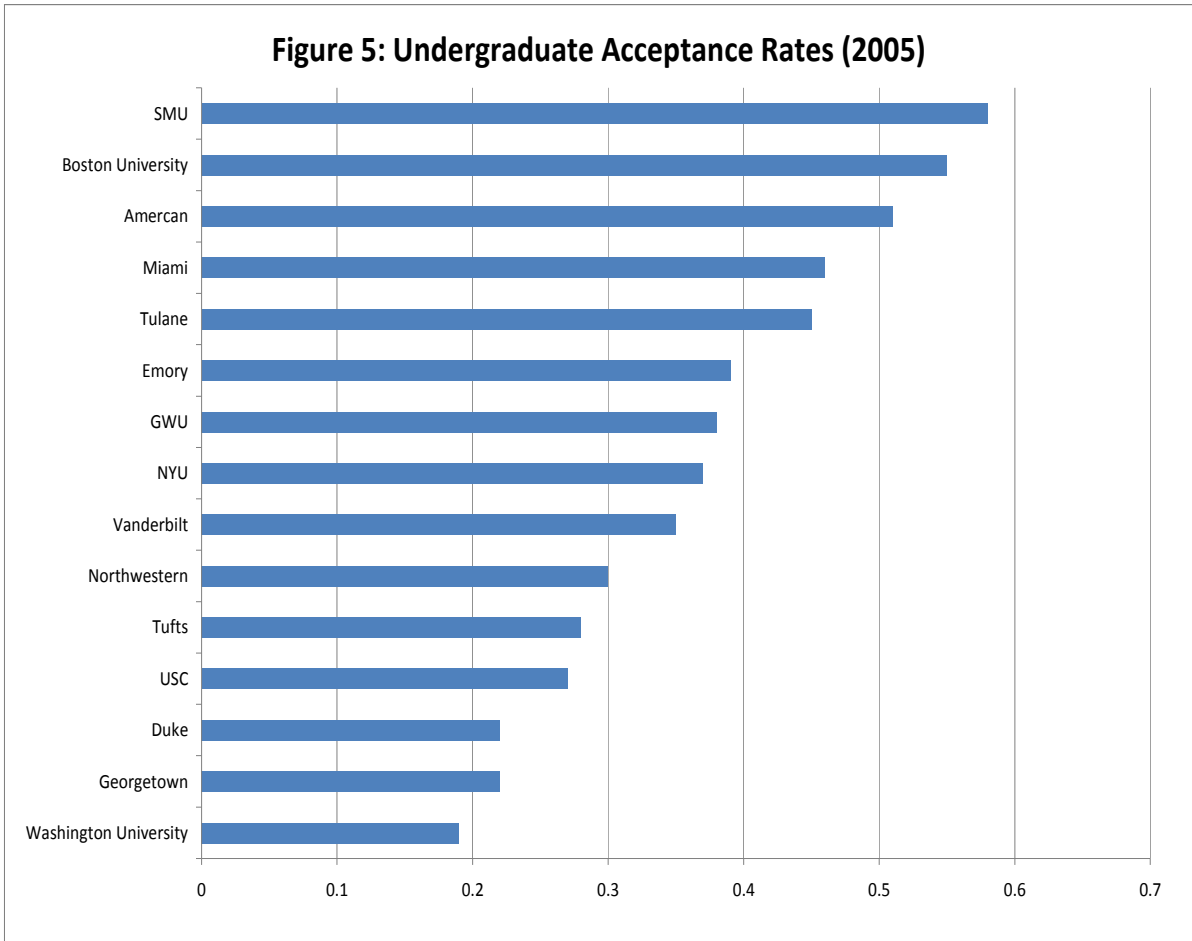**Figure 6: Yield Rates (Matriculation over Admission) 2005**

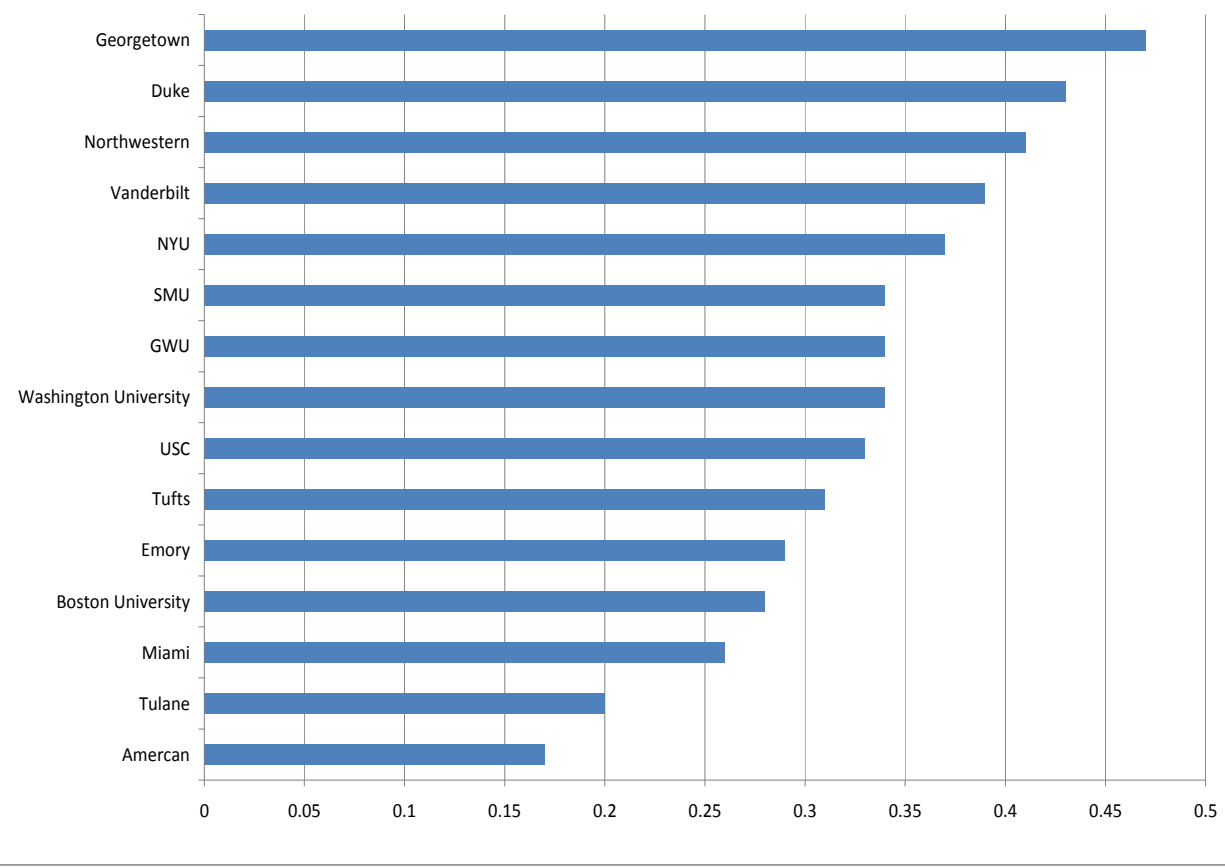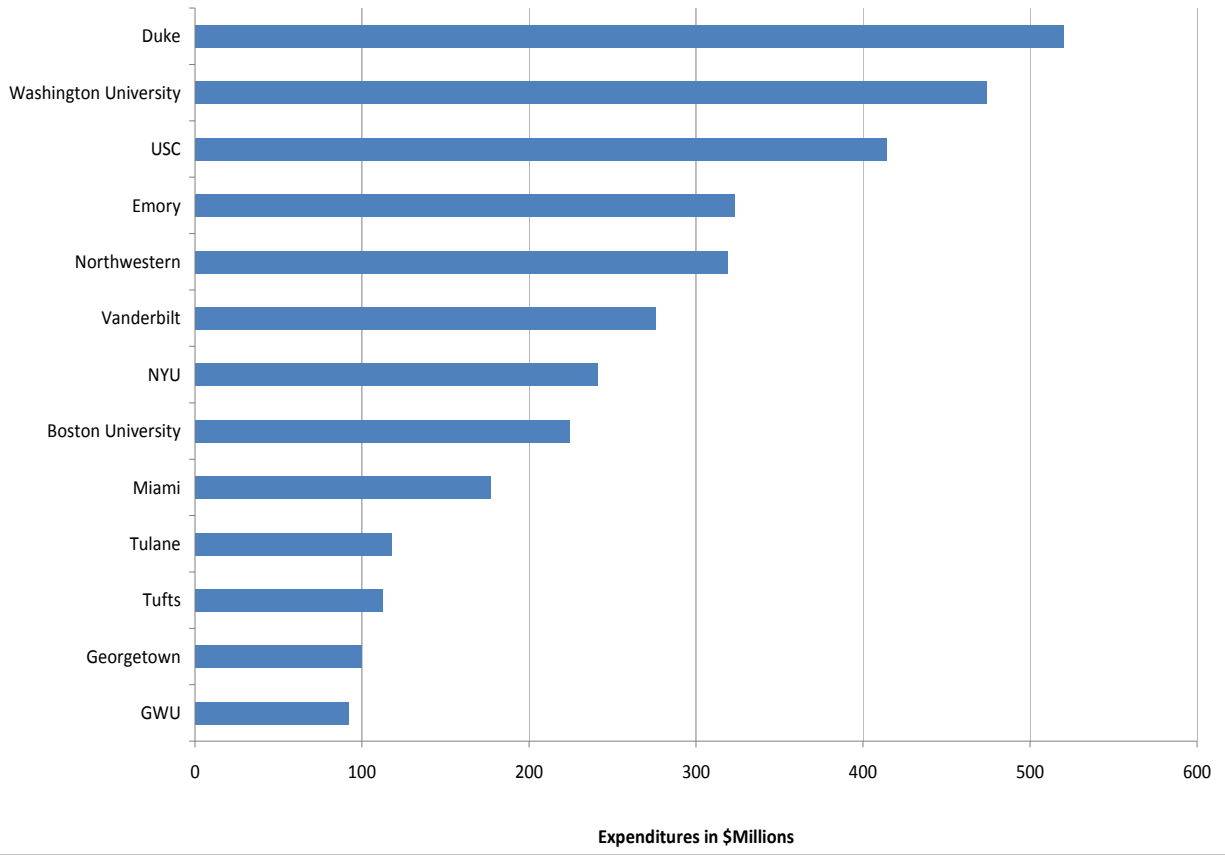Figure 7: Total Research Expenditures 2003 (000,000)

Expenditures in $Millions

Figure 8: Fundraising Expenditures: 2004

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