

THE GEORGE WASHINGTON UNIVERSITY

Annual Report of Faculty Member

2007 – 08

Name _____ Department _____

I. RESEARCH/SCHOLARSHIP/CREATIVE ENDEAVORS

- a. List published books (with publisher and year) and articles (with journal title, volume, year, and page numbers) authored or coauthored since your last report.
 - 1) Professional refereed publications (e.g. peer reviewed journal articles)
 - 2) Other professional publications (e.g. books, edited volumes, chapters)
 - 3) Minor publications: (e.g. abstracts, encyclopedia entries, book reviews, non-refereed articles)
 - 4) Creative endeavors
- b. List scholarly presentations for the last year and the sites, sponsors, or meetings.
- c. List academic prizes, major fellowships, awards, honors; include election as a fellow of a national or international society; submission of an application to, nomination for, or receipt of the following major fellowships and awards, or similarly prestigious ones; ACLS, Carnegie, Dreyfus, Fulbright, Guggenheim, MacArthur, NEH, Sloan, Spencer, and Woodrow Wilson .
- d. List new degrees, formal study, training, and new skills.
- e. Describe research in progress, including submitted manuscripts.
- f. Describe nature of proposals for research sponsorship, organizations to which they were sent, and results (include amounts of grants received).
 - 1) External
 - 2) Internal (GW)
- g. Briefly describe the impact of your recent research/scholarship/creative activity on significant new knowledge, infrastructure for scholarship, society, students, underrepresented groups, policy, and community. Consider:
 - 1) Student publications and presentations; undergraduate and graduate (including your works with student co-authors)
 - 2) Major media coverage and media appearances
- h. Please provide 5 to 10 key words that describe your areas of interest.

II. TEACHING/LEARNING

- a. List courses taught since your last report, with semester(s) offered and enrollments; indicate with an asterisk any newly designed courses.
- b. Summarize student teaching evaluations (e.g. means, comparison with department means, number of respondents, narrative comments).
- c. Describe any new teaching techniques you introduced.
- d. Provide additional evidence of excellence in teaching (e.g. teaching awards, reports of classroom observations, review of curricular materials, presentations on teaching).
- e. Provide evidence of student learning (e.g. final papers and projects, standard exams or assessments, reports from subsequent courses, teaching awards, student performance on independent test of skill mastery).
- f. Name students whose dissertations and theses you directed – or for which you were a reader, distinguishing the two – since your last report; include student’s name and program for each work-in-progress.
- g. List number of students for whom you were the principal academic advisor.
 - 1) Undergraduate
 - 2) Master’s
 - 3) Doctoral
- h. Describe supervision of students in internships, practicum experience, mentored research.

III. SERVICE/ENGAGEMENT/EXTERNAL ACTIVITIES

- a. Describe service to the University.
 - 1) List committee service: Department, School, Senate, University.
 - 2) Report administrative assignments: Department, School, University.
 - 3) If you are serving as a mentor to a member of the faculty, report on your activities.
 - 4) Report service to admissions, alumni, or student groups.
 - 5) List attendance at School and University events; School and University commencement ceremonies.
- b. List service to the greater D.C. community.

c. List national and international academic service.

- 1) List leadership roles you have taken in professional societies since your last report (e.g. national or international offices, committee assignments, journal editorships).
- 2) Describe other national service (e.g. serving on a grant review panel, reviewing tenure materials for another campus).
- 3) Describe other international service (e.g. hosting an international visitor, taking students abroad, overseas research partnerships, establishing an MOU).

d. External Activities/Partnerships: List your external professional activities and for each indicate (1) the name of the company, government agency, organization, or other entity involved, (2) your role in relation to it (e.g., consultant, board member, president), and (3) your level of involvement in terms of number of days spent during the academic year (or your involvement in terms of financial interest, if that is more appropriate). Please indicate whether these activities and/or partnerships are remunerative or pro bono. Also indicate how these activities relate to your responsibilities to the University and/or the University's responsibilities to society. If any of these activities may involve a perceived or actual conflict of interest with your University responsibilities, please detail in completing your Faculty Member Financial Interest Disclosure.

IV. LEADERSHIP

a. If under the "administrative assignments" category you report that you are serving as department chair, program director, assistant or associate dean, or assistant or associate vice president, describe your goals (and the objectives to achieve these goals) for the past academic year in this role, your accomplishments relative to the stated goals, and your planned goals (and objectives to achieve these goals) for the next academic year. Include activities associated with your leadership of the mentoring effort within your department.

Note 1: Your chair and Dean will evaluate your service to the University. If you wish, you may list below the names of persons outside the University who may be asked to submit comments on your professional activities.

Note 2: For faculty of the School of Medicine and Health Sciences: Please attach a sheet or use this section to describe major clinical activities, especially new programs, undertaken since your last report.

Date

Signature

THE GEORGE WASHINGTON UNIVERSITY
Annual Faculty Member and Investigator Financial Interest Disclosure Form

Pursuant to The George Washington University Policy on Conflicts of Interest
and Commitment for Faculty and Investigators

The Faculty Senate and the Board of Trustees has approved a University-wide Policy on Conflicts of Interest and Commitment for Faculty and Investigators.

The full policy is available at: my.gwu.edu/files/policies/ConflictofInterestandcommitment.pdf. The policy requires that each faculty member and investigator complete this form yearly.

The purpose of this form is to assist faculty, investigators, and the University in the identification of potential and actual conflicts of interest and to support compliance with applicable government regulations. Because of the complexities of The George Washington University, it is not unusual for an employee to respond affirmatively to one or more of the following questions. An affirmative response in no way implies that a conflict of interest necessarily exists or, if it does, that it cannot be managed. Please be assured that responses to this questionnaire may be submitted on a confidential basis and will be held strictly in confidence. Responses requiring further clarification will be brought to your immediate attention.

Faculty Member or Investigator Name: _____

Department/Unit: _____

College/Unit: _____

PART I (To be completed by all Faculty and Investigators)

A. Definitions

The term *significant financial interest* means

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

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

The George Washington University (and University) means The George Washington University and any entity owned in whole or in part, directly or indirectly, or controlled by the University, including the Medical Faculty Associates (MFA) and any joint venture.

Gifts do not include honoraria (e.g., remuneration or gifts-in-kind) received in connection with (1) participation in seminars, lectures, or teaching engagements sponsored by public or non-profit entities or (2) service on advisory committees or review panels for public or non-profit entities.

Immediate family member includes an employee's spouse/domestic partner and dependent children.

Close family member includes an employee's non-dependent children, as well as father, mother, sisters and brothers of the employee and the employee's spouse/domestic partner.

Material conflict of interest means a conflict of interest that has the potential (i) to influence a person's decisions or conduct or (ii) to have a non-trivial impact on the financial situation of a person or an entity in which that person or an immediate family member has a significant financial interest.

To your knowledge means your actual knowledge or knowledge that you should reasonably be expected to have based on information that has been provided to you or is in your possession. *To your knowledge* does not imply a duty to make inquiries to discover facts that are not known to you or to obtain information that has not been provided to you or is not in your possession.

B. Certification as to Employee and Immediate Family Members

1. Do you have, or does any immediate family member have, any of the relationships, transactions, activities, or financial interests described below in subparagraphs (a) through (h)?
 - (a) An outside entity in which you have or an immediate family member has a significant financial interest has made, or will make, a gift to The George Washington University of cash or property that will be under your control or will directly support your teaching or research activities.
 - (b) You have or an immediate family member has a significant financial interest in the proposed or current sponsor of, or a proposed or current subcontractor, vendor, or collaborator for, a sponsored project involving The George Washington University.
 - (c) You have an actual or proposed technology licensing or commercialization arrangements with an outside entity in which you have or an immediate family member has a significant financial interest and where those arrangements might reasonably be perceived as involving or creating the appearance of a material conflict of interest with your appointment at The George Washington University.
 - (d) You are or will be personally involved in, or you have or will have the ability to influence the formation or implementation of, a transaction in which The George Washington University, directly or indirectly, is procuring or will procure property, goods or services from an outside entity in which you have or an immediate family member has a significant financial interest.
 - (e) The design, conduct or reporting of your current or proposed externally funded research at The George Washington University does impact or will impact a significant financial interest that you hold or an immediate family member holds in an outside entity.
 - (f) You are or an immediate family member is a director, officer, sole owner, partner, employee, agent, consultant, or advisor of a business enterprise that to your knowledge supplies The George Washington University with any property, goods, or services.
 - (g) You have or an immediate family member has a significant financial interest in a business enterprise (excluding any investment representing less than 1 percent of the total equity of a publicly traded entity) that to your knowledge supplies The George Washington University with any property, goods, or services.
 - (h) You are a director, officer, sole owner, partner, employee, agent, consultant, or advisor of, or you have a significant financial interest in, a business enterprise (other than The George Washington University) that to your knowledge engages in the business of higher education or the delivery of patient care services.

Yes _____ No _____

2. In the past 12 months, to the best of your knowledge, have you or has any immediate family member received a loan of money, property, or services in the amount of \$250 or more (excluding any loan from a bank or other financial institution), or received a gift of money, property, services, or out-of-home entertainment with a value exceeding \$100, from a business enterprise that to your knowledge supplies property, goods, or services to The George Washington University?

Yes _____ No _____

3. In the past 12 months, to the best of your knowledge, have you received a loan of money, property, or services in the amount of \$250 or more (excluding a loan from a bank or other financial institution), or received a gift of money, property, services, or out-of-home entertainment with a value exceeding \$100, from a business enterprise (other than The George Washington University) that engages in the business of higher education or patient care services?

Yes _____ No _____

4. Do you have, or does any immediate family member have, any other relationships, transactions, activities, or financial interests that might reasonably be perceived as involving, or creating the appearance of, a material conflict of interest with your appointment at The George Washington University?

Yes _____ No _____

If your answer to any of the above Questions 1-4 is Yes, please give details, including identifying the business enterprise(s) and describing your or your immediate family member's relationship to it, as well as the approximate value of any income or financial interest, loan or gift. (Where more space is required for your answers, please attach additional pages to this questionnaire.)

C. Certification as to Employee and Close Family Members

1. To your knowledge, do you have or does any close family member have any of the relationships, transactions, activities, or financial interests described below in subparagraphs (a) through (g)?
- (a) An outside entity in which a close family member has a significant financial interest has made, or it will make, a gift to The George Washington University of cash or property that will be under your control or will directly support your teaching or research activities.
 - (b) A close family member has a significant financial interest in the proposed or current sponsor of, or a proposed or current subcontractor, vendor, or collaborator for, a sponsored project involving The George Washington University.
 - (c) You have an actual or proposed technology licensing or commercialization arrangements with an outside entity in which a close family member has a significant financial interest and where those arrangements might reasonably be perceived as involving or creating the appearance of a material conflict of interest with your appointment at The George Washington University.
 - (d) You are or will be personally involved in, or you have or will have the ability to influence the

formation or implementation of, a transaction in which The George Washington University is procuring or will procure property, goods, or services from an outside entity in which a close family member has a significant financial interest.

- (e) The design, conduct or reporting of your current or proposed externally funded research at The George Washington University does impact or will impact a significant financial interest that a close family member holds in an outside entity.
- (f) A close family member is a director, officer, sole owner, partner, employee, agent, consultant, or advisor of a business enterprise that to your knowledge supplies The George Washington University with any property, goods, or services.
- (g) A close family member has a significant financial interest in a business enterprise (excluding any investment representing less than 1 percent of the total equity of a publicly traded entity) that to your knowledge supplies The George Washington University with any property, goods, or services.

Yes _____ No _____

2. In the past 12 months, to your knowledge, has a close family member received a loan of money, property, or services in the amount of \$250 or more (excluding any loan from a bank or other financial institution), or received a gift of money, property, services, or out-of-home entertainment with a value exceeding \$100, from a business enterprise that to your knowledge supplies The George Washington University with any property, goods, or services?

Yes _____ No _____

3. To your knowledge, does a close family member have any other relationships, transactions, activities, or financial interests connected to The George Washington University that might reasonably be perceived as involving, or creating the appearance of, a material conflict of interest with your appointment at The George Washington University?

Yes _____ No _____

If your answer to any of the above Questions 1-3 is Yes, please give details, including identifying the business enterprise(s) and describing your close family member's relationship to it, as well as the approximate value of any income or financial interest, loan or gift. (Where more space is required for your answers, please attach additional pages to this questionnaire.)

I certify that all of the foregoing information in **PART I** is true and complete to the best of my knowledge.

Signature Date

Full Name (Printed) Position Title

PART II (To be completed by University officials)

Department Chair/Unit Head – Comments and Recommended Actions

_____ To the best of my knowledge, there is no perceived or inappropriate activity or conflict.

_____ I have reviewed this disclosure and recommend the following actions be taken:

Printed Name and Signature

Date

College Dean/Director – Comments and Recommended Actions

_____ To the best of my knowledge, there is no perceived or inappropriate activity or conflict.

_____ I have reviewed this disclosure and recommend the following actions be taken:

Printed Name and Signature

Date

Executive Vice President for Academic Affairs – Comments and Approval

_____ To the best of my knowledge, there is no perceived or inappropriate activity or conflict.

_____ I have read the Financial Interest Disclosure and, if provided, the plan to manage, reduce or eliminate any actual, potential, or apparent conflict of interest. I approve of the Management Plan.

Printed Name and Signature

Date