

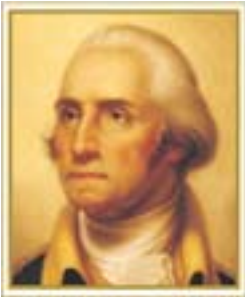


THE GEORGE  
WASHINGTON  
UNIVERSITY  
LAW SCHOOL  
WASHINGTON DC

# The State of the Law School

presented to the Faculty Senate

Fall 2006



# Admissions:

|                       | 2000 | 2001 | 2002  | 2003  | 2004  | 2005  | 2006  |
|-----------------------|------|------|-------|-------|-------|-------|-------|
| <b>Applications:</b>  | 7.5k | 8.5k | 10.8k | 11.7k | 11.9k | 11.2k | 10.2k |
| <b>1L Class Size:</b> | 456  | 460  | 458   | 536   | 511   | 537   | 550   |
| <b>GPA Median:</b>    | 3.43 | 3.43 | 3.47  | 3.43  | 3.58  | 3.57  | 3.62  |
| <b>LSAT Median:</b>   | 162  | 163  | 164   | 165   | 165   | 165   | 165   |
| <b>JD Day</b>         | 372  | 367  | 373   | 395   | 393   | 415   | 424   |
| <b>JD Evening</b>     | 84   | 93   | 85    | 141   | 118   | 122   | 126   |
| <b>LLM</b>            |      |      |       |       |       |       |       |
| <b>Domestic</b>       | 72   | 76   | 91    | 94    | 90    | 87    | 93    |
| <b>International</b>  | 78   | 78   | 85    | 79    | 89    | 89    | 83    |



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# Faculty:

---

|                  | <u>2000</u> | <u>2001</u> | <u>2002</u> | <u>2003</u> | <u>2004</u> | <u>2005</u> | <u>2006</u> |
|------------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|
| Total Tenured :  | 64          | 65          | 69          | 71          | 74          | 75          | 77          |
| Total Clinical : | 18          | 16          | 18          | 17          | 16          | 16          | 16          |
| Total Full-Time: | 82          | 81          | 87          | 88          | 90          | 91          | 93          |



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# Faculty:

## Scholarship – Last Year

67 Authors

140 Articles / Chapters

38 Books / Supplements

92 Newspaper / Magazine Articles



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# Faculty & Curriculum:

## Internationalization of the Curriculum

**International Law Program**

**IP Program**

**Munich & India**

**Government Procurement**

**Environmental Law Program**

**CIEC**





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# Clinics:

## Started 1971

|                    | <u>2000</u> | <u>2001</u> | <u>2002</u> | <u>2003</u> | <u>2004</u> | <u>2005</u> | <u>2006</u> |
|--------------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|
| Clinical Offerings | 10          | 11          | 12          | 12          | 13          | 13          | 13          |

Domestic Violence - 1999

Community Dispute Resolution - 2000

Public Justice Advocacy - 2001

Human Rights Clinic - 2004



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# Alumni/ Development:

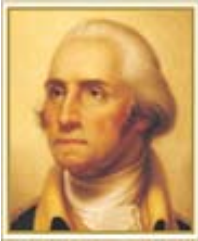
|                                  | FY 00  | 01     | 02     | 03     | 04     | 05     | 06     |
|----------------------------------|--------|--------|--------|--------|--------|--------|--------|
| Alumni Donors:                   | 2578   | 2754   | 2938   | 2795   | 2842   | 2455   | 2843   |
| Current Operations (K)           | \$731  | \$718  | \$739  | \$780  | \$785  | \$746  | \$969  |
| Total Cash<br>Gifts Received (M) | \$4.88 | \$2.66 | \$2.99 | \$4.76 | \$2.40 | \$9.26 | \$5.30 |
| Total Pledges (M)                | \$ .21 | \$1.20 | \$2.58 | \$1.61 | \$1.19 | \$1.75 | \$2.65 |



# Law School Expenditures Per FTE:

| <u>School</u> | <u>Per Student</u> |
|---------------|--------------------|
| NYU           | \$50,974           |
| Columbia      | \$50,204           |
| U of Penn     | \$41,562           |
| U of VA       | \$38,584           |
| BC            | \$32,198           |
| Northwestern  | \$30,729           |
| Georgetown    | \$29,939           |
| <b>GW LAW</b> | <b>\$25,751</b>    |

**2005 DATA**



# ADVANCEMENT INITIATIVES

## 2005 - 2010 and Beyond:

### GOALS:

### AMOUNT:

#### Faculty

- |     |                                       |       |
|-----|---------------------------------------|-------|
| - 5 | New Chaired Professorships (x \$2M)   | 10 M  |
| - 5 | New Research Professorships (x \$.5M) | 2.5 M |

#### Scholarships

- |   |  |      |
|---|--|------|
| - | Increase in Scholarship Endowment                | 10 M |
| - | Implement Law School as Lender Annual Program ** | .5 M |

#### Alumni Support

- |   |                                       |      |
|---|---------------------------------------|------|
| - | Increase Annual Giving Amount 100% ** | .8 M |
|---|---------------------------------------|------|



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# Facilities:

## Space





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# Facilities:

2000    2001    2002    2003 — 2006

## TOTAL

Gross Sq. Ft (K)

183

210

232

240

283



# Facilities:

## Compared to Peer Institutions

| School         | Net Sq Ft per Student |                   |
|----------------|-----------------------|-------------------|
| Georgetown     | 418                   | (up from 289)     |
| Virginia       | 230                   |                   |
| Texas          | 212                   |                   |
| Brooklyn       | 202                   |                   |
| NYU            | 197                   |                   |
| Boston College | 164                   |                   |
| Michigan       | 153                   |                   |
| <b>GW LAW</b>  | <b>135</b>            | <b>(1998 =72)</b> |

AVERAGE FOR  
ALL ABA SCHOOLS  
=  
190 NSF/STUDENT

**2005 DATA**



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# Facilities:

## Compared to Peer Institutions Library Spaces

| <u>School</u>  | <u>Net Sq Ft per Student</u> |
|----------------|------------------------------|
| Texas          | 96                           |
| Michigan       | 83                           |
| Virginia       | 78                           |
| Boston College | 61                           |
| Georgetown     | 60                           |
| Brooklyn       | 57                           |
| NYU            | 43                           |
| <b>GW LAW</b>  | <b>29</b>                    |



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# Wrap Up:

## Items of Focus:

Faculty Endowment –

India Center

Nash & Cibinic Gov't Contracts Industry Chair

Facilities –

Aston

Clinic Building

Learning Center

Scholarship –

Merit – \$3.7M

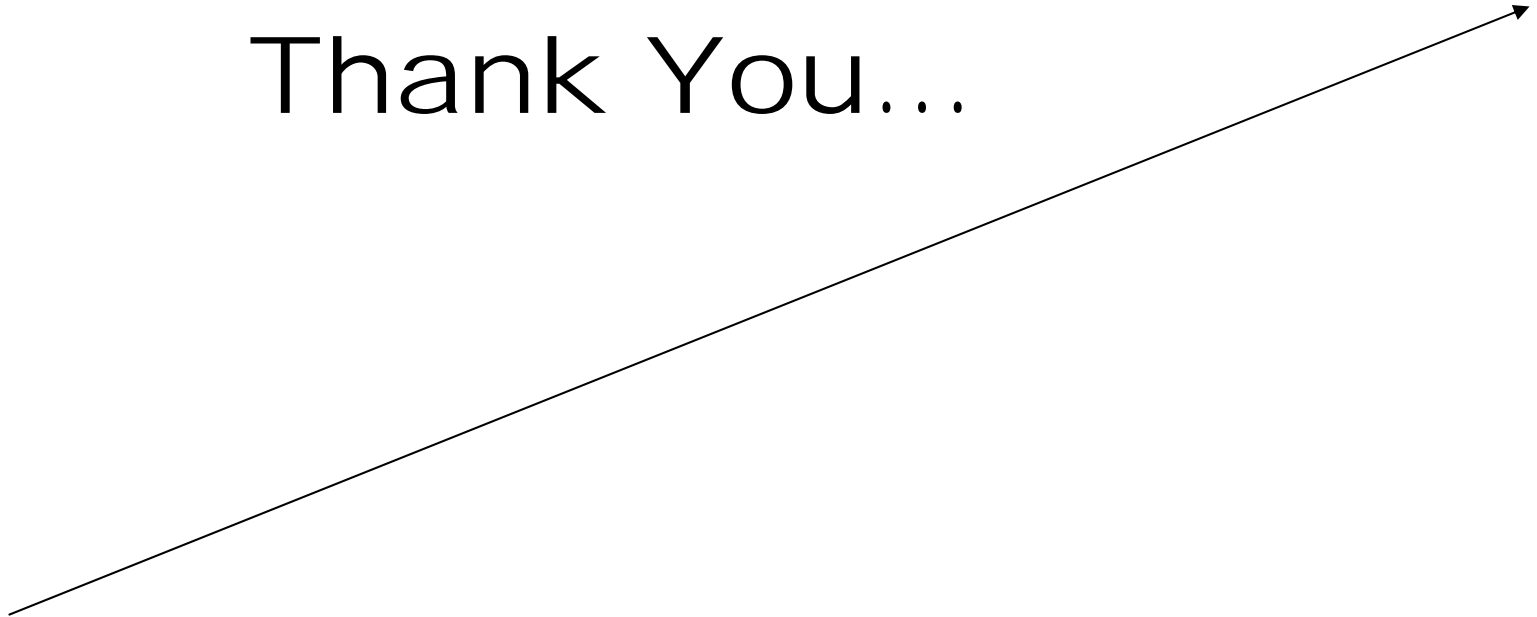
Need Based -- \$5.6M



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Thank You...

2006



## **A RESOLUTION ON CONSTRUCTION OF NEW ACADEMIC FACILITIES (06/4)**

**WHEREAS**, investment in new academic facilities and programming is an investment in the future of students and faculty advancing the Institution's Strategic Goals for Academic Excellence, enhancing connections to external partners, improving the Institution's ability to compete with peer institutions, attracting benefactors, and expanding the endowment, and;

**WHEREAS**, the Administration recognizes the opportunities created by investment in new academic facilities and, consistent with this recognition, has identified four schools (SEAS, SPHHS, GSEHD, Law) and two centers (Science, Cancer) in need of new/expanded academic space, and;

**WHEREAS**, the approval of a new campus plan is pending and a Science Center<sup>1</sup> was identified earlier by the faculty as the top priority for investment among future academic projects (Senate Resolution 04/1), it is timely for the faculty to prioritize the programmatic needs for new facilities among the identified Schools and Cancer Center, and;

**WHEREAS**, the operations of the Institution in the main University and in the Medical Center are budgeted separately, it is appropriate to prioritize separately the need of each for new academic facilities, and;

**WHEREAS**, the Physical Facilities Committee of the Faculty Senate, charged with studying the programmatic needs of the identified Schools and Cancer Center, has completed this study and concluded that the magnitude of need is greatest in SEAS, followed by SPHHS and GSEHD with no decisive differences between the latter two, and that need in the Law School and Cancer Center is comparatively lesser, and;

**WHEREAS**, The Council of Deans and the Executive Committee of the Faculty Senate have reviewed both the data available to and the conclusions reached by the Physical Facilities Committee and have expressed confidence in these conclusions, **NOW, THEREFORE**,

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

That solely on the basis of programmatic needs:

1. ~~That~~ The Faculty Senate endorses investment in new facilities for SEAS as the priority second to a Science Center among future academic construction projects on the University side of the Institution, and;
2. That GSEHD assumes the priority second to a Science Center among future academic construction projects on the University side of the Institution if SEAS is accommodated in the Science Center as planned, and;

<sup>1</sup> present working name is Science and Engineering Complex

3. That SPHHS is the top priority among future academic construction projects on the Medical Center side of the Institution, and;
4. That existing, single use academic space that becomes available as programs transition into the new Science Center will be offered temporarily to GSEHD and SPHHS while these Schools await new facilities, and;-
- ~~5. That the emphasis of advancement activities for new academic construction on the University side of the Institution should be in support of the Science Center, SEAS, and GSEHD and that the emphasis of advancement activities for new academic facilities on the Medical Center side of the Institution should be in support of the SPHHS.~~

Physical Facilities Committee  
November 27, 2006

Adopted as twice amended, December 8, 2006

**The George Washington University  
Faculty Senate  
Standing Committee on Educational Policy  
Interim Report to the Faculty Senate**

**December 8, 2006**

1. **The Standing committee has had three meetings as follows:  
October 26, November 16 and December 7.**
  
2. **At its first meeting the committee reviewed the Annual Report from the previous year's committee. The mission statement for the committee was discussed and there was agreement that it was satisfactory. The suggested agenda for the year for the committee was discussed and the following was agreed:**

- (1) **The 4\*4 Curriculum Proposal**

Since the Senate had established a Special Committee to look into the Joint Task Force report, the committee would wait to see if there were any additional issues arising once the Special Committee had reported to Senate

- (2) **Classroom Space Needs**

The chairman of the committee along with the Registrar would look into this matter.

- (3) **Faculty Role in Honors Program**

Associate Vice President for Graduate Studies, Carol Sigelman, agreed to look into the appointment procedures for the Advisory Board on the Honors Program.

- (4) **Timing of Final Examinations**

The Director for Academic Planning and Assessment, Cheryl Beil, agreed to include questions regarding timing of final examinations as part of an on-going survey of part-time and full-time faculty.

- (5) **CPS Doctoral Program**

As the Deans had effectively denied this proposal it was moot.

- 3. The committee, at its second meeting, were visited by the Executive Vice President Lehman who made a presentation on the Proposed 4&4 Curriculum Structure Joint Task Force Report. The Resolution (06/3) was distributed to the members of the committee. AVP Sigelman reported on the procedures for membership of the Advisory Board of the Honors program.**

**The question of plagiarism had been referred to the committee by the Executive Committee. After some debate, it was thought that as this issue was somewhat discipline specific, it would better be handled by the faculty of each school.**

**Members of the Committee:**

**Professors Abrams, Abravanel, McGraw, Manzari, Rucroft, Seavey, Ticktin, Umplbey, von Barghahn, Zea, Harrington(Chairman)**

**Ex-Officio:**

**Elizabeth Amundson, Cheryl Beil, Robert Chernak, Gale Etschmaier, Jean Folkerts, Donald Lehman, Kathryn Napper, Robert Rycroft, Carol Sigelman, Daniel Small**

## **Interim Report Committee on Libraries**

December 8, 2006

The Committee met three times during the fall semester. All meetings took up the matter of the administration's response ("more study") to Senate Resolution 05/7, "A Resolution on Library Endowment Funds".

The third meeting was with Vice President Lehman during which the Vice President expressed the administration's concern that the Resolution as currently worded would become a mandate for expenditures rather than an aspirational document. As to increasing expenditures for the library's collections, the Vice President affirmed the administration's intentions to continue to provide increased funding for the Gelman Library System as provided for in the *Strategic Plan for Academic Excellence* (Goal #5). He asserted that this document is championed by the Board of Trustees and is the blueprint for fundraising efforts.

The Vice President said that the administration would be willing to accept the Resolution if amended to excise resolving clause #2, to wit: "That the University Administration prepare an annual report for the Faculty Senate on its progress in meeting the goals set out in the 5-year plan provided by the University Librarian."

Because the Gelman Library System serves the University in general, but is treated as merely co-equal with the individual schools of the University, and because the GLS is prohibited in its fundraising efforts from access to alumni/ae who are school-specific, the Committee asked that the administration raise to "University-level" status fundraising initiatives in the upcoming capital campaign in order to meet Goal #5 of the *Strategic Plan* as well as the spirit of Ssenate resolution 05/7.

At its first meeting in 2007 the Committee will prepare an amended Resolution for consideration by the Senate.

**The George Washington University  
Faculty Senate  
Standing Committee on Research  
Fall 2006 Interim Report  
Maria Cecilia Zea**

The Faculty Senate Standing Committee on Research met twice during the Fall Semester.

***Review of the Strategic Plan for Research Development (2001-2003)***

Part of the Committee's mission for the year was to review the Strategic Plan for Research Development. The Standing Committee on Research reviewed the latest Strategic Plan for Research Development, which was prepared by Carol Sigelman and the Advisory Council on Research in 2001. This plan included several priorities per year, from 2001 to 2004. There is no written Strategic Plan for subsequent years.

***Progress Report on the Implementation of the Strategic Plan for Research Development***

The latest Progress Report on the Implementation of the Strategic Plan for Research Development was also written by Associate VP for Graduate Studies and Academic Affairs, Carol Sigelman. Therefore, the Committee invited her to present this progress report at the meeting that took place on November 17<sup>th</sup>. The Progress Report is attached.

Given that most obstacles to implementing the Strategic Plan for Research were financial, the Standing Committee on Research considers important to work together with the Faculty Senate Committee on Fiscal Planning and Budgeting. Both Committees can examine funding possibilities for research advancement at the University. Professor Griffith, Chair of the Faculty Senate Committee on Fiscal Planning and Budgeting, has accepted the invitation.

***Upcoming issues:***

For the next meeting, the Committee will examine the University support provided to graduate research assistants. Tuition cost share will be discussed, and Geri Rypkema has been invited and will be attending the Committee's first meeting in the Spring of 2007.

**STRATEGIC PLAN FOR RESEARCH: PROGRESS REPORT**  
**Prepared at the request of the Faculty Senate Committee on Research**  
**by Carol Sigelman, AVP for Research & Graduate Studies, January 9, 2004**

**OBJECTIVES BEING PURSUED AS THE STRATEGIC PLAN WAS BEING WRITTEN**  
**(MAY 2001)**

**Objective 1. Successfully Launch the New Office of Research Services**

Achieved. Staffing of the new ORS, opened in Fall 2000, was largely completed in 2000-2001. By FY02, all consultants assisting in the transition were phased out and the only unfilled position was that of manager of pre-award services for the Medical Center (hired in FY03). The 2000-2001 year was very challenging because business processes surrounding Oracle had to be established and the Oracle grants module itself had bugs. Although ORS continues to improve processes, the office's staff and functioning have been stabilized for some time.

During the reorganization of research administration in 2000 and subsequently, funding has been added to the central research administration offices (the Office of Research Services, Grants and Contracts Accounting Services, and Health Research, Compliance, and Technology Transfer) to permit both an expansion of the number of staff and the offering of more competitive salaries. Expenditures for ORS increased from \$542,000 in FY00 to \$2,158,000 in FY01 and were \$2,358,000 in FY03. Expenditures for GCAS increased from \$567,000 in FY00 to \$852,000 in FY01 and were \$1,436,000 in FY03 (excluding consultant costs). In addition, GW, like other universities, has had to invest more in recent years in ensuring compliance with federal requirements (e.g., strengthening human subjects protection, developing a select agents (dangerous biological agents) policy, complying with the Health Insurance Portability and Accountability Act, and other new mandates); the University-side's share of expenses of the Office of Health Research, Compliance and Technology Transfer increased from \$179,000 in FY00 to \$999,000 in FY01 and were \$1,566,000 in FY03 (all data from the Budget Office, based on actual expenditures).

**Objective 2. Create and Maintain Close Communication and Coordination among Components of the New Research Administration**

Achieved. Since approximately a year before the reorganization of research administration offices in Fall 2000, we have held regular meetings of the relevant offices to improve coordination among them. Before the reorganization and continuing for some time after, Don Lehman was involved in these meetings. More recently, monthly meetings have involved Carol Sigelman, Fred Rickles, Astra Bain-Dowell, and/or Inderjit Singh of the Office of Health Research, Compliance, and Technology Transfer, Helen Spencer of ORS, Don Boselovic of the Budget Office, Jim Kramer of Supply Chain, Robyn East and Jeff Mundt of ISS, Tim Russell of the Comptroller's Office, and Pamela Goodnow of Grants and Contracts Accounting Services. The purposes of these meetings are to exchange information and deal collectively with issues in research administration as they arise.

ORS is also represented on the EVP&T's financial planning team by Helen Spencer and works closely with ISS on EAS (Oracle) matters. In addition, ORS has offered regular (every other week) meetings for PIs and departmental grants administration staff during

the transition to familiarize the research community with procedures; these meetings continue today but with less frequency.

Finally, ORS and GCAS staff members are paired based on the units they are responsible for serving and communicate far more frequently than before the reorganization to ensure the efficient financial reporting and closeout of awards. ORS and GCAS also hold regular meetings with deans and fiscal officers in each school to review grant-related financial issues.

**Objective 3. Develop Indicators of Research Productivity, Quality, and Impact, as well as Adequacy of the Research Infrastructure, for Use in Tracking Our Progress as a Research University**

Achieved in part. During the formulation of the Strategic Plan for Research, the Advisory Council on Research devised sets of research indicators in the areas of Research Achievements, Quality of Doctoral Programs, and Research Infrastructure (see Strategic Plan). Data have been collected on only some of these indicators due to insufficient staff time. We have a measure of effective rate of indirect cost recovery by school and department or organization, a database on faculty fellowships and awards, a patent database, and extensive data on graduate student support, for example.

The University Strategic Plan’s metrics in the area of research will now be the primary focus of future data gathering efforts, as the Board of Trustees will expect progress reports on the achievement of goals in the University Strategic Plan. Several of these indicators overlap with indicators in the Strategic Plan for Research.

**OBJECTIVES – 2001-2004 THREE-YEAR PLANNING AND BUDGETING PROCESS**

**Year 1 – 2001-2002:**

**Priority 1: Increase and Institutionalize the REIA Budget (to return a share of research revenue to the investigators, departments, and schools responsible for bringing it to GW)**

Only partially achieved. On the positive side, the \$655,000 REIA budget has been supplemented through reallocation of resources. However, institutionalization of an REIA budget that increases as research volume or indirect cost recovery increases has not been achieved.

The REIA program is funded by a line item of \$655,000 in the Office of Research and Graduate Studies. Starting in 2000, the payout under the formula exceeded the budget and discretionary funds from Research and Graduate Studies and Academic Affairs were used to fund the full payout until 2003, when the Council of Deans, with the EVPAA’s concurrence, decided that the deans would determine how to allocate their school’s share of the \$655,000 budget in order to achieve maximal strategic research impact:

|      |                      |      |  |
|------|----------------------|------|--|
| 1995 | \$455,000            | 2000 | \$734,399 (up 22.4%)                     |
| 1996 | \$468,882 (up 3.1%)  | 2001 | \$873,686 (up 19.0%)                     |
| 1997 | \$520,132 (up 10.9%) | 2002 | \$1,001,997 (up 14.7%)                   |
| 1998 | \$598,685 (up 15.1%) | 2003 | \$655,000 (if fully funded, payout would |
| 1999 | \$600,241 (up 0.26%) |      | have been \$1,121,963, up 12.0%)         |

**Priority 2: Strengthen the Departmental Research Infrastructure (by providing funds to research-intensive departments and units to help them cover the added operational costs of research)**

Not achieved (all discretionary funds have gone to REIA recently). However, recognizing the importance of administrative staff to support research-active departments, Executive Vice Presidents Lehman and Katz plan to invest in up to four new departmental grants administration staff in areas of greatest need starting in FY05. The EAS (Oracle) financial system requires competent and well-trained staff, the research portfolio has grown, and sponsored research projects carry costs to the departments that house them that cannot be borne by the awards themselves (e.g., cost sharing, routine administrative/secretarial support, office supplies, phones, and the like). Further investment in grants administration staff, as well as in other aspects of the research infrastructure (e.g., laboratories, equipment, and other operating expenses), will be necessary to keep up with growth. This Priority should, therefore, be stated in broader terms than it was in the Strategic Plan, where only a first step was proposed.

**Priority 3: Increase Equipment Cost-Sharing Funds (to permit more faculty to bring state-of-the-art equipment to GW through grants)**

Not achieved. As before, \$50K per year is available centrally to supplement departmental and school cost sharing contributions, although the central pool can be supplemented from discretionary funds if required and has been numerous times.

**Priority 4: Establish Summer Research Assistantships to help faculty, especially in less well-funded fields, carry out their scholarship and at the same time enrich graduate students' educational experiences and support their studies.**

Not achieved in its original form but partially achieved. This is a relatively new objective aimed primarily at scholars in the humanities and social sciences. It is proposed that hourly-wage summer research assistantships be created for top graduate students in top programs. However, the Selective Excellence initiative has created new Graduate Research Assistantships in some of the seven designated areas of excellence. Specifically, Anthropology, Political Science, and Public Policy have received between them seven GRA positions (with salary, stipend, and tuition) and these and other winners of the Selective Excellence competition have also received additional fellowship packages (stipend plus tuition).

**Priority 5: Increase the University Facilitating Fund (to allow more faculty to receive internal funding to advance their research programs)**

Not achieved. The UFF/Dilthey budget has been fixed at \$178,883 for many years. However, demand on the fund has waned, from 60-70 applications per year in the mid-90s to 40-55 more recently, probably because more faculty are oriented toward seeking external funding.

**Priority 6: Contribute to the Establishment of a Technology Transfer Office (to better assist faculty inventors in bringing their discoveries to the marketplace)**

Achieved in part. In 1998-1999, a planning effort resulted in a \$250,000 proposal for a jointly-funded technology development office serving both the medical and non-medical sides of the University as well as the Children's National Research Center. Budget constraints in the Medical Center postponed the plan but interest in creating a technology transfer office has remained strong.

In the wake of the 2000 reorganization, technology transfer functions moved to the Office of Health Research, Compliance, and Technology Transfer. Last year, an executive associate was hired to support technology transfer (e.g., creating a database of invention disclosures, accepting disclosures, arranging meetings to decide how to proceed with them, reporting inventions to the federal government). Both the medical and non-medical side AVPs continue to invest discretionary funds in patent filings and invention evaluations.

As of January, 2004, the Office of Research and Graduate Studies, in collaboration with the Office of the General Counsel, will join, on a six-month, experimental basis, a technology transfer consortium of local universities and nonprofit organizations created recently by Deloitte & Touche. Initially, the agreement will cover the non-medical side of the University only, as the medical side wants to wait until a new Associate VP for Health Research is hired. Initial activities will include outreach to faculty to elicit disclosures and evaluation and marketing of selected inventions. To date, we have been able to seek patents on selected inventions but have not had a marketing capability.

#### **Year 2 – 2002-2003**

**Priority 1: Increase Tuition Awards Linked to Sponsored Research (to advance research and graduate education simultaneously by ensuring that graduate students with stipends or salaries paid by research projects also receive tuition support).**

Achieved. For a number of years, we had six such tuition awards per year of 18 hours each to dispense. In 1999-2000, \$52,628 was added to create a total pool of \$122,671, enough to cover about 9 full-time study awards at \$725.50 per credit hour. Since then, the fund has been further increased, as increases in graduate enrollment projections have resulted in an increase in the size of the graduate student support budget. The tuition matching budget increased to \$184,968 in FY03 and to \$256,517 in FY04, which we believe will be sufficient to meet demand for some time. If all else fails, the Office of Graduate Student Assistantships and Fellowships can deploy funds from nonrestricted graduate student support budgets as necessary to provide this essential tuition support.

**Priority 2: Encourage Interdisciplinary Collaborations (by forming a task force to study the issues and establishing a seed fund to encourage collaborations, to make cross-department and cross-school research collaborations easier and more rewarding).**

Partially achieved. We make available the services of ORS's Information Specialist, Susan Burke, and of other staff from the Associate Vice President down, to encourage and assist with the logistics of major interdisciplinary proposal-development projects and sometimes invest in the development of such proposals.

In FY02 and FY03, the Advisory Council on research discussed the issue of how best to encourage and support interdisciplinary research. A task force headed by Hal Wolman

and involving both ACR members and other faculty with interdisciplinary research experience submitted a report with recommendations that was discussed by the Advisory Council and by the Council of Deans and was well-received by both the EVPAA and deans.

As a result, changes were made in the call for proposals for the Dilthey program, run in conjunction with the UFF program, so that more than two internal research awards a year could be made to support interdisciplinary research projects and funds could be used for more than salaries. The call for proposals for the Research Enhancement Fund, which supports outstanding centers and institutes, will even more explicitly favor interdisciplinary collaborations in 2005. Perhaps most notably, the GW Institute of Public Policy, a thoroughly interdisciplinary endeavor, has received substantial University support since its founding from revenue generated by the MPP program and, starting last year, from Selective Excellence funds awarded to public policy and public administration. The AVPRGS also has discretionary funds that can support interdisciplinary endeavors.

**Priority 3: Expand Opportunities for Released Time for Research (to make policies on faculty workload determination more supportive of the need for time to conduct research and to continue the competitive Released Time for Research program that gives selected faculty released time to write proposals for external funding) .**

Achieved in part. The Released Time for Research program, conceived in collaboration with the Faculty Senate Research Committee and co-funded by Research and Graduate Studies and the deans, provided course releases to faculty writing research proposals for five years (FY99 to FY03) and was generally a success. A formal evaluation of the first two years indicated that 14 of 31 awards resulted in sponsored project awards totaling \$6.8 million. The program was terminated after FY03 for several reasons: some of the deans felt it had run its course, budget cuts were required, and GWIPP instituted its Policy Scholars program, which offered a new source of course releases for the many GW faculty with policy interests.

The Faculty Senate Research Committee, under Sharon Lynch, undertook a survey of faculty workloads with attention to research releases but the data disappeared and were never analyzed. The Faculty Senate Committee under Carol Hoare undertook phone surveys of other universities, but the data proved difficult to interpret.

GW regularly collects data on faculty workloads, and they show that the average teaching load has decreased to close to 2 + 2 in most schools. Deans and chairs often have the discretion to reduce the teaching loads of research-active faculty and/or increase the teaching loads of faculty who do not contribute in the research domain. Part of the intent of the Released Time for Research program was to encourage efforts to differentiate workloads on the basis of the teaching, research, and service capabilities and commitments of individual faculty members. SEAS has instituted such a system.

**Priority 4: Create a Faculty Start-Up Cost-Sharing Fund (to assist the schools in providing more competitive start-up packages for new faculty).**

Not achieved. Funding start-up packages for new faculty has been and continues to be the responsibility of the hiring school and department. Although Research and Graduate Studies has been asked to contribute under unusual circumstances, no fund for this

purpose has been created. Funding for startup packages continues to be a challenge for the deans.

### **Year 3 – 2003-2004**

**Priority 1: Enlarge the Research Enhancement Fund (to provide more outstanding scholarly centers and institutes with the infrastructural support they need in order to achieve at higher levels).**

Not achieved. The Research Enhancement Fund (REF) was intended to (1) fund well-established faculty collaborations that, with additional funding, can achieve true excellence and national and international recognition for GW, and (2) stimulate interdisciplinary collaborations across departments and schools, where such collaborations can lead to a new center or institute with the potential to attract significant funding to GW. The budget has not increased, except for merit pay increase allocations for a technician funded by REF, since the program was initiated with the first three-year funding cycle in 1991-1993 and an annual budget of \$300,000. As a result, it has been difficult to balance the goals of continuing funding for established centers of excellence *and* funding newly emerging ones.

**Priority 2: Support Dissertation Research with Small Grants (to improve the quality of dissertations and, by reflection, GW's reputation as a research university).**

Not achieved. This initiative was to establish a fund of \$50,000 per year to be used to provide modest funding to doctoral students who need it in order to conduct their dissertation research. A gift to Columbian College does provide funding to doctoral students in the social sciences.

The George Washington University  
Strategic Plan for Research  
2001 – 2002

Adopted by the Advisory Council on Research

May 18, 2001

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## **EXECUTIVE SUMMARY**

### **RESEARCH MISSION AT GW**

The research mission of the University is to create and synthesize knowledge at the frontiers of our understanding and to use that knowledge to address issues of increasing complexity in our world, while strengthening the necessary ties between teaching and research.

To realize its research mission, GW has committed itself to the achievement of the following long-term goals:

#### **GOALS**

- Goal 1.** *Attract high-quality faculty and students to GW.*
- Goal 2.** *Enrich through research the quality of graduate and undergraduate scholarship and education.*
- Goal 3.** *Develop a more supportive research culture and environment at GW.*
- Goal 4.** *Increase the quality and quantity of research by both faculty and students.*
- Goal 5.** *Increase the amount of sponsored research at GW.*
- Goal 6.** *Enhance the reputation of GW as a research-oriented University.*

In order to achieve these research goals, the Advisory Council on Research, with input from faculty and administration, has established prioritized research objectives for next three years. By year, they are as follows:

#### **OBJECTIVES – 2001-2004 THREE-YEAR PLANNING AND BUDGETING PROCESS**

##### **Year 1 – 2001-2002:**

- Priority 1: Increase and Institutionalize the REIA Budget (to return a share of research revenue to the investigators, departments, and schools responsible for bringing it to GW)
- Priority 2: Strengthen the Departmental Research Infrastructure (by providing funds to research-intensive departments and units to help them cover the added operational costs of research)
- Priority 3: Increase Equipment Cost-Sharing Funds (to permit more faculty to bring state-of-the-art equipment to GW through grants for that purpose)
- Priority 4: Establish Summer Research Assistantships (to help faculty, especially in underfunded fields, carry out their scholarship and at the same time enrich graduate students' educational experiences and support their studies)

- Priority 5: Increase the University Facilitating Fund (to allow more faculty to receive internal funding to advance their research programs)
- Priority 6: Contribute to the Establishment of a Technology Transfer Office (to better assist faculty inventors in bringing their discoveries to the marketplace)

### **Year 2 – 2002-2003**

- Priority 1: Increase Tuition Awards Linked to Sponsored Research (to advance research and graduate education simultaneously by ensuring that graduate students with stipends or salaries paid by research projects also receive tuition support)
- Priority 2: Encourage Interdisciplinary Collaborations (by forming a task force to study the issues and establishing a seed fund to encourage collaborations, to make cross-department and cross-school research collaborations easier and more rewarding)
- Priority 3: Expand Opportunities for Released Time for Research (to make policies on faculty workload determination more supportive of the need for time to conduct research and to continue the competitive Released Time for Research program that gives selected faculty released time to write proposals for external funding)
- Priority 4: Create a Faculty Start-Up Cost-Sharing Fund (to assist the schools in providing more competitive start-up packages for new faculty)

### **Year 3 – 2003-2004**

- Priority 1: Enlarge the Research Enhancement Fund (to provide more outstanding scholarly centers and institutes with the infrastructural support they need in order to achieve at higher levels)
- Priority 2: Support Dissertation Research with Small Grants (to improve the quality of dissertations and, by reflection, GW's reputation as a research university)

These priorities exclude needs best addressed through offices other than Research and Graduate Studies or other budgets (e.g., needs for academic computing support, lab facilities and space, library holdings, graduate student support, departmental administrative support, endowed professorships). Moreover, although this Plan addresses many needs that apply across the University, its funding requests are for the most part on behalf of the non-medical side of the University (with the exception of those directed to interdisciplinary research involving faculty in SMHS and SPHHS). The GW Medical Center has its own strategic plan for research dated 2001. Finally, this plan ends with an analysis of how far GW has come since 1985 (far but not far enough) and how it might achieve greater gains than will be possible under this Plan through a bolder approach.

## **FOREWORD**

Formerly perceived by many as primarily a teaching institution, The George Washington University (GW) is now an institution where research plays an integral role. Teaching and research are inseparable in today's universities; they enhance one another. More and more, research also provides the basis for faculty service to the community. Whether through synthesis of existing knowledge to identify alternative solutions to problems or generation of new knowledge, research plays a vital role not only in the life of the mind but in addressing local, national, and global problems.

The three-year budgetary planning cycle, initiated for the first time in the Fall of 1993 for FY-95, assists the University and its faculty in achieving their aspirations in the area of research. In order to strengthen scholarship and research at GW, we must reach a consensus as to our goals and objectives and how to achieve them. In this plan, goals provide broad direction, and objectives are prioritized and distributed over a three-year time period, with the understanding that they are subject to review and possible revision each year.

It is the aim of the Advisory Council on Research to produce plan that is consistent with the strategic plans of the schools and that communicates research priorities as set by the faculty of the University. This Strategic Plan for Research will be the guiding document for the Associate Vice President for Research and Graduate Studies in yearly planning and budget presentations, first to the Vice President for Academic Affairs and then to the President. This 2000-2001 edition of the Strategic Plan for Research follows the pattern of the first and second by focusing on the issues of concern to the research community that fall within the realm of Research and Graduate Studies. Before it was finalized and approved by the Advisory Council, it was reviewed by the Faculty Senate Committee on Research and by 10 junior professors from four schools who were given an opportunity to review it and either attended a discussion meeting, submitted written comments, or both.

## **BACKGROUND**

The present climate for research at GW had its beginning in February, 1984, when President Lloyd Elliott asked the University Committee on Research to identify obstacles to research within the University and to offer recommendations to facilitate it. Chaired by Henry Solomon, then Dean of the Graduate School of Arts and Sciences, the Committee produced the document "Obstacles to Research" in May of 1985. It provided assessments and recommendations on issues ranging from graduate student support to computing and set the stage for many improvements of the research environment. For example, it said, "It is essential that the levels of graduate student support continue to be increased so that we may attain stipend levels competitive with the major research institutions." One outcome was the introduction of special Presidential Merit Fellowships to attract truly outstanding graduate students to GW.

The next important landmark occurred through the efforts of Carl Lange, former Vice President for Research and Administration, and Anthony Coates, former Associate Vice President for Academic Affairs and Research. In May 1989, they produced, in consultation with numerous faculty and with input from the Deans, the document, "Strategies for Research: Toward Growth and Competitiveness." This document served as an initial strategic plan for strengthening research. From it emerged two important innovations: The Advisory Council on Research and the Research Enhancement Fund.

The Advisory Council on Research is appointed by the Vice President for Academic Affairs and is chaired by the Associate Vice President for Research and Graduate Studies. It now has nine members recommended by the deans (CSAS--two, GSEHD, SBPM, SEAS, ESIA, Law, SMHS, and SPHHS--one each); six at-large members recommended by the Associate Vice President for Research and Graduate Studies; and ex-officio members representing the Gelman library, the Office of Research Services, Health Research, Compliance, and Technology Transfer in the Medical Center, and the Executive Dean of the Virginia Campus. In addition, two representatives of the Faculty Senate Committee on Research sit on the Advisory Council on Research and two representatives of the Advisory Council on the Faculty Senate Committee. The aim is to bring together all the best thinking of the faculty and the administration regarding research. In addition, a joint meeting of the Advisory Council on Research and the Faculty Senate Committee on Research is held each spring to discuss issues of common interest and advance the strategic planning process. The Research Enhancement Fund, with an initial allocation of \$300,000, was designed to (1) strengthen existing nationally ranked research programs according to a plan of strategic selection, and (2) support proposals for new departmental or interdisciplinary programs with the potential for excellence.

The Lange-Coates statement of strategies was followed in May, 1991, by a special report of the Faculty Senate Research Committee, then chaired by Professor Barry Berman, entitled, "Research at GW: Constraints and Incentives." The report was based on surveys of faculty, as well as department chairs and program directors, and contained methods for achieving teaching-load accommodations for research-active faculty; proposals to encourage more faculty research; re-emphasis of the importance of graduate student support, especially for doctoral students and research-active departments; suggestions for structural changes with regard to facilities, equipment, and infrastructure to make GW more hospitable to researchers; and reiteration that department chairs and program directors have important responsibilities for promoting research at the departmental level and communicating research outside the University.

In addition to the Research Enhancement Fund, the bulk of which has been used to provide infrastructural support for major research efforts with established track records, three more internal programs to support scholarly activity have been established. The University Facilitating Fund (UFF) is administered by the University Committee on Research (UCR), which annually reviews about 65-70 proposals for UFF or interdisciplinary Dilthey awards and funds nearly 20 of them from a total budget of \$178,883. The second source of funds, administered through a program begun in

FY1993 on a three-year trial basis and extended, is the Research Enhancement Incentive Award, or REIA, program. The purpose of REIAs is to provide incentives for research and funds for reinvestment in research by returning to principal investigators, departments, and deans in equal shares an amount of money based on their sponsored research expenditures for the year. The formula is based on 1% of direct cost expenditures other than tuition, 5% of indirect costs (weighted by the proportion of full allowable indirect recovered so that recovery of full indirect is rewarded, and 5% of any tuition monies provided by the sponsor. The third is the Released Time for Research program, introduced in 1998 to support, in collaboration with the deans, competitions within each school that result in a course release for each of about 15 faculty members, university-wide, who need time in order to prepare a research proposal for external funding.

## **SPONSORED RESEARCH: WHERE DO WE STAND?**

Although about two-thirds of GW's sponsored research revenue comes from the federal government, a significant amount comes from private sources such as foundations and corporate sponsors. As can be seen in Figure 1, total sponsored research expenditures (grant or contract award money actually spent during a given fiscal year) were \$75.6 million in FY00—\$50.9 million on the non-medical side of the University (up 15.7%), \$24.7 million on the medical side (up 4.8%). Indirect cost recoveries totaled \$10.1 million (\$5.4 million, up 22.7%, on the non-medical side, \$4.7 million, steady, on the medical side).

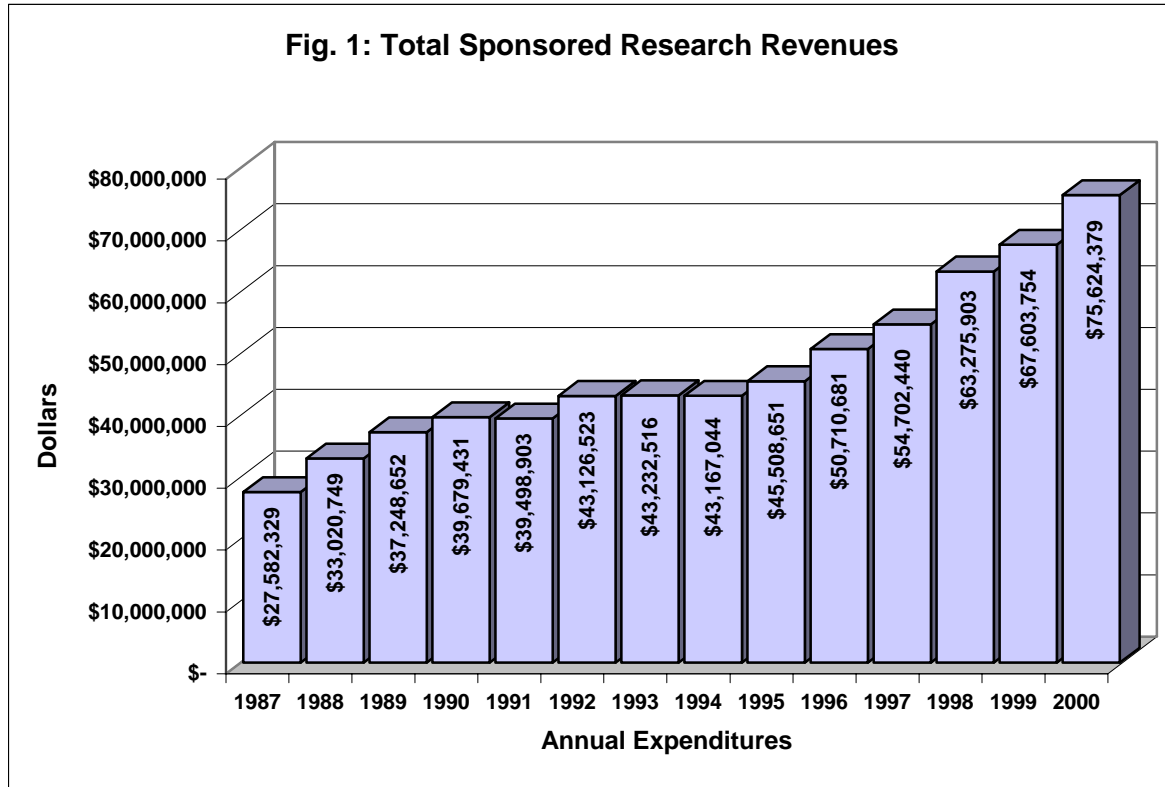
As part of its quest to strengthen its research standing, GW set the overarching objective of becoming a Research I university according to the criteria set forth by the Carnegie Foundation for the Advancement of Teaching (1994):

"Institutions that offer a full range of baccalaureate programs, are committed to graduate education through the doctorate, and give high priority to research. These institutions award 50 or more doctoral degrees each year. In addition, they receive annually \$40 million or more in federal support" ( A Classification of Institutions of Higher Education, 1994 edition, p. ix).

The Carnegie classifications, which are revised every five years or so, had been based on total federal obligation figures available from the National Science Foundation; the 1994 classifications were based on averaging total federal obligations for the years 1989, 1990, and 1991. (Total federal obligations include all orders placed, contracts awarded, and other transactions between the federal government and the university and therefore include activities other than research.) By this criterion, GW was classified as a Research II university in 1994.

In 2000, the Carnegie criteria were revised so as to omit the federal research-funding criterion, just when GW had begun to exceed it (see Figure 2 and

www.carnegiefoundation.org/OurWork/Classification/). The 2000 classification system defines Doctoral/Research Universities - Extensive as follows: "These institutions typically offer a wide range of baccalaureate programs, and they are committed to graduate education through the doctorate. They award fifty or more doctoral degrees per year across at least fifteen disciplines."

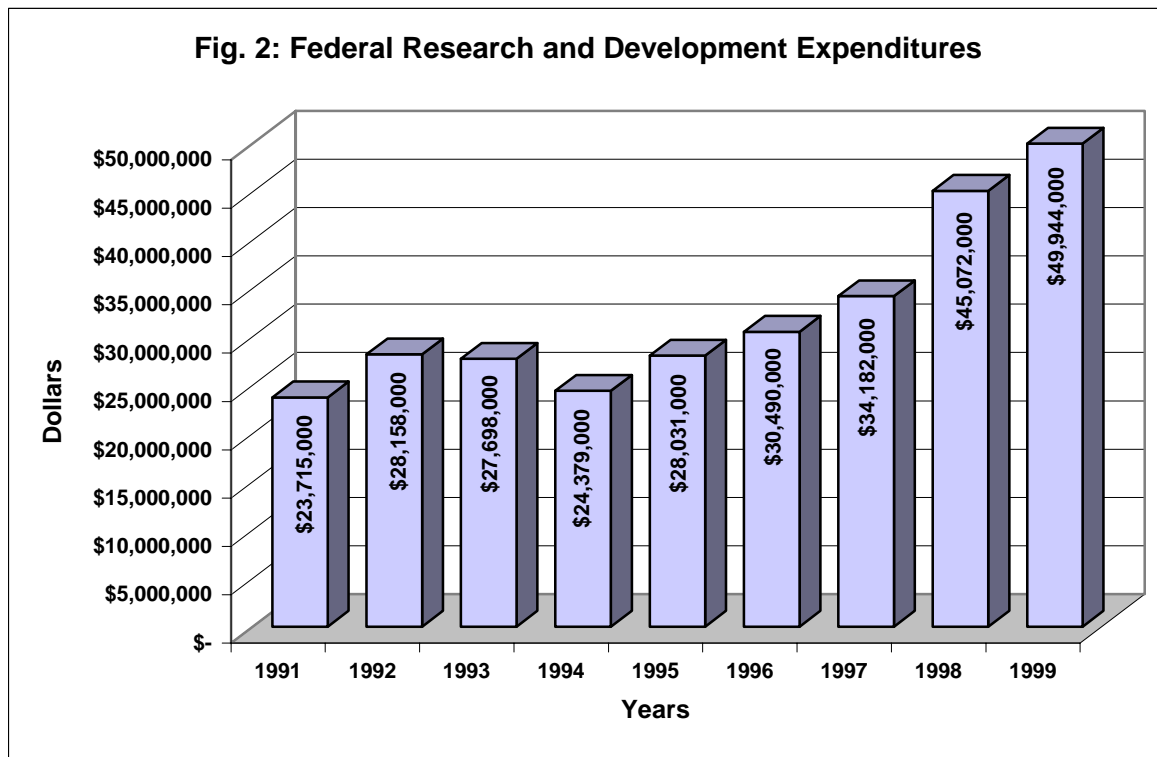


GW, along with 100 public universities and 48 private universities, falls in the category of Doctoral/Research Universities - Extensive. The next most research-oriented category, Doctoral/Research Universities - Intensive, includes institutions such as American University that award "at least ten doctoral degrees per year across three or more disciplines, or at least twenty Doctoral Degrees per year overall."

Although controversy surrounds the Carnegie Foundation's plans for the future, it intends to make fundamental changes in its classification system in 2005 to permit classification of institutions on multiple dimensions. Presumably, federal research dollars will still be one of those dimensions. However, the intention of Carnegie is clearly to get away from an overemphasis on the dollar amount of research funding and to call attention to other dimensions along which universities vary.

## WHERE SHOULD WE HEAD?

While it is no longer meaningful to say that we aspire to become “Research I,” we continue to aspire to become a top-tier research university. This is one of six goals of the University, as articulated at the 2000 Faculty Assembly by Vice President for Academic Affairs Donald Lehman. The change in the Carnegie Foundation’s thinking is actually compatible with the consensus view at GW that there is far more to becoming an outstanding research university than attracting more federal dollars. This strategic plan is based on the assumption that we should seek **selective and multidimensional excellence in research**.



As Nannerl Keohane (1993, pp.101-102) notes, it is “easier to celebrate variety than to be selective.” However, we simply do not have the human or financial resources to achieve excellence in all aspects of our research enterprise. We have no choice but to focus our energies strategically. As a result, our first guiding principle, a principle that already guides University strategic planning more generally, is selective excellence. In the research domain, this means that we must identify and selectively nurture areas of both established and emerging research excellence.

Our second principle involves seeking multidimensional excellence. Becoming a top-tier research university will not be achieved by mindlessly chasing federal dollars. Some of our outstanding scholars are in fields in which it is difficult to attract substantial federal funding, and some of our greatest research accomplishments bring respect

rather than revenue. We must monitor and seek to advance other indicators of research excellence besides federal funding--for example, publication in quality journals and other research achievements, provision of high-quality doctoral education, and provision of high-quality research administration services. We should ask how we can most effectively lift GW's reputation as a place where outstanding scholarship is done and enhance opportunities for faculty and students to engage in scholarship, research, and creative activity. Achieving multidimensional excellence involves strengthening the qualities that typify top-tier academic departments, research centers and institutes, and research universities.

One key indicator of progress as a research university is most certainly federal research funding. Data on federal research funding are reported yearly by the National Science Foundation and published in The Chronicle of Higher Education; they are particularly important because they allow comparison between and ranking of institutions. GW's total federal obligations (no longer tracked by NSF) crossed Carnegie's \$40 million mark starting in FY1998. Moreover, we broke into the Top 100 research universities in the United States in 2000 based on federal research and development expenditures, the comparative measure NSF now uses. Specifically, our federal R & D expenditures rose from \$34,182,000 in FY1997 to \$45,072,000 in FY1998 (a 31.9% increase), resulting in a rise in our national ranking from 113<sup>th</sup> to 98<sup>th</sup>. And, based on \$49,944,000 in federal R & D expenditures in FY1999, our ranking, as published in the March 16, 2001, Chronicle of Higher Education, increased from 98<sup>th</sup> to 97<sup>th</sup>. In view of this progress, and in keeping with our guiding principles, we should remain committed to the goal of increasing federal research support, as that is where the greatest potential for funding lies.

However, we should also monitor other indicators of research productivity, quality, and impact. For example, in 2000, GW appeared in a study of the 82 top research universities in the U.S. based on our being in the top 25 of the privates in number of doctoral degrees awarded (Craig, Capaldi, and Gater, 2000). We must continue and strengthen efforts to integrate research and scholarship with education, both graduate and undergraduate, and should count advances in doctoral education in particular as advances in the larger research enterprise. Moreover, because a strong research infrastructure can greatly enhance the productivity of researchers, and because we recently implemented changes in the research infrastructure, we should also monitor over time the efficiency and effectiveness of research administration services (see 2000-2001 objectives). Using a battery of well-chosen indicators, we would be in position to track progress toward the achievement of our shared goals as a research institution along multiple dimensions. We are clearly making progress, but we just as clearly need to make wise investments in faculty research and scholarship in order to move to the next level.

## **GW'S RESEARCH MISSION**

The George Washington University is a comprehensive university with broad responsibility for education at both the undergraduate and graduate levels. The inextricable link between teaching and research comes to the fore in two ways as the university carries out its educational mission: the professor/researcher transmits new knowledge to students, and students participate in and learn about research with guidance from the professor/researcher. This synergy is manifest in the statement of the research mission of GW:

**The research mission of the University is to create and synthesize knowledge at the frontiers of our understanding and to use that knowledge to address issues of increasing complexity in our world, while strengthening the necessary ties between teaching and research.**

## **GOALS**

To realize its research mission, GW must focus its attention on and commit its resources to the achievement of certain goals. GW's broad research goals remain those articulated in the 1994-1995 and 1997-98 versions of the Strategic Plan for Research.

- Goal 1.      *Attract high-quality faculty and students to GW.***
- Goal 2.      *Enrich through research the quality of graduate and undergraduate scholarship and education.***
- Goal 3.      *Develop a more supportive research culture and environment at GW.***
- Goal 4.      *Increase the quality and quantity of research by both faculty and students.***
- Goal 5.      *Increase the amount of sponsored research at GW.***
- Goal 6.      *Enhance the reputation of GW as a research-oriented University***

In addition, GW now states as one of its University-wide goals "To move GW into the ranks of the top-tier research institutions through continued and enhanced facilitation of scholarship and research growth." GW will pursue the specific goals above and this overarching goal of becoming a top-tier research university through a strategy of selective and multidimensional excellence, as expressed in the specific objectives and strategies that follow.

## OBJECTIVES

In order to determine where we are currently with respect to our guiding research goals, we present a review of recent priorities and accomplishments, followed by the priorities selected for emphasis by the research community in the coming years.

The holdings of and services offered by Gelman Library are of significance to the scholarly community, but are not dealt with here because the library has its own strategic plan. Similarly, issues associated with research computing are of tremendous importance to the research community but are not addressed because they are the focus of the Information Technology Advisory Committee (ITAC), including its subcommittee on Research and Instructional Technology as well as the Committee on Strategic Planning for Academic Information Technology. Asked for its input about information technology needs in Spring, 1997, the Advisory Council on Research emphasized above all else the need to equip all faculty with the tools of modern scholarship and research--up-to-date computers with graphic access to the Internet and the World Wide Web. That objective has largely been met. A need for massive data storage capacity was also identified, but it has not yet been adequately addressed. Needs for laboratory space and equipment are also outside the scope of this plan. Finally, we do not address issues that concern the hiring of faculty in priority research areas, the establishment of endowed chairs, and similar matters that fall in the domains of the schools.

## STATUS OF OBJECTIVES IN PREVIOUS STRATEGIC PLANS

The following is a brief summary of priorities stated in the 1994-1995 and 1997-1998 Strategic Plans for Research that have been largely achieved and mainly need to be maintained in the coming years. As will become clear, funding levels have not changed substantially since the 1994-1995 plan was written, with the exception of REIA funding. As a result, most priorities from the 1994-1995 Plan remained priorities in the 1997-1998 Plan, and many remain priorities in the present Plan.

- § Perhaps the most important achievement of the last several years is that the GW community embraced the goal of becoming a top ("Research I") research university. This goal is now among the six goals that guide the University as a whole. Moreover, there is recognition that becoming a top-tier undergraduate institution hinges on having a top-tier faculty whose scholarly achievements enhance the university's reputation and enrich its educational offerings. This change in direction and aspiration is no small accomplishment.
- § GW's Patent Policy was modernized to encourage faculty to apply for patents through the University; the Policy on Patents and Scholarly Works, dated June 19, 1996, is now in effect. However, GW often relies on companies such as RCT and BTG to evaluate and possibly develop or license inventions and it continues to lack a technology transfer office that can more effectively help faculty seek

patents, market their intellectual discoveries, and forge partnerships with industry to commercialize products.

§ In 1998, the Copyright Policy was revised. Under the new policy, faculty generally retain ownership of their copyrightable works unless they are works-for-hire or involve substantial use of University resources. Works in different media are treated similarly, and different provisions apply to faculty, staff, and students.

§ The University has established and refined procedures for chartering and periodically rechartering Centers and Institutes within the University through the Advisory Council on Research. The review mechanism's aim is to ensure that centers and institutes at the University are viable, represent the University well, and contribute to its goals in the areas of research, education, and service.

§ Each school has designated an associate dean or faculty member responsible for working with the Associate Vice President for Research and Graduate Studies and the Office of Research Services to pursue research-related goals consistent with the School's priorities. Although CSAS, ESIA, Law, and SBPM do not have a person titled Associate Dean for Research, schools all have someone fulfilling this role.

§ The Office of Sponsored Research expanded its support to faculty in 1996 by adding a staff person whose responsibilities include helping faculty identify appropriate funding opportunities, providing assistance in gathering information relevant to grants, writing standard proposal material, and coordinating the process of proposal development, especially for complex, interdisciplinary projects--all so that investigators can focus on the substance of their applications. In 1999, OSR added a position dedicated to improving post-award assistance with personnel appointments, procurement, and the like in the Columbian School of Arts and Sciences—the forerunner of today's Research Service Coordinator.

§ Considerable strides were made, primarily through the development of the Office of Sponsored Research web site, to improve communication with the faculty regarding research opportunities and research policies. Attention centered on: (a) improving access to information about funding opportunities, primarily through flyers and workshops to acquaint faculty with the capabilities of the Community of Science (COS), (b) educating faculty and students about human subjects protection and implementing procedures to ensure that both sponsored and non-sponsored project receive human subjects review, and (c) providing information about GW's copyright and patent policies, issues in entering into agreements with industry, and technology transfer.

§ In pursuit of the goal of strengthening the research culture at GW, we organized and held a university-wide faculty research exhibition called the Scholars Showcase in 1997 and 1998. Originally proposed by the Faculty Senate Committee on Research in 1995, it offered talks, performances, videos, posters, and other creative forms of communication; involved faculty from all eight schools, as well as students and outside guests, and provided opportunities for celebrating the accomplishments of GW researchers and fostering communication across disciplinary lines.

§ Research Enhancement Incentive Awards (REIAs) were implemented starting in FY1994-1995 for all but SMHS and SPHHS.

## **OBJECTIVES CURRENTLY BEING PURSUED**

The top priority in FY2000-2001 is to successfully launch a major reorganization of research administrative offices at GW and incorporate the Oracle financial system, including its Grants Management module, in ongoing research activities. Briefly, the reorganization was implemented on August 1, 2000, after jobs in existing research offices were eliminated and staff were given an opportunity to apply for new positions. The reorganization involved a commitment of new resources to expand and upgrade staff in the key research administration offices and included the following initiatives:

- § Creation of the Office of Research Services as the University-wide successor to the Office of Sponsored Research and the Medical Center Office of Research. It now provides cradle-to-grave research services, from proposal preparation to the setting up, administration, and closing out of a grant or contract, through 18 Research Service Coordinators who serve particular units of the University;
- § Development of offices in the Medical Center with University-wide responsibility for research compliance (human subjects and animal protection, lab safety and hazardous materials protection, education regarding the conduct of clinical trial, scientific misconduct, conflict of interest, and the like) and, in the near future, technology transfer;
- § Reorganization and expanded staffing of Grants and Contracts Accounting Services under the Comptroller to handle billing of sponsors, financial reporting to sponsors, and other aspects of the financial accounting associated with sponsored research more effectively and efficiently.

The following objectives are currently being pursued:

### **1. Successfully Launch the New Office of Research Service**

Getting the Office of Research Services off to a good start is the top priority for the year. Many challenges are involved in hiring, training, and deploying a new staff prepared to provide cradle-to-grave research administration services to the entire University and equipped to incorporate Oracle into their practice as research administration professionals and help others master it. Among the keys to success will be (a) effective communication with the research community about the reorganization, (b) development and incorporation in training of policies and procedures for Research Service Coordinators, and (c) efforts to inform and train the research community and relevant departmental support staff about how to get the administrative work of grants and contracts accomplished and accomplished efficiently in the new environment.

Extensive communication efforts will be essential to the success of the reorganization. We will concentrate on the goal of informing the research community of

the new research organization, the Oracle grants management module, and new procedures so that faculty can move as painlessly as possible into new ways of doing their research business. This will involve information sessions on the new research organization and on Oracle; expansion of the Office of Research Services web site to include new contact and procedural information; and provision of training sessions for researchers and departmental research administrators on specific aspects of grants management. Although it is all too easy to let the writing of procedural guides slide when workloads are heavy, priority will be placed on committing to writing procedures to be followed by Research Service Coordinators and by departmental research administrators initiating financial transactions on behalf of Principal Investigators.

## **2. Create and Maintain Close Communication and Coordination among Components of the New Research Administration**

In addition to launching the Office of Research Services, we will develop ongoing mechanisms for working with the Associate Vice President for Health Research and Technology Transfer and the Assistant Vice President for Health Research, Compliance, and Technology Transfer to ensure smooth transfer of non-medical human subjects protection, scientific misconduct, and other compliance activities to the Medical Center and to move non-medical side technology transfer operations to the to-be-created office of technology transfer. Similarly, we will coordinate with Comptroller Timothy Russell and the Director of Grants and Contracts Accounting Services to help ensure smooth coordination with and effective functioning of the new Grants and Contracts Accounting Services office. In all likelihood, we will also engage in more than the usual troubleshooting and intervention with administrative offices on behalf of researchers when problems arise, as they will in times of dramatic change.

## **3. Develop Indicators of Research Productivity, Quality, and Impact and of the Adequacy of the Research Infrastructure for Use in Tracking Our Progress as a Research University.**

With guidance from the Advisory Council on Research and the Faculty Senate Committee on Research, and assistance from the Office of Academic Planning and Assessment, we intend to develop a set of measurable indicators of research productivity, quality, and impact, as well as of the adequacy of the research infrastructure, for use in evaluating our progress toward becoming a top-tier research university and achieving the goals that drive this strategic plan. These indicators will be designed, where possible, to allow us not only to chart our progress over time but to compare ourselves to other universities. Many of the indicators can also be used by particular schools, departments, and centers and institutes to monitor their progress. Although the performance of the research infrastructure is in large part out of the control of academic units and cannot be used to evaluate the scholarly achievements of those units, administrative support for researchers varies widely across the University and

should be monitored closely in the wake of implementation of the Oracle Financial System.

The following lists illustrate indicators appropriate for monitoring Research Achievements, Quality of Doctoral Programs, and the Research Infrastructure. We would want to select the most salient for attention, as the data-gathering effort implied by the list is substantial.

### **Research Achievements**

1. Total yearly sponsored project expenditures (broken down into the categories of research, training, and other)
2. Yearly research expenditures from federal sources—total and per faculty member (regular full-time active status, research professors, and contract faculty only where they have research responsibilities)
3. Yearly research expenditures from corporate sources—total and per faculty member
4. Yearly research expenditures from foundation sources—total and per faculty member
5. Faculty research productivity in terms of per capita books, refereed publications, and juried exhibitions and performances (with the recommendation that this information be extracted from annual reports each year)
6. Per capita receipt of prestigious faculty fellowships (e.g., American Council of Learned Societies, Fulbright, Guggenheim, Rockefeller, MacArthur)
7. Invention disclosures, patents, license agreements, and royalty income per research-active faculty member
8. Per capita numbers of national offices, editorships, and research awards as a measure of faculty recognition
9. Research impact as indicated by numbers of citations of works by GW researchers in the scholarly literature (using Science Citation and Social Science Citation Index)

### **Doctoral Program Quality**

1. Because highly ranked doctoral programs and research excellence go hand-in-hand, doctoral and professional program rankings, with attention to the specific quantitative and qualitative measures that contribute to those rankings, particularly as determined by the National Research Council
2. Number of full GTA/GRA/GAA packages per enrolled doctoral student
3. Number of grant-supported stipends and research assistant/associate positions per enrolled doctoral student
4. Percentage of admitted doctoral students accepting first offers of GTA/GRA packages
5. Number of graduate student publications, external fellowships, dissertation

- awards, and other academic achievements
6. Percentage of graduates in academic, research, and other positions appropriate to their degrees immediately after graduation and five years later

### **Research Infrastructure**

1. Amount and state of repair of research space per faculty member (using NSF space survey data)
2. Perceived adequacy of research space
3. Research equipment value per faculty member
4. Perceived adequacy of research equipment
5. University expenditures on research as a proportion of total yearly expenditures.
6. Average ranking of GW Libraries in ARL Statistics published by the Association of Research Libraries based on key indicators such as volumes in library, current serials, materials expenditures, and total staff
7. Perceived adequacy of information technology resources and support for research
8. Dollar amount of internal institutional funding for faculty research activities (UFF, REF, Released Time for Research, etc.)
9. Number of central and departmental/school research administration staff members per faculty member
10. Satisfaction with research administration staff, both central and departmental
11. Speed with which common research administration transactions occur—for example, average days to receive supplies or a piece of equipment after ordering it, days to receive travel reimbursement, days to reverse an incorrect telecommunications charge, days after the end of a grant or contract that the award's final financial report is filed.
12. Satisfaction with other support services for researchers (e.g., graphics, lab technicians, and the like)

Using a battery of key indicators along these lines, we will be in position to track progress along multiple dimensions toward excellence as a research institution.

### **OBJECTIVES – 2001-2004 THREE-YEAR PLANNING AND BUDGETING PROCESS**

After discussing research priorities during the academic year, the Advisory Council on Research and the Faculty Senate Committee on Research generally meet jointly in May to review and rate research objectives. Heading these priority lists have been enlargement of the pool available through the UFF and Dilthey programs to support faculty research projects, released time for research-related activities, a larger pool of tuition awards for graduate students supported on grants and contracts, and more equipment cost-sharing money. The strategic plan presented below is guided by these priorities, as well as by analysis of other pressing needs. It reflects an effort to

achieve incremental rather than dramatic change in certain high priority but underfunded areas in the near future.

Given other pressing university needs such as information technology, internal funding for research has been flat in recent years. The exception has been an infusion of new money recently to enlarge and upgrade the staffs in the GW's research administration offices (Research Services, Grants and Contracts Accounting Services, Compliance). As a result, the prospects for major new funding in the research area in the immediate future are poor, and this plan is accordingly realistic.

## Year 1 – 2001-2002

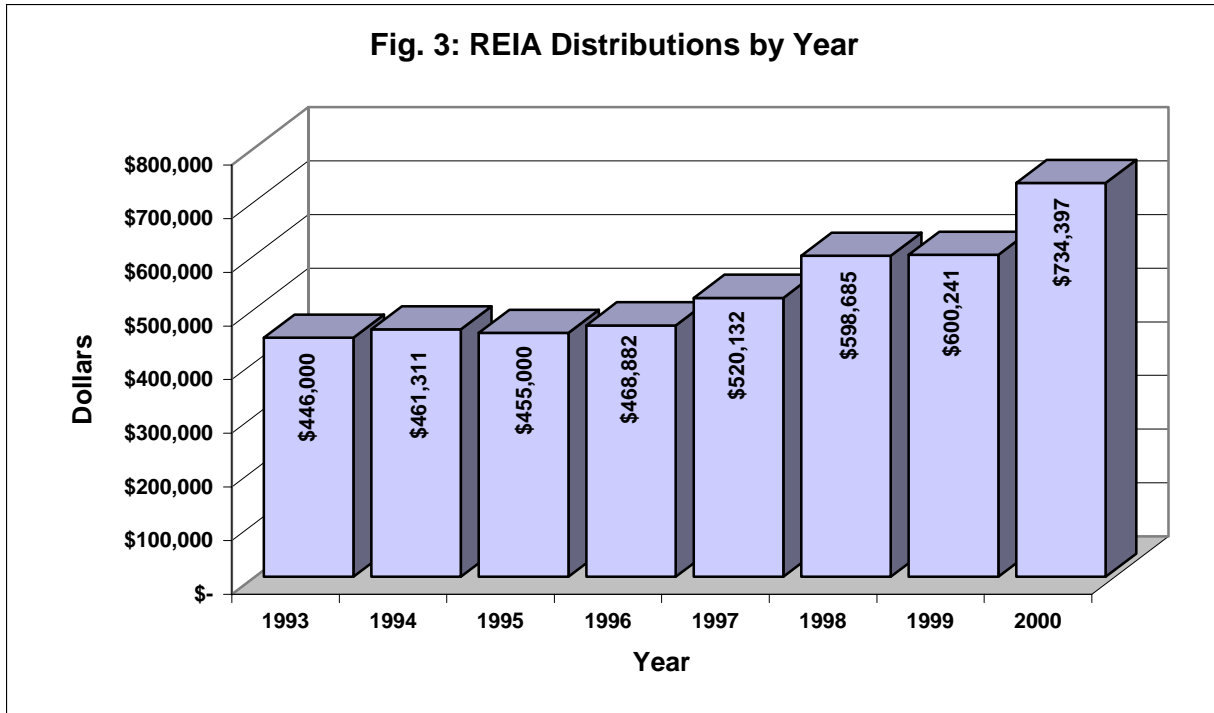
Emphasis will continue to be placed on fully implementing the new research administrative structure through provision of information to the research community, consultations to assist researchers in proposal preparation and grant administration, and coordination with Health Research, Compliance, and Technology Transfer offices and Grants and Contracts Accounting Services. No new funds are requested here for that purpose, however.

### **Priority 1: Increase and Institutionalize the REIA Budget**

**Objective** – The REIA program has served GW well as a mechanism for returning funds based on research dollars brought to the University to the investigators, departments, and schools responsible for attracting them. REIA awards recognize sponsored research achievements, provide an incentive for continued research productivity, and permit investment in continued research productivity. Figure 3 shows the history of REIA disbursements. The total amount distributed through this program had been quite flat from 1993 to 1996, rising from \$446,000 to almost \$469,000 in FY-96. In FY-97, it rose 10.9% to \$520,100; in FY-98 it rose an impressive 15% to \$598,700; in FY-99, it increased 2.6% to \$600,241; and in FY-00, it rose 22% to \$734,397.

The REIA program is funded by an earmarked line item of \$655,000 in the Office of Research and Graduate Studies. **That allocation clearly will be insufficient by FY2001 to pay fully what the REIA formula dictates.** As indicated by a 1998 survey of REIA recipients, PIs, chairs, and deans alike are highly supportive of the REIA program and only wish that the awards were larger. Because departments and schools at GW do not receive a portion of indirect costs that approximates the percentage of indirect intended to reimburse department and school administrative costs (see Strengthen Departmental Research Infrastructure), units with substantial sponsored research activity rely on REIA to provide the most basic forms of administrative support.

With these considerations in mind, we seek a change the methodology for determining the REIA budget so that it is indexed to non-medical research expenditures and will always be sufficient to honor the formula. REIA awards are calculated as 1% of actual direct cost expenditures on a grant or contract, 5% of indirect costs (times the



percentage of full indirect recovered), and 5% of tuition paid by the award. In practice, and in part because Virginia Campus and certain other projects are omitted from the calculation, the total REIA award in the past five years has ranged from 1.36% to 1.55% of non-medical side expenditures. If the REIA budget each year were set at 1.75% of the previous year's non-medical side expenditures, it would always be sufficient to honor the formula. In addition, we will continue to advocate for an increase in the percentage of sponsored project revenue returned to schools and departments.

**Cost** – For FY2000, non-medical research expenditures of \$50,892,595 would dictate an REIA budget of \$890,620 in FY2001 (1.75% of \$50,892,595). This would require an increase of \$235,620 in the current budget of \$655,000. Non-medical side research expenditures increased 15.7% from FY99 to FY00 (and indirect costs recovered rose 23%, from \$4.4 million to \$5.4 million). If expenditures were to increase 12% in FY01, expenditures would be \$56,999,706 and the REIA budget for FY2002 would be 1.75% of that, or \$997,495, \$342,495 more than \$655,000. Under the same assumptions, expenditures would be \$63,839,670 in FY2002, and the REIA budget \$1,117,194 in FY2003, \$119,699 more than in FY2002. Expenditures would be \$71,500,430 in FY2003 and the REIA budget \$1,251,257 in FY2004, \$134,063 more than in FY2003.

**Benefit** – The REIA serves critical functions such as subsidizing the institutional cost-sharing required in order to obtain many grants and contracts, development costs associated with preparing major research proposals, and school and departmental support services to researchers. It would be very damaging to the morale of the research-active faculty if we could no longer honor the REIA formula.

## **Priority 2: Strengthen the Departmental Research Infrastructure**

**Objective** – Many of GW's departments are struggling to meet their education, research, and service responsibilities with too few, and typically underpaid, staff, limited operating budgets, and inadequate facilities and equipment. The implementation of the Oracle financial system has multiplied the administrative burdens on department staff, and increased sponsored research activity has further burdened departments. It is beyond the scope of this Strategic Plan to request an increased investment in the staffing of academic departments and research units; however, it is our obligation to emphasize the need. Very simply, the goal should be to staff research-active departments such that department staff rather than investigators carry out the administrative work of sponsored projects, freeing investigators to do research.

Here we focus on another aspect of the departmental research infrastructure in need of strengthening. Sponsored research projects have hidden costs to the departments that bring them to the University. Beyond the explicit cost sharing sometimes required by sponsors, departments must typically provide the basic administrative infrastructural support that research projects require--office supplies, routine secretarial support, phones, postage, and the like. The federal government views such routine administrative costs as part of what Facilities and Administrative Costs (indirect costs) are intended to cover and therefore does not consider them allowable direct costs. Only under restricted circumstances (e.g., in the case of large, administratively complex projects) can such administrative costs be charged to the federal government as direct costs. In addition, departments with laboratories must keep research equipment, often purchased with the help of grants, in good repair. Equipment maintenance costs are assumed to be part of the Facilities portion of Facilities and Administrative Costs.

Within Facilities and Administrative Costs, the Administrative Costs portion is capped by the federal government at 26% of Modified Total Direct Costs (after subtraction of equipment, tuition, and other excluded costs from total direct costs). Administrative costs include the following components: general administrative costs, departmental administrative costs (including dean/school and faculty administrative efforts), and sponsored program administrative costs. Based on GW's F & A Cost Rate Proposal, which used 1996 data and is the basis for our current negotiated indirect rate, these three components represent 7.0%, 15.6%, and 3.4%, respectively, of MTDC for the nonmedical side of the University. The departmental/school share, 15.6%, represents 31.8% of the full on-campus indirect rate of 49%--and 31.8% of the off-campus rate of 26% as well, since the off-campus rate consists of administrative costs only.

At present, some schools and departments are drawing on REIA awards to provide basic infrastructural support for research. However, the REIA allocation is considerably less than 15.6% of the modified total direct costs of research. More importantly, it is intended to stimulate new research activity rather than to provide

routine support to ongoing research. As a result, departments with research-active faculty currently bear the burden of providing such routine support without assistance, using their limited departmental operating budgets. This initiative is intended to change that.

We propose to begin this initiative with a budget of \$100,000 to be divided on the basis of total research expenditures for FY00 among the departments on the non-medical side of the University with at least \$300,000 in research expenditures and multiple grants. (The Biostatistics Center and the National Health Policy Forum would be excluded because of their special circumstances, as would GSEHD training grants that follow the strategic cost cost-sharing model.) The initiative would therefore target the departments currently hardest hit by administrative costs. A proportionate share of the \$100,000 would be transferred to each unit's supplies account and would be restricted to use in the following categories: office and lab supplies, phones, and postage specifically used for the support of research projects and their staffs.

Since non-federal sponsors, like federal agencies, expect universities to cover many of the routine expenses associated with research, we will use total research expenditures rather than federal expenditures as the basis for awarding the administrative costs supplement. Where appropriate, an additional allocation will be made for research equipment maintenance.

**Cost** – The cost would be \$100,000 in the first year. The allocation should increase by 20% per year to keep up with increases in the volume of research and to move us in the direction of fuller support of the needs of research-active departments. The allocation would increase to \$120,000 in the second year, and to \$144,000 in the third year.

**Benefit** – GW's steady growth in sponsored research funding will stall or reverse itself if faculty find the costs of doing research to exceed the benefits. Departments with research-active faculty must invest departmental staff time and funds from their operating budgets to support research activities. They should not put in a position of either denying researchers the resources that indirects are meant to provide or under funding educational activities in order to support research. Research and education will both benefit if we can direct supplemental operating funds to the departments that most need them.

### **Priority 3: Increase the Equipment Cost-Sharing Funds**

**Objective** – The aim is to create a realistic line item in the Office of Research Services budget to meet mandatory cost-sharing requirements on equipment proposals in collaboration with the schools. Currently, \$50K per year is available to supplement departmental and school cost sharing contributions, sometimes supplemented by discretionary funds. At present, \$15,000 of the \$50,000 through 2003-2004 is now committed to cost sharing on the shake table facility soon to open at the Loudoun County campus. Without being able to commit to cost sharing, GW is unable to compete in the instructional and research instrumentation grant competitions of the

National Science Foundation, the Department of Energy, the Department of Defense, and several foundations. For example, NSF's Major Research Instrumentation Program (MRI) requires the university to bear one-third of the cost of a piece of equipment. Equipment obtained through such grants typically enhances both research and teaching; inability to compete for funds often means having instructional and research equipment that is not state-of-the-art and that keeps GW from being first-rate.

**Cost** – It is proposed that each year, over a three-year period, \$50K be added to the existing \$50K to build this fund to a total of \$200K per year. Moreover, it is recommended that faculty be encouraged to enter competitions that lead to new instructional equipment and new research instrumentation for the University.

**Benefit** – Cost sharing of this sort helps ensure that faculty are in a competitive position with respect to instrumentation grants and increases the probability that GW will have state-of-the-art instrumentation for its instruction and research.

#### **Priority 4: Establish Summer Research Assistantships**

**Objective** – In a study of research support needs of the faculty conducted in 1999, the top need expressed by faculty was the need for research assistants. Faculty also frequently express a wish for more graduate support; in all too many departments, the size of GTA packages is insufficient to cover the full cost of attending GW. In this context, it is proposed that hourly-wage summer research assistantships be created for top graduate students in top programs. It would need to be clear that the assistants must be assigned to do research, not departmental administrative work. It would also make sense to give priority to outstanding programs in the humanities and social sciences in which external funding to support graduate assistants is limited.

**Cost** – Funding for summer research assistantships should be administered at the school level and funded by deans and/or chairs with the help of matching money provided centrally. A graduate student working 20 hours a week at a rate of \$14 per hour for 12 weeks would make \$3360 for the summer, or \$1120 per month, enough to cover the cost of living for graduate students at GW; adding 6.9% fringe, this would total \$3,592 per student. Assistantships could vary in duration, intensity, or pay, of course, depending on the field and project, but at \$3,592 per summer assistantship, 15 of them would cost \$53,880. If central resources covered 70%, as in the federal work-study program, the central contribution would be  $\$2,514 \times 15 = \$37,710$ , and the school/department contribution would be a modest \$1,078 per student, within the reach of smaller and less well-funded departments. The program could be expanded in subsequent years by roughly 10 positions, or \$25,140 in central funding, per year.

**Benefit** – GW has very few research assistantship opportunities apart from those funded by sponsored projects. Summer research assistantships could help faculty in under-funded fields complete their research projects, improve the quality of graduate education by giving more students on-the-job research experience, and increase retention of graduate students by helping them finance their education and increasing their opportunities for meaningful interaction with their mentors.

### **Priority 5: Increase the University Facilitating Fund**

**Objective** – The aim is to increase the amount of money available to award to faculty research proposals through the UFF and Dilthey competitions each year. In recent years, about 60-70 proposals have been received annually but only about 18-20 have been funded. In Fall 2000, applications dropped to 42. This may have been an aberration, or it may reflect faculty frustration about their odds of UFF funding, or success attracting external funding. In any case, The UFF has been fixed at \$178,883 for several years, despite the hiring of many more research-active faculty and despite inflationary trends that make it worth less today than it used to be worth. This initiative would increase the number of proposals supported modestly. Priority would be placed on expanding the number of interdisciplinary Dilthey awards. We will also investigate an Advisory Council on Research recommendation that schools institute advisement and screening mechanisms that would encourage some applicants to develop their UFF/Dilthey proposals fully but others to save their energies. We will also explore the use of discretionary funds to provide bridging support for productive researchers who are between grants or contracts when their time of need does not correspond to the UFF award timetable.

**Cost** – Up to six more awards each year at an average of \$10K per award would require an additional \$60K in each of two years, for a total of \$120K.

**Benefit** – The University Facilitating Fund serves three purposes: 1) as a source of research funds for newly hired faculty; 2) as a source of funds for faculty in disciplines in which external funding is not readily available; 3) as a source of bridging funds for faculty in between external funding grants or contracts. This program is one of the faculty's top priorities; it stimulates in a very direct way the scholarly productivity of the faculty. An evaluation of the program for 1997-1998 revealed that 8 of 20 awardees claimed that the UFF/Dilthey helped them to obtain external funding for their work. The total dollar amount of the grants and fellowships these eight obtained totaled \$1,064,251—a return of almost \$6 in sponsored research dollars for every \$1 invested in the UFF/Dilthey program.

### **Priority 6. Contribute to the Establishment of a Technology Transfer Office**

**Objective** – The objective of this priority is to provide legal and other consultation and financial support to faculty who are developing or have developed research products with commercial potential. At present, GW is doing far less than most top research universities to convert intellectual properties developed through research and scholarship into commercial products. Unlike the top universities, it does not have a technology transfer office. Although problems can arise when faculty, or universities generally, become more concerned with making a profit than with advancing knowledge, the transfer of technology from the university to the marketplace can be

viewed as a form of research dissemination and as a means through which the University serves society. Although not all faculty and students will benefit from a technology transfer office, we owe it to those who can to assist them in gaining the recognition that comes from patenting their work and the satisfaction that comes from seeing their ideas translated into useful products.

In 1998-1999, the Associate Vice President for Research and Graduate Studies, the Associate General Counsel, the Executive Dean of the Virginia Campus, the new Vice President for Research in the Medical Center, and others undertook a planning effort that resulted in a \$250,000 proposal for a jointly-funded technology development office serving both the medical and non-medical sides of the University as well as the Children's National Research Center. Budget constraints in the Medical Center postponed the plan but the commitment to implementing it remains strong.

The non-medical side of the University would have two commitments associated with the development of such an office: (1) to contribute \$50,000 or more yearly to fund an appropriate share of the staff and basic operating budget of the technology development office, and (2) to provide a revolving (R) fund that can be used to subsidize evaluations of discoveries, patenting costs, and expenses associated with the commercialization of selected intellectual properties. If efforts to elicit disclosures of discoveries are successful, both types of funding would need to increase over time.

Certain inventions would still be sent to Research Corporation Technologies (RCT) or the British Technologies Group (BTG), private companies that evaluate the commercial potential of university research products and pursue commercialization of the most promising.

**Cost** – Technology development office support costs would be \$50,000 in the first year, \$60,000 in the second, and \$70,000 in the third. The revolving account for technology transfer expenses would be seeded with \$40,000 in each of three years, for a total of \$120,000. This fund would be supplemented by discretionary funds from the Office of Research and Graduate Studies (or the Associate Vice President for Health Research and Technology Transfer on the medical side of the University). The technology transfer fund would be used, in carefully selected cases, to support the contracting of patent lawyers and other legal and scientific consultants, to pay patent fees, and to support as appropriate faculty efforts to negotiate with companies interested in forming partnerships with the University to develop and market research products.

GW's Patent Policy calls for the return of income beyond expenses derived from viable commercial products to the inventor and his/her department and school, with 20% going to the Office of Research and Graduate Studies. Such income would be returned to the revolving technology transfer account and used to expand GW's technology transfer capabilities.

**Benefit** – This initiative, even with low funding, has the potential to encourage faculty to recognize commercial implications of their work; to contribute to the successful commercialization of faculty discoveries; and to help faculty obtain support from corporate sponsors for product testing and development.

## Year 2 – 2002-2003

### **Priority 1: Increase Tuition Awards Linked to Sponsored Research**

**Objective** – Faculty are encouraged to request tuition support from funding agencies whenever possible. However, funding agencies often are willing to grant graduate student stipend and/or salary support only if the University waives or contributes the associated tuition as cost-sharing. Such support from the funding agency is strictly for educational purposes and enhancement of a particular scholarly activity. Through such stipends and salary, GW is able to attract first-rate graduate students who otherwise would not come here, train them, and advance its research mission.

Ideally, because of their central importance to the research enterprise, such awards would be given whenever requested on all new research awards at the discretion of the Associate Vice President for Research and Graduate Studies. For some years, GW had only six such tuition awards per year of 18 hours each to dispense. This was partially remedied last year when an additional \$52,628 was added to create a total pool of \$122,671, enough to cover about 169 credit hours at \$725.50 per credit hour, or about 9 full-time study awards. This increase was made possible by an increase in projected graduate student revenue, and hence the graduate student support budget, in 1999-2000.

The fund needs to increase because GW should be in a position to provide tuition support not only when grants and contracts fund graduate student stipends but also when they fund the employment of graduate students as Research Assistants and Associates. Some types of sponsored project—most notably, training grants—lend themselves to giving students stipends but others do not. Stipends are gifts. When students have assigned responsibilities to do specific work on a sponsored project, they cannot appropriately be paid stipends according to federal regulations. From the point of view of both research and education, it does not matter much whether a student is on a stipend or salary: He or she is receiving critical research training and experience, while at the same time advancing faculty research.

The employee benefit due regular research staff at GW funds up to half of a half-time Research Assistant's tuition, but RAs cannot easily pay even half of their tuition on the typical RA salary. Moreover, the fact that GTA positions come with full tuition awards and RA positions do not makes RA positions less attractive as a graduate student recruitment tool. Both research and graduate education goals would be served well if the tuition-matching fund could be used more often to cover the other half of a Research Assistant's tuition expenses or at least a portion of them. As a result, the tuition-matching fund needs to grow. Moreover, it must grow without reducing the graduate support funds available to the schools.

Initially, we propose that tuition matching be extended to create six additional awards of 18 hours each in FY-02 and six additional awards of 18 hours each in each subsequent year.

**Cost** – The cost to GW is the forgone tuition. For FY-02, it is requested that 108 additional tuition hours be made available. Assuming a 3% increase in the current tuition rate of \$725.50 per credit hour, the total cost would be  $108 \times \$747.27 = \$80,705$ , to be added to the current allocation in FY02, another **\$83,126** to be added in FY03, and **\$85,620** to be added in FY04. Added to the current allocation of \$122,671, these increments would make the total allocation for FY04 \$372,122.

**Benefit** – Increasing tuition matching associated with grants and contracts is a high priority of representatives of the research community. Funding graduate students through externally funded research is the optimal way to advance faculty research and recruit and train new researchers at the same time. Faculty cannot carry out their research without graduate student involvement, and students cannot learn doctoral-level research skills without research experience. By bringing grants that fund graduate students to GW, faculty can build a critical mass of individuals working toward a common research aim and achieve research excellence. This investment is likely to lead to more research grants and contracts.

## **Priority 2: Encourage Interdisciplinary Collaborations**

**Objective** – Researchers at GW, like researchers elsewhere, encounter incentive structures that do not encourage and sometimes even punish interdisciplinary and particularly interschool collaboration. Tenure and promotion may require remaining visible and active within one's department rather than outside it; incentive systems and methods of crediting faculty with publications sometimes favor principal investigators, not co-investigators. University policies and procedures sometimes make collaboration outside the department more cumbersome than collaboration within it, and different requirements and rules in different graduate programs sometimes make it difficult for students to work at the boundaries between disciplines and schools.

The Office of Research and Graduate Studies and the Office of Research Services currently make available the services of the Information Specialist, and of other staff from the Associate Vice President down, to assist with the logistics of interdisciplinary proposal-development projects and sometimes invest in the development of major research proposals. In addition, the Dilthey program, run in conjunction with the UFF program, gives up to two internal research awards a year to support interdisciplinary research projects, and the Research Enhancement Fund to support centers and institutes explicitly favors interdisciplinary collaborations. However, additional inducements and supports, as well as efforts to remove barriers, are needed in order to encourage more interdisciplinary collaborations.

The first step, to be taken in 2001-2002, should be a thorough analysis of the problem and possible solutions to it by a task force constituted for that purpose. A source of funding to support new interdisciplinary collaborations will undoubtedly be

needed, and the best way to offer such support is on an ad hoc basis rather than through a yearly competition. To supplement current efforts, a revolving fund of \$70,000 per year is requested. We would then encourage proposals from colleagues who need to conduct pilot research preparatory to writing an interdisciplinary proposal, who need travel money to fund planning meetings with collaborators elsewhere, or who need a reduced teaching assignment or beyond-the-ordinary staff support in order to prepare a proposal for funding or carry on their collaboration. The fund could also support activities such as planning retreats and commissioned papers designed to encourage collaborative research and publication. Funds could be directed toward collaborations with high potential for distinction. The very existence of such funding would signal GW's interest in encouraging interdisciplinary work. This fund should supplement rather than replace current efforts to encourage interdisciplinary collaborations (for example, those that have resulted in the creation of the GW Institute of Public Policy). This initiative would be coupled with: (1) stepped-up efforts to publicize interdisciplinary collaborations that have worked, (2) efforts to make clear to all faculty that REIA awards can be split among collaborators as they choose, (3) intensified efforts by the Office of Research Services to make it easier to prepare and submit interdisciplinary proposals, (4) attempts to encourage schools and departments to eliminate unnecessary program requirements and flexibly accommodate students who have interdisciplinary interests, and (5) other steps as recommended by the special task force and the Advisory Council on Research.

**Cost** – \$70,000 per year.

**Benefit** – It has become clear that many important research questions cannot be adequately answered by any one discipline, that interdisciplinary teams must address them. While interdisciplinary collaborations cannot be forced, they can be made more attractive and feasible. This initiative, even if begun on a low budget until its value is demonstrated, could do much to increase faculty motivation to take on the ardors of interdisciplinary collaboration. Both research and education would benefit to the extent that more GW faculty seek funding for interdisciplinary projects and create new knowledge and new educational programs at the frontiers between disciplines.

### **Priority 3: Expand Opportunities for Released Time for Research**

**Objective** – The effective teaching load at GW has been declining in recent years, to the point that it averages just over four courses per year. However, the course load is higher in some departments than in others, and faculty indicate that a 3-3 load or even a 3-2 load does not leave sufficient time for a vigorous research effort. Moreover, in a 1991 survey at GW, two-thirds of teaching-load reductions were not in support of research or, if they were, represented buy-outs of teaching responsibility by faculty with grants (May 1991 “Faculty Senate Research Committee Report” - p. 5).

Research-active faculty sometimes need course release time in order to write proposals, undertake major research efforts, and disseminate their findings. Where possible, faculty should be encouraged to write some of their time into their grants and

contracts in order to provide the funding for course release. Under current GW policy, a one-course buy-out requires that the award pay one sixth of the faculty member's academic year salary. However, GW is still competing with universities where teaching loads are generally lower than GW's so that faculty have sufficient time for scholarly activities. Furthermore, many funding agencies normally do not provide any portion of academic-year salaries. The initiative outlined here has two goals: (1) To encourage deans and department chairs to clarify workload expectations and decision rules and to differentiate workloads on the basis of the teaching, research, and service capabilities and commitments of individual faculty members, and (2) To provide reliable funding for the Released Time for Research program, which provides on a competitive basis a course release for the purpose of writing a proposal for external funding.

Differentiated Workloads. As GW seeks to increase its standing as a research university, it is important that deans and department chairs, if they do not already do so, recognize that different faculty members can best serve the University in different ways. It is common at GW for faculty to be given released time when they take on major administrative duties. While data are lacking (despite Faculty Senate Committee on Research efforts to collect it), our impression is that differentiation of workloads based on research activity and productivity is less common overall and is done inconsistently across the University. The Council of Deans should be charged with developing an explicit policy regarding differentiated workloads, one that allows for different faculty members to teach different numbers of courses depending on their other activities and one that recognizes meritorious performance regardless of the specific balance of teaching, research, and service characterizing the individual's workload. A University-wide policy could provide a framework for the development of school and departmental policies appropriate to the teaching needs, service commitments, and forms of scholarship in particular fields. The ultimate result should be a more equitable system for assigning responsibilities, one that recognizes that faculty with major research commitments and a record of productive scholarship need time in which to carry out their scholarly activities. Finally, the relationship between teaching load and scholarly productivity should be evaluated on an ongoing basis.

Released Time for Research Program. In an effort to encourage the granting of released time for grant or contract proposal development, the Associate Vice President for Research and Graduate Studies, acting on recommendations from the Faculty Senate Committee on Research and the Advisory Council on Research, implemented a program in 1998 called Released Time for Research. Faculty planning to write proposals for external funding compete within their schools for a one-course release, with the understanding that they must submit a proposal for external funding within a year of the semester in which they take the course release. The Office of Research and Graduate Studies contributes \$2,000 toward the cost of a replacement instructor and the school covers the remainder. Three rounds of released time awards have now been made (some were split between faculty): 16 in 1998-1999, 19 in 1999-2000 due to deans' funding of additional awards, and 13 in 2000-2001.

The NIH grant awarded to Maria Cecilia Zea and her colleagues in 1999, originally worth a total of \$1.8 million over four years, was the first tangible evidence that

the Released Time program was accomplishing what it was intended to accomplish and made clear that the small investment required would be paid back many times over. The results of a formal evaluation of the outcomes of the first two years of the program indicate that 14 of the 31 Released Time awards in 1998-1999 and 1999-2000 resulted in sponsored project awards totaling \$6,819,941 over their years of funding. Recipients reported that the course release made a real difference in their ability to prepare a solid proposal. This program has been supported through discretionary funds, is very popular, and deserves a designated budget of its own.

**Cost** – The cost of implementing a differential workload policy across the University is unclear at this point. To the extent that reduced teaching loads for research-active faculty are accompanied by increased teaching loads for faculty who have in effect had a reduced load but have not been research active, and to the extent that increased time for research allows more productive researchers to buy out of teaching with grant funds, this initiative need not be very costly at all. To the extent that it involves decreasing average teaching loads university-wide, it will be costly.

The cost of giving a researcher a course reduction in the Released Time for Research Program is the cost of hiring a part-time instructor to cover a course. Because it is essential that this program not compromise the quality of instruction, it should remain small, competitive, and aimed at faculty who truly need a course release in order to complete a proposal-writing effort, particularly junior faculty whose prospects for tenure may depend on their obtaining external support. Accordingly, \$30,000 per year, enough to provide the central share of 15 awards, is requested. Awards would be allocated as follows based on approximate numbers of research-active faculty: 6 to CSAS, 3 to SEAS, 2 to SBPM, 2 to GSEHD, and 2 to ESIA.

**Benefit** – The return to GW when the course release serves its purpose is quite direct: A sponsored research project that contributes to GW's goal of increasing sponsored research and results in a higher level of scholarly productivity by the faculty member given release time, which in turn contributes to higher-quality graduate programs and more classroom teaching informed by research.

#### **Priority 4: Create a Faculty Startup Cost-Sharing Fund**

**Objective** – In recruiting top faculty, it is often crucial to be able to offer adequate startup funds for scholarly activities. For faculty in the humanities, this may involve a top-of-the-line PC and the ability to order additional books for the library, whereas in the natural sciences it typically involves funds to establish and equip a laboratory. The provision of startup funds is common practice at research universities. Currently, the schools carry the burden of responsibility for start-up funding but must rely on sometimes-unreliable R-fund resources to provide start-up packages. There have been several occasions in recent years in which they have not had funds sufficient to make a competitive offer and have lost candidates as a result. The University needs a reliable mechanism for supplementing what schools can offer in key recruitments in areas of selective excellence. In addition, since it is critical for junior faculty to attend and

present scholarly papers at conferences, it is also recommended that newly appointed assistant professors be eligible for double the travel funds awarded to regular faculty for a period of three years and receive at least one summer of funding that will permit them to conduct their research rather than teach.

Any new faculty recruited will now be provided with a modern PC and appropriate peripheral equipment under the Faculty Computer Initiative. In some fields, however, a workstation that may cost \$10K to \$20K is needed. It is not unusual for a new science professor to require \$300,000 or more to set up a laboratory, with the understanding that this would result in outside funding within a three- or four-year period. Indeed, an Advisory Council member who reviewed Junior Scholar proposals for ORAU reports that startup packages in chemistry and other hard sciences are often in the \$200,000-\$500,000 range. In the humanities and social sciences, it is common for new faculty to need more modest startup funds that can be used for multiple purposes such as research assistance, travel, and software.

The aim of this priority is to create a pool of money in a revolving fund in the Office of Research and Graduate Studies that would be available each year to be allocated according to deans' requests and program priorities to supplement startup funds within the schools. The alternative would be to supplement school funds for startup packages through the VPAA's special initiatives fund. The mechanism is less important than the recognition that GW must offer larger startup packages than it traditionally has in order to compete for top faculty.

**Cost** – An initial fund of \$100K with growth of \$50K per year for four years would provide modest assistance to the schools. Unused funds could then be used to supplement funds for cost-sharing on faculty grants, as required for some grant proposals, channeled into other efforts to support junior faculty, or banked for future use.

**Benefit** – Faculty startup funds are an essential tool in attracting top researchers to GW. They convey the message that research is an important component of a faculty member's responsibility at GW, help new faculty become productive researchers rapidly, and pay off in subsequent research accomplishments and external funding.

## Year 3 – 2003-2004

### **Priority 1:** Enlarge the Research Enhancement Fund

**Objective** – The Research Enhancement Fund (REF) was intended to (1) fund well-established faculty collaborations that, with additional funding, can achieve true excellence and national and international recognition for GW, and (2) stimulate interdisciplinary collaborations across departments and schools, where such collaborations can lead to a new center or institute with the potential to attract significant funding to GW. REF funds are used primarily to provide ongoing infrastructural support

that is not easily funded by external funding sources (e.g., a lab technician, a visiting scholars program).

The original plan for this program was that the number of centers and institutes receiving enhancement funds would grow to 10 or more over a period of three years. The program began in FY 1991 with six centers receiving a total of \$300K. The funding has increased to \$311,569 for FY 2000-2001 because of salary increases built into the budget. The three-year REF awards made in 1999 for 1999-2002 provided nine centers and institutes with funding. The second objective of the REF program, stimulating the development of centers and institutes around promising interdisciplinary research teams, has been largely neglected because the majority of REF funds have gone to sustaining well-established centers. Although the Advisory Council on Research made a deliberate effort to channel part of the REF fund to up-and-coming research groups in 1999, the fund clearly must grow in size in order to provide established centers of excellence with the sustained infrastructural support they need unless and until they can reach a point of self-sufficiency and to grow new centers of excellence.

**Cost** – The plan would be to add \$75K per year for two years beginning with the three-year funding cycle that will begin in 2003, for a total cost of \$150K.

**Benefit** – By strengthening centers of excellence and nurturing the development of future centers of excellence, the University stands to increase its research visibility, support productive research collaborations in areas of high priority, and provide new opportunities for the education and employment of graduate students. These objectives cannot all be achieved without additional funding.

## **Priority 2. Support Dissertation Research with Small Grants**

**Objective** – This initiative, recommended in 1997 by the Faculty Senate Committee on Research, will establish a fund of \$50,000 per year to be used to provide modest funding to doctoral students who need it in order to conduct their dissertation research. One of the most important characteristics of a Research I university is the production of high-quality research by doctoral candidates, who then go on to become noted scholars who enhance their alma mater's reputation. Quality dissertation research requires support by the faculty and by the institution. The dissertation research conducted by most GW doctoral students is not funded by private organizations, sponsored research projects, or academic departments. Lack of funding for research costs such as travel, research supplies, and equipment constrains the research design and therefore the value of the resulting research, as well as the job prospects of the researcher. Doctoral students in American Studies and Public Administration recently won national dissertation awards. A dissertation fund would ensure more such high-quality works.

Currently, CSAS social science students can apply for dissertation research funding provided by a donor, but no other formal program to support doctoral research exists at GW. There would be a need to devise appropriate mechanisms within each school for making the availability of the funds known, awarding the money fairly, and

reporting each year the recipients, the amounts they obtained, and the nature of their expenditures. Efforts to steer students to external funding sources should be part of this initiative as well.

The distribution of the fund to the schools should be proportional to the number of doctoral students in each school. If \$50,000 were distributed with the expectation that schools will match the amounts provided with funds of their own, the approximate allocations would as follows based on doctoral enrollments: \$22,500 to CSAS, \$10,000 to SEAS, \$7,500 to GSEHD, \$7,500 to SBPM, and \$2,500 to SPHHS. Access to the fund in each school will be determined by procedures established by that school. The Associate Vice President for Research and Graduate Studies would oversee the program and evaluate its effectiveness in terms of student outcomes. Alternatively, schools that wish to invest in high-quality dissertation research could fund this initiative.

**Cost** – \$50,000 each year, to be split proportionately among the schools.

**Benefit** – This initiative will improve the quality of doctoral research, benefiting GW departments with graduate students by improving the research environment, helping to produce better trained, more marketable graduates, and enhancing GW's reputation as an institution that takes both research and graduate education seriously.

## INCREMENTAL COSTS OF THE PLAN

Table 1 summarizes the new costs each fiscal year implied by the FY2002 priorities stated in this plan. Amounts added to the budget in a particular year would be required in subsequent years as well. Full costs of the entire plan are not provided here as priorities are reviewed on a yearly basis and may change.

**Table 1. Incremental Costs Each Year of Implementing the FY2002 Top Priorities Over the Three-year Period**

| Priority                  | Base Funding     | FY2002           | FY2003           | FY2004           |
|---------------------------|------------------|------------------|------------------|------------------|
| REIA                      | \$655,000        | \$342,495        | \$119,699        | \$134,063        |
| Department infrastructure | \$0              | \$100,000        | \$20,000         | \$24,000         |
| Equipment cost sharing    | \$50,000         | \$50,000         | \$50,000         | \$50,000         |
| Summer assistantships     | \$0              | \$53,880         | \$24,140         | \$24,140         |
| UFF/Dilthey               | \$178,883        | \$60,000         | \$60,000         | \$0              |
| Technology Transfer       | \$0              | \$90,000         | \$50,000         | \$50,000         |
| <b>Totals</b>             | <b>\$883,883</b> | <b>\$671,685</b> | <b>\$323,839</b> | <b>\$282,203</b> |

## A LOOK BACKWARD

Although the Advisory Council on Research supports the preceding Strategic Plan, it also stepped back and took a broader and longer-term view of research at GW. The following quotation provides a starting point for this analysis:

The University has a long tradition of emphasizing teaching in place of research. In recent years greater emphasis has been given to research but this has not been uniform among all academic units. There is a need for University-wide research policies and goals. This will require that greater emphasis be given to research by the academic leadership and that this emphasis be reflected by change in the Faculty Code and other governance documents. The concept of research productive faculty must be more fully integrated into departmental priorities by giving greater importance to research in faculty recruiting, and in tenure, promotion, and salary decisions.

Most if not all departments are too small to excel in all research fields in their respective disciplines and hence academic evaluations and planning must be accomplished to identify those research fields with greatest strengths. In accordance with academic priorities based on relative strengths, it is essential to expand and modernize research facilities, acquire modern equipment, and increase the levels of graduate student support. These academic priorities must also be reflected in future resource allocations for the Libraries, Computer Center, and administrative support personnel.

A more appropriate balance must be achieved between teaching and research. The distribution of teaching assignments should permit the maximization of opportunities for research productive faculty to pursue their research efforts. This requires flexibility and discretion by chairmen and deans. The role and authority particularly of chairmen to exercise the discretion remains ambiguous and must be clarified. Also the qualifications for chairmen should reflect the need for their leadership in education and research.

The University must increase the level of funding to support faculty research. This should be accomplished by continuing to increase funding levels for the University Committee on Research and providing E&R funds to the schools and departments. An immediate and major need is to provide research support for junior faculty by providing summer support for the first two or three years of their appointments. Also junior faculty in the sciences and engineering must be provided with initial funds for the equipment necessary for their research.

In many disciplines sponsored research funds are required to provide the wherewithall to engage in significant research endeavors. Increased assistance is needed for faculty to obtain these funds and in administering Sponsored Funds. The administration and organization of sponsored research requires further study to increase the assistance provided to the faculty and this should be pursued as soon as possible. Related to sponsored funding there is an immediate need for the University to establish policies and procedures for research collaboration and partnership with the corporate sector.

Many current areas of research inquiry do not coincide with departmental and school boundaries. The University lacks appropriate mechanisms to permit sponsored and non-sponsored research among faculty from different academic units. In a selected manner this will require the formulation of research centers or institutes and greater opportunities for multi-disciplinary seminars, workshops, and colloquia (Executive Summary, Obstacles to Research, University Committee on Research, The George Washington University, May 1985).

## **A PERSPECTIVE ON THE PRESENT**

This Executive Summary, written almost exactly 16 years ago, provides an excellent yardstick against which to measure our progress as a research university. In some areas, substantial progress has been made, in others only incremental progress is evident, and in a few very important areas virtually no progress has occurred. Using the 1985 statement of the University Committee on Research as a guide, the following commentary is offered on our progress over the last decade and a half.

There is now a better balance between teaching and research, and there is a University-wide research goal: To become a “Research I” (or now, top-tier) research university. It has not been necessary to change the Faculty Code in order to achieve this progress. There is, where appropriate, an emphasis on research productivity in faculty recruiting and in tenure and promotion decisions. In most schools, chairs are clearly empowered, with the support of their deans, to make adjustments to teaching loads based on level of scholarly activity. Academic evaluation and planning are on going and contribute to the identification of the relative strengths of programs and those programs where scholarship development, rather than meeting the instructional requirements of undergraduates alone, will be supported. Resources for computing are generally available. These are areas of substantial progress.

Areas in which some, largely incremental, progress has occurred include the following: There has been some modernization of research facilities, acquisition of modern research instrumentation, and improvement of library resources. However, progress is very uneven across units. The University has developed procedures for establishing and reviewing the progress of centers and institutes that cross department and school boundaries. There are some, but not nearly enough, financial incentives for interdisciplinary work. There has been an effort to increase funding to support faculty research through the REIA awards, although most feel that this program is too small to have a major impact.

All of the above is the “good news.” Unfortunately, there is a considerable amount of “bad news:”

- The 1985 report called for the expansion of research facilities. While there have been some improvements in some of the social sciences and in the School of Engineering and Applied Science,

there has been little or no progress made in the expansion of space for research in the sciences, where the needs are critical.

- The report called for “increased levels of graduate student support.” While there have in most years been increases to cover increased tuition costs, there have been only modest increases in the schools’ graduate support allocations otherwise in the last few years. Generally, for example, the number of GTA packages available has not changed appreciably, and the sizes of these packages have not increased nearly enough to keep up with the offers of competitors or to cover the full cost of attending GW. Departments with doctoral programs regularly complain that they need more and larger GTA packages.
- Obstacles to Research called for summer support for junior faculty in their first 2-3 years and for “start-up” funds, especially for junior faculty in the sciences and engineering. Some support for both of these is provided by the deans from their Dean’s Funds or other sources. However, it is not possible for the necessary levels of support to be attained in this way. There should be University funding for both of these activities because they play a critical role in our ability to attract the best faculty candidates available on the market.
- The report called for an examination of what could be done in the “Sponsored Research Office” to support faculty seeking and administering sponsored research funding from the public and private sectors. The recent reorganization of sponsored research support services at GW had this as one of its goals. However, although new money was invested in FY2000-2001 in hiring more staff and better qualified staff in the Office of Research Services and other offices that support research and its business activities, a host of transitional problems centering around the Oracle Grants Management module and its implementation at GW and staff preparedness in the multiple offices that carry out the business of sponsored research have added to rather than relieved the administrative burdens of researchers, at least in the short term. Moreover, the unavailability in many departments of sufficient staff and resources to administer grant and contract funds is a problem that has yet to be addressed.

## A BOLD PLAN FOR THE FUTURE

In discussing the future of research at GW, members of both the Advisory Council on Research and the 1999-2000 University Roundtable concluded that, while GW is making significant progress through its incremental approach to change, achieving a major leap in external research funding and reputation requires a bolder approach. That is, if we are really serious about being a “Research I” type institution, we must, at least temporarily, abandon incrementalism, and make a “great leap forward.” A Board of Trustees initiative similar to the one responsible for the Millennium information technology plan would be needed. But, more than just dollars are required. Just as there had to be change in attitude among the faculty with respect to the proper balance of teaching and research (which was called for in the 1985 report and which has occurred), there must be a stronger commitment to the importance of the production of scholarship by those at the highest levels of the institution.

Demonstration of such commitment would be through the allocation of increased funds for tenure-track/tenured faculty lines, for space for research laboratories, for equipping and maintaining these laboratories at the cutting edge, and for increased funding of faculty support in such areas as start-up funding, summer support for junior faculty, scholarly travel, and assistance in the publishing of books (areas which are especially important for faculty in the humanities and social sciences). If we are to be a serious player in the world of research universities, there must be a commitment to graduate education that views the support of doctoral graduate students as a function of a great research university and does not index such support to graduate student tuition revenues. Using such a methodology to determine graduate student support suggests that the University does not value doctoral education for its own sake and is not fully committed to its mission of contributing to knowledge

A bold plan for moving GW forward as a research university would need to be spearheaded by the deans, involve development efforts, and result in the recruitment of renowned researchers into endowed or otherwise well-funded professorships, coupled with the provision of additional, more competitive, and multi-year doctoral student support and appropriate research infrastructure, in selected areas of excellence. In some cases, whole research teams would need to be recruited, with the idea that they would bring research funding with them, attract more once here, and mobilize the efforts of other members of the faculty in the areas of excellence selected for building. The preferred strategy might not be to recruit senior “superstars;” rather it might involve recruiting rising superstars who are at the Associate Professor level. This strategy requires a substantial investment – one that will be expected to pay off in a stronger institution and greater indirect cost recoveries, not next year but in future years. A concomitant result would be the enhanced renown of the University as a center for the production of important, new scholarship.

Other universities have been successful in taking such a major step toward increased research recognition, but they have enjoyed financial resources that may not be available to GW. Emory University has successfully pursued such a strategy, albeit with the help of large quantities of Coca Cola money. Similarly, Florida State University,

with the help of the royalties from a successful cancer-fighting drug, has been attracting “super-professors” with \$40,000 bonuses and attractive packages of salary and research support (Dean & Provost, November, 1999). Such an initiative would need to budget not only for professorships but also for the equipment, facilities, research assistants, and support staff that major scholarly enterprises require on an ongoing basis. Such an initiative could and should involve salary increases and additional research resources for prominent scholars already at GW, lest we risk losing them.

Although it might not reap results as quickly as a strategy of recruiting prominent researchers and research teams to GW, and although it will involve investing in some individuals who will fail to achieve prominence, another strategy, possibly complementary to the first, is a “grow your own” approach that involves investing more resources in the recruitment and support of outstanding junior professors. If junior faculty were brought to GW with more competitive salaries, handsome startup packages, and state-of-the-art research facilities, and if they routinely enjoyed low teaching loads, internal research funds, summer support, and departmental grants administration support during their careers, more of them would achieve prominence in their fields and the research enterprise would thrive. Both strategies should involve a team-building approach that puts scholars of different ranks but with similar interests together in productive collaborations and interactions.

A major research initiative of either sort would require careful identification through the strategic planning process of areas of selective research excellence in which further investment would be likely to have major impacts. It should not be financed by reducing resources presently in place to support the work of the larger community of research-active faculty. In particular, it should not detract from efforts to increase startup funds, summer support, and the like for junior faculty across the University. Otherwise their productivity, morale, and tenurability will suffer. Junior faculty would like to see many of the research supports and incentives currently offered on a competitive basis to a few become routine entitlements.

For the plan to be successful, there must be a broad consensus that selective investment in centers of excellence is the most feasible way to raise the quality and standing of GW as a whole and that those who are not the beneficiaries of the targeted investments will nonetheless benefit from the new opportunities and resources and the higher institutional ranking that selective investment will bring. The approach to selective excellence to be pursued by the Vice President for Academic Affairs starting in 2001-2002 represents an opportunity to do just this.

An initiative of this sort should also involve a focused development effort to create endowed research professorships and graduate student fellowships. Such an effort could even be incorporated into the current capital campaign if a consensus on priority areas were in place. Strategic hiring of leading scholars can be achieved on a limited scale even without endowment funds if departments and schools, in their strategic planning, make the hard choices that selective excellence implies and reallocate vacant positions to achieve strategic goals. However, new funds are needed to put in place the scholars, doctoral students, facilities, equipment, and support staff that first-rate centers of research excellence require.

GW can and will continue its substantial progress as a research institution if it vigorously pursues the plan outlined in this Strategic Plan. However, its aspirations as a research university currently exceed its commitment to investing in its research enterprise. A more major series of investments could significantly enhance faculty research achievements, the quality of graduate education, the educational experience of undergraduate students, and the quality and standing of GW as a whole.

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## **ADVISORY COUNCIL ON RESEARCH 2001-2001**

### **Chair**

Carol K. Sigelman, Professor of Psychology, Associate Vice President for Research and Graduate Studies

### **Columbian College of Arts and Sciences**

Edward A. Caress, Professor of Chemistry and Executive Associate Dean of CSAS  
John E. Kwoka, Professor of Economics

### **Elliott School of International Affairs**

Nicholas Vonortas, Associate Professor of Economics and International Affairs; Program Director CITPS

### **Law School**

James E. Starrs, Professor of Law and of Forensic Sciences

### **School of Business and Public Management**

Philip W. Wirtz, Professor of Management Science and Psychology

### **Graduate School of Education and Human Development**

Ralph O. Mueller, Professor of Educational Research

### **School of Engineering and Applied Sciences**

Shahram Sarkani, Professor of Engineering Management and Systems Engineering

### **School of Medicine and Health Sciences**

Linda L. Werling, Professor of Pharmacology

### **School of Public Health and Health Services**

Ayman El-Mohandes, Associate Professor of Prevention and Community Health, SPHHS;  
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Edward Della Torre, Professor of Engineering and Applied Science  
John Glascock, Oliver T. Carr, Jr., Professor of Finance  
Cynthia McClintock, Professor of Political Science and International Affairs  
Gail Paster, Professor of English  
Hal Wolman, Professor of Political Science and Public Administration

### **Representatives from the Faculty Senate Research Committee**

Carol Hoare, Professor of Human Development and Human Resource Development  
Jozef Przytycki, Professor of Mathematics

**Ex-Officio Members**

Astra Bain-Dowell, Assistant Vice President for Health Research, Compliance, and  
Technology Transfer, Medical Center

Stephan Ladisch, Director, GW Institute for Biomedical Sciences

Caroline Long, Assoc. University Librarian for Collection Services

Irwin Price, Executive Dean, VA Campus

Frederick Rickles, Associate Vice President for Health Research and Technology  
Transfer, Medical Center

Helen Spencer, Assistant Vice President for Research Services

**December 7<sup>th</sup>, 2006**  
**Mid-Year Report of the Faculty Senate Standing Committee on**  
**University And Urban Affairs (UAUA)**

**Acting Chair, Associate Professor Lisa Benton-Short**  
**([lbenton@gwu.edu](mailto:lbenton@gwu.edu)) 202-994-6188**

The Committee on University and Urban Affairs (UAUA) helps foster continued good citizenship between GWU and the greater Washington, DC metropolitan area. By affirmatively tracking GW's already allocated resources and initiatives, the UAUA "paints the big picture" of GW's community relationship and subsequently provides the University with a valuable source of advice on continuous improvement and possible future endeavors.

The UAUA Committee met three times during the Fall semester: September, October and November. This fall term the UAUA Committee focused our energy on four areas that we believe further community relations initiatives:

- 1) Continued to support the community building work of the office of Government, International and Corporate Affairs, particularly the FRIENDS initiative (now in its fourth year). UAUA members often attended monthly meetings and social events (such as the annual October Blockparty and the December holiday party).
- 2) Support of the GW Campus Plan: Members of the UAUA have attended numerous community workshops last spring and over the summer. Several UAUA members wrote letters of support to the D.C. Zoning Commission to be included in the record of the hearings. The UAUA Chair, Lisa Benton-Short, provided written and oral testimony in support of the GW Campus Plan before the D.C. Zoning Commission on September 25<sup>th</sup>, 2006.
- 3) We continue to organize our own UAUA initiative, a monthly Faculty Speaker's Series that takes place off campus, at St. Mary's Court, a senior residential complex. We have scheduled our speaker's series to take place at lunch; St. Mary's sponsors a subsidized lunch program that is available to all seniors living in Foggy Bottom/West End. This

fall, we lined up speakers for September, October, December and January and will actively work on completing the speakers schedule during spring term 2007. We were delighted to learn that the Speaker's Series is gaining publicity and interest among the Foggy Bottom community and we do our best to advertise these free talks in the GW Hatchet and on the Friends calendar.

- 4) An important interest of the UAUA is to develop and expand Service-Learning among faculty at GW. Several of the UAUA members, such as Honey Nashman (Sociology) and Stuart Umpleby (Management) have been pioneers in working with area non-profits in education, public health and environmental policy. Lisa Benton-Short (Geography) and Emily Morrison (ISCOPEs) currently serve on the Service Learning Task Force, which plans to issue a report on "Service-Learning at GW" in December, 2006 to be presented to both the out-going and incoming presidents. The UAUA Committee will review the report for possible endorsement and distribution to the Faculty Senate in the Spring 2007.

## **2006-2007 UAUA/St. Mary's Court Speaker Series**

### **SPRING**

January 11<sup>th</sup>. Dr. Judy Scott Feldman, Chair of the National Coalition to Save Our Mall will speak about challenges to the National Mall in D.C.

February 16<sup>th</sup>: Professor Leslie Jacobson, Chair Department of Theatre and Dance "Social Change Through Dance"

March 8<sup>th</sup>: Assistant Professor Kimberly D. Acquaviva, School of Medicine and Health Sciences, will speak about personal emergency preparedness.

April 27<sup>th</sup> Bernard Demcuzk, Assistant VP for District of Columbia Affairs will discuss "Black History in DC".

May 22<sup>nd</sup>: Professor William Becker "Intro to the World Economy."

June 2<sup>nd</sup>: Professor Lisa Delpi-Nerati, of Travel and Tourism, "Olympic Games and Tourism"

### **FALL**

September 27: Wesley Reisser, The State Department, "Human Rights in the Middle East"

October 26: Professor David Rain, Geography, "African slum cities."

December 5<sup>th</sup>: Kirsten Thomsen, School of Medicine and Health services will speak about her work in New Orleans in the aftermath of Hurricane Katrina.

## **2006-2007 Members of the UAUA**

### **FACULTY:**

Acting Chair: Lisa Benton-Short, Department of Geography

Dwight Cropp, Public Policy and Public Administration

John Dudte, Emergency Medicine

Susan LeLacheur, Health Care Sciences

Honey Nashman, Sociology

Gregory Squires, Sociology

Kathleen Steeves, Teacher Preparation and Special Education

Stuart Umpleby, Management Science

### **EX OFFICIO:**

Rob Cannady, Counselor, Multicultural Student Services

Greg Colati, Head, Special Collections, Gelman Library

Bernard Demczuk, Assistant VP for District of Columbia Affairs

Michael Akin, Director, District of Columbia and Foggy Bottom/West End Affairs

Louis Katz, Executive Vice President and Treasurer

Jane Lingo, Assistant Director, News & Public Affairs

Scott Mory, Executive Director of Alumni Programs

Scott Pagel, Law, Executive Committee Liaison

Ginger Smith, Associate Dean, College of Professional Studies

Emily Morrison, Director, ISCOPE Program School of Medicine and Health

Sciences

**The George Washington University  
Faculty Senate  
Special Committee on the Joint Administration/Faculty Task Force on 4\*4  
Curriculum Structure Report**

**Interim Report to the Faculty Senate**

**December 8, 2006**

1. **The Special committee has had three meetings as follows:  
October 30, November 6 and November 13.**
  
2. **The report from the Task Force was received and distributed on October 24, 2006 and the committee immediately met to determine its work concerning its charge and the report. Professor Lilien Robinson, Chair of the Executive Committee, attended the meeting by invitation.**
  
3. **The committee, at its second meeting, discussed a draft resolution and agreed on a final version to be presented to the Senate via the Senate Executive committee at its meeting on November 10, 2006. The resulting resolution (06/3) was adopted unanimously by the Faculty Senate. Professor Lilien Robinson, Chair of the Executive Committee, attended the meeting by invitation.**
  
4. **At this meeting a document regarding the establishment of the three sub-committees previously identified by Professor Cherian and circulated in advance of the meeting to the members was discussed. After some discussion, it was unanimously agreed to adopt the structure and content of the sub-committees. The committee then went on to agree on the composition of the subcommittees as follows:**

**Sub-committee I: Academic Motivation for Change to a 4\*4 Curriculum.**

**Convener: Professor Abravanel  
Members: Professors Gallo & Wade**

**Sub-committee II: Specific Issues Related to 4\*4 Implementation.**

**Convener: Professor West  
Members: Professors Biles & Ticktin**

**Sub-committee III: Financial Motivation for Change to a 4\*4 Curriculum.**

**Convener: Professor Cherian**  
**Member: Professor Yezer**

Each of the sub-committees would identify the items of primary importance to their charge and to provide a progress report to the Special Committee at its next meeting. It was also agreed that this did not necessarily imply significant investigation(s) due to the short time available. Most of the documentation required for the sub-committees could be found on the GW Web Site and in particular Professor Cherian would be a valuable resource owing to his membership of the Task Force.

5. At its third meeting the committee, two of the conveners of the various subcommittees discussed their work to date. It was clear that much more time would be required for the subcommittees to produce worthwhile conclusions from their discussions and its was agreed that the committee would meet again in January to have further discussion on the Joint Task Force report, at which time a resolution would be drafted for the Faculty Senate.

**Respectfully submitted, Robert J. Harrington**

**Members of the committee: Professors Abravanel, Biles, Cherian, Gallo, Kahn, Ticktin, West, Yezer & Harrington (Chair); Professor David Robinson, (by invitation)**

**Faculty Senate Special Committee  
on the  
Joint Administration/Faculty Task Force on 4x4 Curriculum Structure Report**

**Recommended Sub-Committee Reviews**

**Subcommittee I: Academic Motivation for Change to a 4x4 Curriculum**

- defining “student engagement” and “academic challenge”
- redefining GWU’s identity
- need to enhance intellectual experience for students
- need for entire curriculum revision to outcome-based assessments
- will faculty revise curriculum (across the board) without a mandate (like the 4x4), or incentives?
- review of General Curriculum Requirements
- incoming students come with increasingly higher levels of achievement; therefore a need to offer more, better education
- will four courses/semester actually provide students more time for the “temptation of the external environment”, i.e. outside work and social activities

**Subcommittee II: Specific Issues Related to 4x4 Implementation**

- accreditation impact
- transfer student credits
- double majors
- five-year undergraduate/graduate programs
- study-abroad courses
- international student need for 9 credits/semester
- impact on graduate courses
- “seat time” proposed not proportional to course credit hours

**Subcommittee III: Financial Motivation for Change to a 4x4 Curriculum**

- reduce instructional costs 20%
- offer 350 fewer course sections/semester
- faculty course loads and cost savings
- use of saved monies
- reduction in faculty: tenured (tenure-accruing), non-tenured, part-time
- class sizes
- classroom utilization

Joint Committee of Faculty and Students  
Interim Report  
December 8, 2006

The Joint Committee of Faculty and Students doubled its meeting schedule for the Fall of 2006 due to the number of potential issues to be addressed. Three subcommittees were formed to address specific issues. Following is the status of each subcommittee.

**Subcommittee on the Code of Student Conduct and Judicial Processes**

The subcommittee on the Code of Student Conduct and Judicial Processes is concerned with revisions to the documents collectively known as Student Rights and Responsibilities. Thus far they have reviewed a proposal from the Student's Association for revising the Code and will be referring to that document, among others, for guidance as they proceed. They intend to determine what, if any, changes might be beneficial, keeping in mind the need for consistency across the various sections of the Code. They will then investigate the various channels via which those changes might be made to determine the process and time frame for each proposed change. Finally, they will prepare a report, for consideration by the JCFS as a whole, which presents the proposed changes, along with the rationale for each change and proposed next steps.

**Subcommittee on the University Policy on Equal Opportunity**

The subcommittee on the University Policy on Equal Opportunity is looking at the plausibility of adding "gender identity and expression" to the university nondiscrimination policy. They have looked at the Committee's work from last year and are currently in contact with other universities that already have this language in their nondiscrimination policy, inquiring about the legal implications of adding this phrase to our policy.

**Subcommittee on the Code of Academic Integrity**

The subcommittee on the Code of Academic Integrity is charged with reviewing the code as is required every five years by the code itself. Preliminary review has already begun and the committee is currently discussing the appropriate scope of the review and the appropriate procedures for the review process.

If you have any questions or comments on any of these issues, please contact John M. Artz (Faculty Co-Chair) at [jartz@gwu.edu](mailto:jartz@gwu.edu) or Charlie Leizear (Student Co-Chair) at [charliel@gwu.edu](mailto:charliel@gwu.edu).

## **REPORT OF THE EXECUTIVE COMMITTEE**

**Lilien F. Robinson, Chair**  
**December 8, 2006**

### **PRESIDENTIAL SEARCH**

On behalf of the Executive Committee I would like to extend sincere thanks to the faculty who served on the Presidential Search Committee and the Consultative Committee. Our Senate colleagues Gary Simon, Art Wilmarth, and Phil Wirtz represented the faculty superbly on the Search Committee. Two other Senate representatives, Charles Garris and Sylvia Marotta were members of the Consultative Committee. As Chair, Professor Marotta guided the entire Committee with enormous skill and diplomacy.

To complete the process so efficiently and with such a level of collegial involvement and unanimity of agreement of faculty, students, alumni, and Board members is surely a laudable achievement in its own right. Most importantly, it sets the stage for the attainment of the goals all of us share.

### **UPCOMING MATTERS**

#### *On line Syllabi File*

As you may know, the Student Association has indicated its support for an on-line syllabi file that is in place at other universities. My understanding is that the matter is being transmitted to the Joint Committee of Faculty and Students. I anticipate that we will be receiving recommendations on this matter from the Committee.

#### *School Reports*

The updates that the Senate has been receiving from the Deans, such as the one presented today, have been of considerable value. We will be continuing these in 2007 with a report on the Elliott School in February.

### **PERSONNEL MATTERS**

#### *Grievances*

The two grievances, one in Columbian College and the other in the School of Business continue in process. The appeal has been heard in the first and the decision is pending. In the School of Business the case is still in hearing.

### ***Tenure Revocation***

In the Engineering School tenure revocation case, as required under the Faculty Code, the appeal was heard by the Dispute Resolution Committee. The latter has upheld the decision of the Hearing Committee which supported the revocation of tenure.

### **NEXT MEETING OF THE EXECUTIVE COMMITTEE**

The next meeting of the Executive Committee is scheduled for December 15. Resolutions, reports, and any other matters should be submitted in advance of that meeting.

***I would like to extend best wishes for the holidays and for a healthy and productive new year!***