

**GEORGE MASON UNIVERSITY  
BOARD OF VISITORS**

**BOARD OF VISITORS MEETING  
February 27, 2019  
Merten Hall, Fairfax Campus**

**AGENDA**

<b>8:00 a.m. – 8:30 a.m.</b> <i>(Room 1205)</i>	<i>Continental Breakfast</i>
<b>8:30 a.m. – 8:55 a.m.</b> <i>(Room 1201)</i>	<b>Executive Committee</b>
<b>9:00 a.m. – 9:55 a.m.</b> <i>(Room 1203)</i>	<b>Audit Committee</b>
<b>10:00 a.m. – 10:55 a.m.</b> <i>(Room 1201)</i>	<b>Academic Programs, Diversity and University Community Committee</b>
<b>11:00 a.m. – 11:50 a.m.</b> <i>(Room 1203)</i>	<b>Development Committee</b>
<b>11:00 a.m. – 11:50 a.m.</b> <i>(Room 1204)</i>	<b>Research Committee</b>
<b>11:55 a.m. – 12:50 p.m.</b> <i>(Room 1201)</i>	<b>Finance and Land Use Committee</b>
<b>12:50 p.m. – 1:30 p.m.</b> <i>(Room 1202)</i>	<i>Lunch</i>

**BOARD OF VISITORS MEETING AGENDA**

**Merten Hall, Room 1201**

<b>1:35 p.m.</b>	<b>I. Call to Order</b>
<b>1:35 p.m.</b>	<b>II. Approval of the Minutes (ACTION ITEMS)</b> A. Executive Committee Meeting Minutes for December 12, 2018 B. Meeting Minutes for December 12, 2018
<b>1:35 p.m. – 1:45 p.m.</b>	<b>III. Rector’s Report</b>
<b>1:45 p.m. – 2:05 p.m.</b>	<b>IV. President’s Report</b>
<b>2:05 p.m. – 2:20 p.m.</b>	<b>V. Provost’s Report</b>

**VI. Committee Reports**

2:20 p.m. – 2:25 p.m.

**A. Audit Committee**

2:25 p.m. – 2:30 p.m.

**B. Academic Programs, Diversity and University Community Committee**

1. Program Action Items (ACTION ITEMS)
  - a. New Program Approval
    - i. MS, Cyber Security Engineering
2. Faculty Actions (ACTION ITEMS)
  - a. Conferral of Emeritus/Emerita Status
  - b. Election of New Tenure Hire

2:30 p.m. – 2:35 p.m.

**C. Development Committee**

2:35 p.m. – 2:40 p.m.

**D. Research Committee**

2:40 p.m. – 2:45 p.m.

**E. Finance and Land Use Committee**

1. Strategic Matters (ACTION ITEMS)
  - a. FY 2020 Room and Board Rates
  - b. Debt Policy Compliance
  - c. Online Graduate Program Tuition Proposal
2. Capital Budget Matters (ACTION ITEM)
  - a. Capital Project Authorization – Arlington Original Building

2:45 p.m. – 3:15 p.m.

**VII. Closed Session**

- A.** Public Contract (Code of VA: §2.2-3711.A.29)
- B.** Gifts, Bequests, and Fundraising Activities (Code of VA: §2.2-3711.A.9)
- C.** Consultation with Legal Counsel pertaining to actual or probable litigation (Code of VA: §2.2-3711.A.7)
- D.** Consultation with Legal Counsel regarding specific legal matters requiring the provision of legal advice (Code of VA: §2.2-3711.A.8)
- E.** Personnel Matter (Code of VA: §2.2-3711.A.1)
- F.** Honorary Degrees and Special Awards (Code of VA: §2.2-3711.A.10)

3:15 p.m.

**VIII. Adjournment**

**No public comment will be taken at this meeting.**

**GEORGE MASON UNIVERSITY  
BOARD OF VISITORS**

**Meeting of the  
Executive Committee  
February 27, 2019  
8:30 – 8:55 a.m.**

**Merten Hall, Fairfax Campus  
Room 1201**

**AGENDA**

**I. Call to Order**

**II. President's Comments**

**III. Closed Session**

- A.** Public Contract (Code of VA: §2.2-3711.A.29)
- B.** Gifts, Bequests, and Fundraising Activities (Code of VA: §2.2-3711.A.9)
- C.** Consultation with Legal Counsel pertaining to actual or probable litigation (Code of VA: §2.2-3711.A.7)
- D.** Consultation with Legal Counsel regarding specific legal matters requiring the provision of legal advice (Code of VA: §2.2-3711.A.8)
- E.** Personnel Matter (Code of VA: §2.2-3711.A.1)

**IV. Adjournment**

**No public comment will be taken at this meeting.**

**GEORGE MASON UNIVERSITY  
BOARD OF VISITORS**

**Audit Committee  
February 27, 2019  
Merten Hall, Fairfax Campus**

**A G E N D A**

- I. Call to Order**
- II. Approval of Audit Committee Minutes**
  - A. Approval of Committee Minutes for December 12, 2018 Meeting  
**(ACTION)**
- III. New Business**
  - A. Auditor of Public Accounts Examination Update
  - B. Compliance Update
- IV. Reports**
  - A. Office of University Audit Summary Report
- V. Adjournment**

**AUDIT COMMITTEE  
OF THE BOARD OF VISITORS**

**December 12, 2018  
Merten Hall**

**MINUTES**

**PRESENT:** Chair Rice; Vice Chair Moreno; Visitors Blackman, Hazel and Purvis.

Rector Davis; Vice President for Enrollment Management Burge; Interim Senior Vice President Calhoun; Associate University Counsel Drummey; Interim Controller and Associate Controller McGinnis; Student Fiscal Services Director Quinn; Vice President and Chief Information Officer Smith; Chief Ethics Officer Woodley; Financial Reporting Director Wurmfeld; Student Representative Keatinge; Auditor of Public Accounts Representative Helderman; University Auditor Dittmeier; and Associate University Auditor Watkins.

**ABSENT:** Visitor Petersen.

**I.** Chair Rice called the meeting to order at 9:09 a.m.

**II. Approval of Minutes**

Chair Rice called for a motion to approve the minutes of the October 10, 2018 Audit Committee meeting. The motion was **MOVED** by Visitor Hazel and **SECONDED** by Visitor Moreno.

**MOTION CARRIED UNANIMOUSLY BY VOICE VOTE.**

**III. New Business**

**A. Auditor of Public Accounts Discussion**

Ms. Helderman from the Auditor of Public Accounts provided an overview of their planned FY18 audit. The audit is designed to provide an opinion that the university's financial statements are fairly presented in all material respects. A report on the university's internal control and compliance as it relates to financial reporting will also be provided. This report will also include results from the Auditor's testing of student financial aid procedures performed as part of the Commonwealth's single audit. Ms. Helderman confirmed that results would be reported at the Committee's April 2019 meeting.

Ms. Helderman stated that she would initiate a conversation with Chair Rice to solicit any areas of Committee interest and Chair Rice invited Ms. Helderman to discuss any issues surfaced during the audit.

## **AUDIT COMMITTEE**

December 12, 2018

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### **B. Enrollment Update**

Mr. Burge reviewed with the Committee the university's approach to managing levels of student enrollment.

Mr. Burge described the three essential elements of strategic enrollment planning: the programs and services offered ("what we offer"); branding, marketing, and communications ("tell the market"); and service delivery ("deliver on promises") and various Mason initiatives related to each element. In this discussion, he described the implications of enrollment levels on several university areas, including level of faculty and staff, classrooms and labs, housing and dining, transportation and parking, among others. The Committee discussed the current and planned mix of in-state and out-of-state students and the university's planning for delivering services to higher levels of enrollment, including space and scheduling, and levels of faculty recruitment.

He then provided an overview of Mason's competitive market, including the changing number and distribution of high school graduates, the growing demand for STEM programs, volatility in international markets, and increases in online learning. The Committee discussed Mason's competitors for freshman enrollments and changes in competitors over time.

Mr. Burge then briefed the Committee on management's processes for achieving visibility to future enrollment levels, and monitoring and limiting any potential impacts. He discussed the role of real-time admissions funnel data in achieving visibility and predicting future behaviors. He then reviewed management's approaches to addressing unexpected deviations from predicted behaviors and enrollment levels.

## **IV. Reports**

### **A. Report of Approved Waivers of Contractual Conflicts of Interest**

Ms. Woodley reviewed with the Committee the Report of Approved Waivers of Contractual Conflicts of Interest for the year ending December 1, 2018. The report shows (i) waivers related to dual employment of immediate family members and (ii) waivers related to employees with a personal interest in a contract for research and development or commercialization of intellectual property and a business in which the employee has a personal interest, and (iii) university payments made to Dr. Elizabeth Cabrera. The Committee discussed the report with Ms. Woodley, including the criteria for evaluating requests for waivers related to dual employment of immediate family members.

### **B. Office of University Audit Summary Report**

Mr. Dittmeier reviewed with the Committee the Office of University Audit Summary Report. He described the two audit reports issued since the last

**AUDIT COMMITTEE**

December 12, 2018

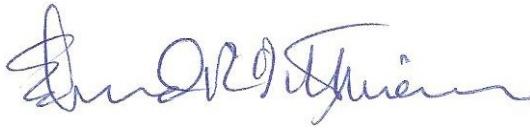
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meeting and reviewed the status of in-progress and planned audit and investigative projects.

**V. Adjournment**

Chair Rice declared the meeting adjourned at 10:02 a.m.

Respectfully submitted,

A handwritten signature in blue ink, appearing to read "Edward R. Dittmeier". The signature is fluid and cursive, with a large initial "E" and "R".

Edward R. Dittmeier  
Secretary pro tem

**ITEM NUMBER: III.A.**

Audit of Public Accounts Examination Update

**PURPOSE OF ITEM:**

Brief the Audit Committee regarding the status of the Auditor of Public Accounts' examination of Mason's financial statements for the year ended June 30, 2018.

**NARRATIVE:**

Carol McGinnis, Interim Controller and Associate Controller, will review with the Committee the status of the Auditor of Public Accounts' examination of Mason's financial statements. Among other things, the examination is on track for an exit discussion at the Committee's joint meeting with the Finance and Land Use Committee on April 3, 2019.

**ACTION:**

Receive briefing and discuss.



**ITEM NUMBER: III.B.**

Compliance Update

**PURPOSE OF ITEM:**

Brief the Audit Committee regarding the university's process for monitoring compliance with laws and regulations, including the university's programs related to ethics and conflicts of interest.

**NARRATIVE:**

Julian Williams, Vice President, Compliance, Diversity, and Ethics, will review with the Committee the university's process for monitoring compliance with laws and regulations, including the university's programs related to ethics and conflicts of interest. Among other things, he will describe Mason's approach to compliance in the context of the elements of an effective compliance program described by the US Federal Sentencing Guidelines. He will also describe upcoming compliance-related initiatives.

**ACTION:**

Receive briefing and discuss.

# Compliance & Ethics Program Update

Julian R. Williams, Vice President  
Compliance, Diversity and Ethics

[jwilli89@gmu.edu](mailto:jwilli89@gmu.edu)

## WHAT IS COMPLIANCE?

A Compliance Program is a comprehensive program that helps institutions and their employees:

- conduct operations and activities ethically;
- with the highest level of integrity, and
- in compliance with legal and regulatory requirements.

# MASON COMPLIANCE PHILOSOPHY

## Compliance needs to be everyone's responsibility

### Proactive vs. Reactive approach

#### Challenges

- Diffuse and decentralized organizational structure
- Complex and ever growing set of legal and regulatory compliance responsibilities
- Technology is generally inflexible and siloed; system-based monitoring of most areas is generally weak
- Resource stretched—both financially and in terms of human capital

#### Advantages

- Cooperative and innovative spirit exists institutionally
- Senior leadership and Board conceptually supports a strong compliance environment

# ELEMENTS OF AN EFFECTIVE COMPLIANCE PROGRAM

## Elements of an Effective Compliance Program:

1. **Standards and Procedures:** standards, procedures, and controls to prevent and detect unethical conduct
2. **Organizational Leadership and Culture:** multiple levels of oversight by accountable and knowledgeable governing bodies and specific individuals to ensure standards and procedures are implemented effectively
3. **Training and Communication:** practical and effective compliance and ethics communication and training to individuals appropriate to their roles and responsibilities
4. **Monitoring, Auditing, Evaluation of Program Effectiveness, and Risk Assessment:** reasonable and effective steps to ensure standards and procedures are followed, unethical conduct is detected, and the overall compliance and ethics program is effective. Includes mechanisms for whistleblowers
5. **Performance Incentives and Disciplinary Measures:** compliance and ethics standards are enforced through appropriate incentives and disciplinary measures
6. **Appropriate Remedial Measures:** prompt response to detected misconduct and implementation of preventive measures
7. **Reasonable Efforts to Exclude Bad Actors from Managerial Ranks or Positions of Trust:** due diligence to prevent bad actors from positions of substantial authority or trust

# Compliance Maturity Model

- Tool developed by Compliance, Diversity, and Ethics and University Audit to indicate overall maturity and robustness.
- Assesses components supporting each element of an effective compliance program.
- Ranks components:
  - 1-Ad Hoc
  - 2-Fragmented
  - 3-Defined
  - 4-Mature
  - 5-Optimized
- Describes 'status quo' impression of overall program.

# CURRENT ACTIVITIES AND NEXT STEPS

## Current Improvement Activities:

- Compliance inventory matrix research and development underway since early 2018.
- Consultant completed assessment related to HIPPA compliance requirements.
- Consultant engaged to assess requirements to address EU GDPR obligations.
- External review of Title IX investigations process being planned.

## Potential Near-Term Next Steps:

- Debate and decide accountability structure for overall compliance program effectiveness.
- Complete compliance inventory (matrix).
- Assign overall and topic area accountabilities.
- Evaluate adequacy of policies.
- Develop and implement compliance program risk assessment process to establish future plans and funding needs.
- Establish requirements and due diligence process re recruiting and promoting for positions of substantial authority / trust.
- Plan for further progress.



Questions/Discussion?





**Office of University Audit**

**Report to the Audit Committee of the Board of Visitors**

**February 27, 2019**

## EXECUTIVE SUMMARY

- One audit report was issued since the last meeting.
  - Five additional memos addressed certain ticket sale procedures; employee card security procedures; certain IT security controls performed by two academic units; and verified the effectiveness of VSE processes for managing adherence to faculty workload policies; budget planning and management; and oversight of academic programs and specialized accreditations.
- Remediation of 22 audit issues is in progress as of February 2019:
  - All of these issues have current target remediation dates in the next five months (through July 2019).
- Audit Plan status:
  - Substantially on track with 3+6 Audit Plan reviewed at the prior meeting.
- Status of fraud, waste, and abuse investigations:
  - Three completed since the prior meeting; there is one investigation in progress.
  - The completed investigations were isolated in nature.
- Audit staffing:
  - The audit team remains stable with no changes since the prior Committee meeting. Co-sourced resources are being used to provide supplemental skilled expertise when needed.

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## Topic

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  - Information Technology Vulnerability and Patch Management
- 2 SUMMARY STATUS OF AUDIT ISSUES
- 3 STATUS OF AUDIT PLAN
- 4 STATUS OF INVESTIGATIONS
- 5 STAFFING
- 6 APPENDIX:
  - Audit Issue Details

## SUMMARY OF AUDIT REPORTS

- Information Technology Vulnerability and Patch Management
- Audit Memos:
  - Hylton Performing Arts Center Ticketing
  - Monitor Employee Card Access Security
  - Validation of Certain IT Security Self-Assessment Results: Volgenau School of Engineering
  - Volgenau School of Engineering: Selected Processes
  - Validation of Certain IT Security Self-Assessment Results: College of Education and Human Development



# INTERNAL AUDIT REPORT

<b>Report Title:</b>	Information Technology Vulnerability and Patch Management	<b>Report Date:</b>	December 18, 2018
<b>Responsible Manager:</b>	Marilyn Smith Vice President and Chief Information Officer		

## EXECUTIVE SUMMARY:

### Background:

Confidential – Restricted Data: Critical Infrastructure Vulnerability Assessment Information  
(Code of VA: 2.2-3705.2.4).

### Audit Conclusion:

Confidential – Restricted Data: Critical Infrastructure Vulnerability Assessment Information  
(Code of VA: 2.2-3705.2.4).

## **SUMMARY OF AUDIT MEMOS:**

Audit Memos are communications which provide assurance related to a narrow, targeted topic or provide interim updates on longer-term assurance activities.

### Hylton Performing Arts Center Ticketing dated December 10, 2018

- Recommended strengthening certain ticket sales procedures to ensure adherence to ticketing and rental contract requirements.

### Monitor Employee Card Access Security dated December 13, 2018

- Recommended Card Access Security and Operations work with Information Technology Services and Human Resources to implement a process to monitor or reconcile employee terminations or transfers to ensure employee card access is promptly deactivated.

### Validation of Certain IT Security Self-Assessment Results: Volgenau School of Engineering dated January 23, 2019

- Confidential – Restricted Data: Critical Infrastructure Vulnerability Assessment Information (Code of VA: 2.2-3705.2.4).

### Volgenau School of Engineering: Selected Processes dated February 11, 2019

- Targeted assessment of adherence to faculty workload policies; budget planning and management processes; oversight of academic programs and specialized accreditations; and certain other processes. Verified processes were generally effective; school-level oversight of certain processes should be strengthened.

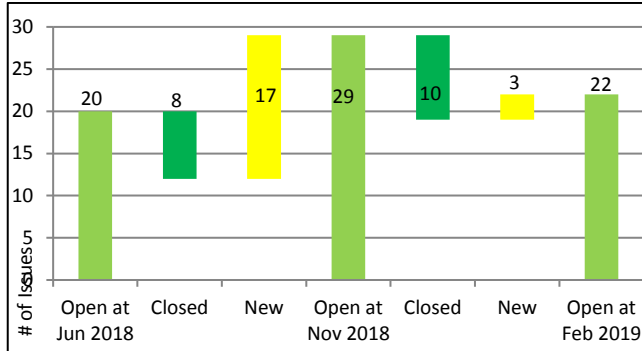
### Validation of Certain IT Security Self-Assessment Results: College of Education and Human Development dated February 12, 2019

- Confidential – Restricted Data: Critical Infrastructure Vulnerability Assessment Information (Code of VA: 2.2-3705.2.4).

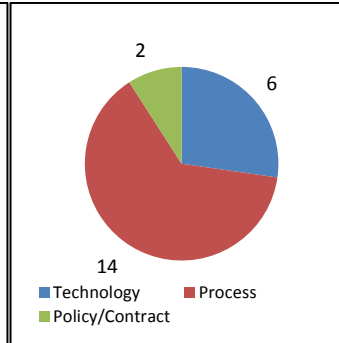
## SUMMARY STATUS OF AUDIT ISSUES AS OF FEBRUARY 15, 2019

There were 22 open audit issues as of February 15, 2019. Remediation of ten audit issues was completed by management since December 2018.

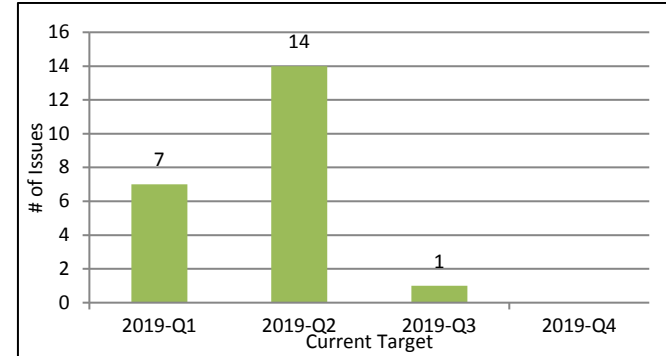
**Audit Issue Inventory Movement**



**Audit Issues by Type**




















**Audit Issues by Current Target**



Audit Report	Report Date	Open at Jun 2018	New	Closed	Open at Nov 2018	New	Closed	Open at Feb 2019
Monitor Employee Card Access Security	12/13/18	-	-	-	0	1	-	1
Hylton Performing Arts Center Ticketing	12/10/18	-	-	-	0	2	(2)	0
College of Education and Human Development: Selected Processes	11/19/18	-	2	(1)	1	-	-	1
Intercollegiate Athletics	11/14/18	-	6	-	6	-	(3)	3
DHS CINA Cooperative Agreement	10/30/18	-	3	-	3	-	(1)	2
Supplemental Payroll Payments	9/5/18	-	4	(1)	3	-	(2)	1
Employee Remote Work Agreements	8/29/18	-	1	-	1	-	-	1
Employee Time Recordkeeping at INTO Mason	6/29/18	-	1	-	1	-	(1)	0
Conflict of Interest in Research Process	4/9/18	1	-	(1)	0	-	-	0
Office of the University Registrar	3/7/18	6	-	-	6	-	(1)	5
Athletics Travel Expenditure Documentation	2/10/17	1	-	(1)	0	-	-	0
Use of Wiley edu Employees to Process Certain Registration Transactions	10/16/17	1	-	-	1	-	-	1
Administrative Management of Sponsored Programs	10/11/17	1	-	-	1	-	-	1
IT Governance and Project Prioritization	8/7/17	3	-	-	3	-	-	3
College of Health and Human Services	5/11/17	3	-	(3)	0	-	-	0
Decentralized IT Management and Security: Office of the Provost	10/23/15	2	-	(1)	1	-	-	1
Information Security Management: Boundary Protection	9/9/13	1	-	-	1	-	-	1
Enterprise Project Management Framework and System	3/28/13	1	-	-	1	-	-	1
		20	17	(8)	29	3	(10)	22

## STATUS OF AUDIT PLAN AS OF FEBRUARY 15, 2019

The 3+6 Audit Plan as of February 10, 2019 (bottom bars) is compared with the status as of the prior report to the Committee (top bars). (Note: The status of work is shown as follows: completed = orange bars, in progress = green bars, and planned = yellow bars)

Topic	Description	9	30	1231	331	630
<b>Aligned with University-Level Risk Areas</b>						
IT Vulnerability and Patch Management	<ul style="list-style-type: none"> <li>Assess processes for identifying and remediating IT vulnerabilities.</li> </ul>					
Controlled Unclassified Information (CUI) Data and Security Environment	<ul style="list-style-type: none"> <li>Monitor management's project to establish IT environment for handling CUI data and ensure compliance with federal regulations. Validate selected areas once established.</li> </ul>					
Information Security Program	<ul style="list-style-type: none"> <li>Monitor projects to further strengthen security of Mason's technology environment and co-develop regular updates to the Audit Committee.</li> </ul>					
Recruiting Processes	<ul style="list-style-type: none"> <li>Assess effectiveness and efficiency of processes for acquiring, recruiting, and hiring faculty and staff.</li> </ul>					
Data and Security Risk Assessment: Colleges – Validation Procedures	<ul style="list-style-type: none"> <li>Validate selected management assertions regarding information security risks in college-managed technology environments.</li> </ul>					
Academic Innovation and New Ventures Initiatives	<ul style="list-style-type: none"> <li>Monitor development and implementation of major academic innovation and ventures initiatives.</li> </ul>					
Faculty Workload Guideline Implementation	<ul style="list-style-type: none"> <li>Assess implementation of faculty workload guidelines across various colleges, including management's oversight processes.</li> </ul>					
Banner Improvement Upgrade Projects	<ul style="list-style-type: none"> <li>Monitor management's multi-year project to study and enhance Banner and suite applications. Assess potential project and process risks; communication.</li> </ul>					
Construction Payments and Change Orders	<ul style="list-style-type: none"> <li>Monitor and assess payments related to in-progress Robinson Hall and Utility Distribution Infrastructure construction projects.</li> </ul>					
<b>Additional Areas</b>						
Student Financial Accounts	<ul style="list-style-type: none"> <li>Assess business and compliance processes relevant to student financial billing and collections activities.</li> </ul>					
Spending of Funding for Reserves and Strategic Initiatives	<ul style="list-style-type: none"> <li>Monitor and validate spending of FY19 budgets for institutional reserves (\$4 million) and strategic initiatives (\$4 million).</li> </ul>					
Travel Advances	<ul style="list-style-type: none"> <li>Assess travel advance settlement processes and controls.</li> </ul>					
Faculty Study Leaves	<ul style="list-style-type: none"> <li>Assess faculty study leave administrative processes and controls.</li> </ul>					
Issue Validation Procedures	<ul style="list-style-type: none"> <li>Validate management has remediated audit issues in a comprehensive and sustainable manner.</li> </ul>					
Hotline Investigations Referred by OSIG	<ul style="list-style-type: none"> <li>Investigate allegations of fraud, waste, or abuse received from the Commonwealth's Office of the State Inspector General.</li> </ul>					



## STATUS OF INVESTIGATIONS AS OF FEBRUARY 15, 2019

Two investigations were completed since the prior Committee meeting; they were isolated in nature with negligible impact to the University.

Nature of Allegation	Type	Status	Remarks
Potential waste of State funds related to procurement activities	Waste	Completed	
Potential contract compliance issues	Waste	Completed	
Potential research misconduct investigation process issues	Abuse	Completed	
Potential personal use of university credit card and other matters	Fraud	In Progress	

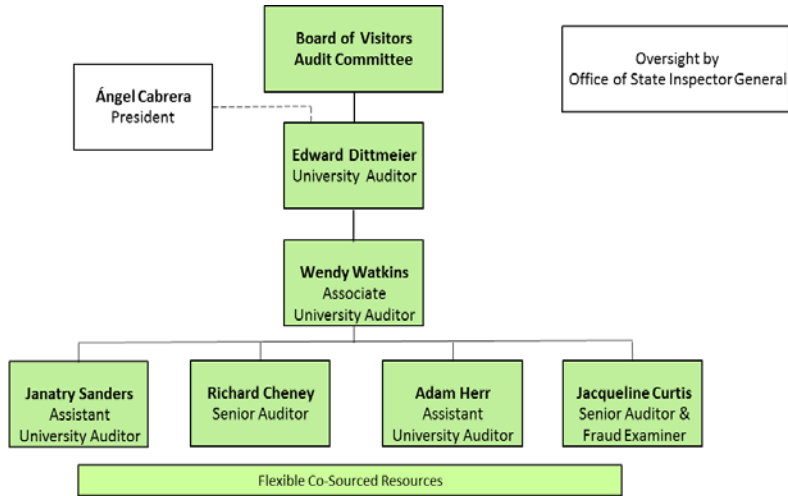
**Summary of Types:**

- Fraud = Intentional deception which could result in a benefit to the perpetrator, others, or the Commonwealth or could cause detriment to others or the Commonwealth. Fraud includes a false representation of a matter of fact, whether by words or by conduct, by false or misleading statements, or by concealment of that which should have been disclosed, which deceives or is intended to deceive. E.g., falsifying financial records to cover up theft.
- Waste = Careless expenditure, mismanagement, use, or squandering of Commonwealth resources to the actual or potential detriment of the Commonwealth. Includes unnecessary costs due to inefficient or ineffective practices, systems, or controls. E.g., unnecessary spending of state funds for no business purpose.
- Abuse = Excessive or improper use of something contrary to natural or legal rules for its use. Intentional destruction, diversion, manipulation, misapplication, mistreatment, or misuse of Commonwealth resources. Excessive use as to abuse one's position or authority. E.g., Use of state assets for non-state business.

# STAFFING

Audit staffing remains stable with no changes since the prior Committee meeting. Co-sourced resources remain available to provide supplemental skilled expertise when needed.

## Organization



## Staffing

	Plan	Actual	
		a/o July 2018	a/o Feb 2019
<b>Core Audit Team</b>			
Audit Leadership	2	2	2
Auditors by Expertise:			
Operational Audit	2	2	2
IT Audit	1	1	1
Fraud Audit	1	1	1
<b>Total Audit Professional Employees</b>	<b>6</b>	<b>6</b>	<b>6</b>
Cosourced FTE* Supported by Permanent Budget	0.8		0.2
<b>Total Audit Professionals Supported by Permanent Budget</b>	<b>6.8</b>	<b>6.0</b>	<b>6.2</b>
Cosourced FTE* Supported by FY19 Temporary Budget	0.5		
<b>Audit Professionals Supported by FY19 Budget</b>	<b>7.3</b>	<b>6.0</b>	<b>6.2</b>

Note: \* = Cosourced FTE are estimated based on actual hours provided by cosourced resources and a 1,500 hour/FTE rate.

## APPENDIX: AUDIT ISSUE DETAILS AS OF FEBRUARY 15, 2019

#	Audit Report	Audit Issue	Status of Management Action	Original Target	Current Target
1	<p><b>Report Name:</b> College of Education and Human Development: Selected Processes</p> <p><b>Report Date:</b> 11/19/18</p> <p><b>Management:</b> Mark Ginsberg, Dean, College of Education and Human Development</p>	<p><b>Assess Purchase Card Assignments</b> Six faculty and staff purchase cards had limits exceeding \$10,000 per month. Approval structures for four cards need revision to ensure appropriate separation of duties.</p>	<p>Management is reviewing purchase card limits and expects to reduce limits where not required for reasonable business need by March 1, 2019. Cardholder – approver relationships will be adjusted to ensure appropriate supervision and separation of duties.</p>	12/15/18	3/1/19
2	<p><b>Report Name:</b> Office of the University Registrar</p> <p><b>Report Date:</b> 3/7/18</p> <p><b>Management:</b> Frank Strike, Vice President, Facilities and David Moore, Assistant Vice President Budgeting &amp; Planning and Chief Budget Officer, Office of Budget and Planning</p>	<p><b>Evaluate Classroom Capacity and Constraints to Meet Future Growth Requirements:</b> Mason course sections (and use of Mason classrooms) are not distributed across timeslots and days of the week to efficiently and effectively utilize campus resources. Fall 2017 course section data shows significant classroom underutilization on multiple days of the week and at certain times of day. Scheduling decisions are often made by individual colleges and departments in regards to their reserved classrooms and lacks transparency when university classrooms are requested. This approach may lead to future difficulties as campus resources are strained further with current and planned renovations, strategic initiatives are pursued.</p>	<p>In June 2018, management engaged a consultant to benchmark the University’s space allocations, identify and outline space utilization, and make recommendations. Interim findings were reported in September 2018. The consultant’s report, originally scheduled to be completed by December 2018, has been delayed until March 2019.</p>	4/30/18	3/31/19
3	<p><b>Report Name:</b> Office of the University Registrar</p> <p><b>Report Date:</b> 3/7/18</p> <p><b>Management:</b> Bethany Usher, Associate Provost for Undergraduate Education, Office of the Provost</p>	<p><b>Update the Academic Course Catalog:</b> Mason maintains a University Catalog of over 8,000 individual courses. In the Fall 2017, Mason had 832 (11%) individual courses that have not been offered within the last four academic years (AY 2014-2018). Furthermore, there were 686 courses in the University Catalog which have never been offered to students.</p>	<p>The Associate Provost of Undergraduate Education has coordinated with school representatives to inactivate approximately 100 undergraduate courses. Opportunities to inactivate additional courses will continue to be evaluated.</p> <p>The Associate Provost of Graduate Education is leading an effort involving the Faculty Senate and Graduate Council to revise the applicable policy to provide a more up-to-date course catalog and to inactivate unused courses.</p>	4/30/18	3/31/19

#	Audit Report	Audit Issue	Status of Management Action	Original Target	Current Target
4	<p><b>Report Name:</b> Office of the University Registrar</p> <p><b>Report Date:</b> 3/7/18</p> <p><b>Management:</b> Michelle Marks, Vice President for Academic Innovation and New Ventures, Office of the Provost</p>	<p><b>Evaluate and Implement Process and Oversight Efficiency and Effectiveness Enhancements:</b> Registration transactions that require OUR action (e.g., enrollment adjustments, selective withdrawals, and program and domicile changes) are manual in nature with no secondary review prior to entry in Banner. OUR processes several thousand manual transactions each semester which require faculty and staff approval prior to processing. These transactions included, but were not limited to: course enrollment adjustments; selective withdrawals; domicile appeal changes; and numerous program changes. The established Banner workflow does not provide for a secondary review to ensure data accuracy and appropriate approval. Furthermore, the ability for post-entry quality assurance is limited since underlying Banner data is often limited.</p>	<p>OUR management evaluated several internal and external, cost-effective solutions offering better approval workflow and automation. Without funding, further clarity and additional support in place, new software cannot be implemented. Management is unable to find a single solution to address all concerns. ITS is in the process of purchasing an application from Ellucian which OUR may be able to use. OUR management continues to develop and run MicroStrategy reports to assist in the manual quality-control review of Banner transactions. A monitoring log was implemented in September 2018 and a monthly dashboard is in development with ITS. It is anticipated that domicile appeals will be tracked as part of the scope of the larger university/Oracle Audit Vault initiative by March 2019.</p>	8/31/18	3/31/19
5	<p><b>Report Name:</b> Office of the University Registrar</p> <p><b>Report Date:</b> 3/7/18</p> <p><b>Management:</b> Michelle Marks, Vice President for Academic Innovation and New Ventures, Office of the Provost</p>	<p><b>Implement Banner Transactional and Activity Logging:</b> Mason's ability to monitor transactional data and log activity of staff and third party vendors at various levels within Banner is limited. OUR management identified areas where limited or no monitoring exists due to a lack of transactional and activity history, including: student attributes; registration permits and overrides; student holds; academic standing; visa status; segregation of duties or unauthorized transactions; grading activity; and the Banner tables that control the majority of student data where an erroneous or unapproved change can have a significant impact.</p>	<p>In preparation for the installation of "Audit Vault" software to capture Banner activity, the OUR documented critical monitoring requirements for discussion and implementation with ITS. Even though the software will be made available in the coming months, it will take many more months to identify what will be monitored and develop the logic before the software can be fully deployed. In the interim, prior to Audit Vault implementation and full usage, the Registrar has dedicated staff to quality control check and monitor select Banner transactions. A monitoring log was implemented in September 2018, and a monthly dashboard is in development.</p> <p>ITS has begun the process of implementing Banner logging capabilities at the database level. The OUR developed a plan to determine which database tables and records should be logged, as well as events to trigger alerts, in ITSO's Splunk tool. The OUR is monitoring ITS' progress</p>	10/31/18	3/31/19

#	Audit Report	Audit Issue	Status of Management Action	Original Target	Current Target
			toward implementing a technical solution and has determined that the remediation efforts are currently on track for March 31, 2019 completion.		
6	<p><b>Report Name:</b> DHS CINA Cooperative Agreement</p> <p><b>Report Date:</b> 10/30/18</p> <p><b>Management:</b> Deborah Crawford, Vice President of Research, Office of the Provost</p>	<p><b>Develop Infrastructure and Support Needs for Significant Research Programs</b>  The DHS CINA Center of Excellence was established by a ten year, \$38.5 million cooperative agreement. Successfully pursuing and executing large scale, complex, multidisciplinary research efforts such as CINA are critical to Mason’s strategic goals related to research. However, when initiating program management to execute on the cooperative agreement, several extensive delays occurred including: staffing turnover and recruiting delays; dedicated workspace delays; project management regimen and tool delays, which need to be developed prior to implementation; and delayed administrative approvals through the Office of the Provost (rather than typically through Dean’s Offices).</p> <p>Based on retrospective reviews of newly-established large scale research programs, management should develop repeatable practices to streamline the stand-up and establishment of future, large scale, complex, multidisciplinary research efforts.</p>	Large scale research efforts, both in terms of dollar value and complexity, are becoming a larger part of the university’s research portfolio. Such programs will have certain operational and/or administrative similarities, but they will also have their differences. In an effort to learn from past experiences in establishing large or complex research programs at Mason, a best practices guide will be developed to provide direction to administrators and faculty for future research programs. The guide will be periodically reviewed, at least annually, for insights gained from the establishment of new research programs and updated, as necessary.	1/31/19	3/31/19
7	<p><b>Report Name:</b> Employee Leave Reporting and Remote Work Agreement</p> <p><b>Report Date:</b> 8/29/18</p> <p><b>Management:</b> Sue Tinsman, Assistant Vice President, Payroll, Human Resources/Payroll</p>	<p><b>Clarify Standard Remote Work Agreement on Allowable Reimbursable Expenses:</b>  University Policy #2202, “Flexible Work” and University Policy #2113 govern the administration of telework and remote work programs offered by the university. Any financial arrangements associated with these agreements are at the discretion of the employee’s work unit and do not require review and/or approval by Human Resources. University Policies #2202 and #2213 should be reviewed to determine if there are any provisions requiring additional guidance and clarification regarding allowable reimbursable expenses.</p>	Human Resources/Payroll is working with Fiscal Services to review and clarify these policies.	3/31/19	3/31/19
8	<p><b>Report Name:</b> Office of the Provost:</p>	<p><b>Design and Document Development Methodologies and Procedures:</b></p>	The Provost IT Team’s original intent was to leverage Information Technology Services’	4/30/16	4/30/19

#	Audit Report	Audit Issue	Status of Management Action	Original Target	Current Target
	<p>Decentralized IT Management and Security</p> <p><b>Report Date:</b> 10/23/15</p> <p><b>Management:</b> Thomas Shifflett, Director, Information Technology Services Enterprise Applications</p>	<p>The Provost IT Team has only recently begun to develop a framework of activities, documentation, and project management for system or software acquisition or development on behalf of Provost area units requesting their services. Project development life cycle or project management techniques have been executed <i>ad hoc</i> using informally communicated expectations of standards. While there are numerous development methodologies and none are one size fits all, good development and project management standards is the strongest control to help avoid primary causes of project failures.</p>	<p>design documentation and methodology. The Provost IT assets and operations were merged with ITS in July 2016. As part of this transition, management is finalizing documentation and implementation steps for using the agile methodology and, for the Banner team, the waterfall methodology. Final comments on the draft standards and templates are being reviewed; revisions are due by November 30, 2018.</p> <p>Enterprise Applications is starting the process of developing a standard set of artifacts, processes and procedures. Mature processes and procedures are expected to be implemented by April 2019.</p>		
9	<p><b>Report Name:</b> Office of the University Registrar</p> <p><b>Report Date:</b> 3/7/18</p> <p><b>Management:</b> Michelle Marks, Vice President for Academic Innovation and New Ventures, Office of the Provost</p>	<p><b>Align Mason Administration of Degree Programs with State Council of Higher Education for Virginia Administrative Requirements:</b></p> <p>Mason has degree and certificate programs that have not been established to conform to State Council of Higher Education for Virginia (SCHEV) requirements. SCHEV requirements limit one degree or certificate program at each level (certificate, bachelors, etc.) per classification of instructional programs (CIP) code. The purpose of the CIP code is to provide SCHEV with a classification scheme to track, assess, and report fields of study and program completion activities at the state and federal level. Prior to our audit, management in the Office of University Registrar and the Office of the Provost had identified this issue; they are working to identify impacted programs and developing solutions to align all programs appropriately.</p>	<p>The Office of Accreditation and Program Integrity (OAPI) has made substantial progress in resolving discrepancies in certificate program inventories. Resolution depends on actions by SCHEV subsequent to analyses provided by Mason. Such analyses have been provided to support 52 certificate programs; analyses for a further 13 certificate programs and seven undergraduate or graduate degree programs are in progress.</p> <p>SCHEV is in the process of evaluating and refining the certificate and program approval processes. While OAPI moves forward under the current state, SCHEV approval processes are anticipated to change during Spring 2019.</p> <p>OAPI is overseeing future changes in program inventory. Going forward, the Office of the University Registrar will not activate or inactivate any certificate or degree program without the express written consent of the OAPI.</p>	9/30/18	4/30/19
10	<p><b>Report Name:</b> DHS CINA Cooperative Agreement</p>	<p><b>Develop Effective Reporting Capabilities for Multidisciplinary Efforts</b></p> <p>CINA is a multidisciplinary agreement with program and project financial data recorded in multiple fund accounts</p>	<p>Information Technology Services (ITS) engaged the vendor, Ellucian, to perform an assessment of Banner, focusing on sponsored research reporting. Ellucian provided a report based on</p>	12/31/18	4/30/19

#	Audit Report	Audit Issue	Status of Management Action	Original Target	Current Target
	<p><b>Report Date:</b> 10/30/18</p> <p><b>Management:</b> Marilyn Smith, Vice President/Chief Information Officer, Information Technology Services</p>	<p>housed in multiple colleges and schools. Administrative personnel access financial data through the university's main reporting tool, MicroStrategy. However, MicroStrategy's security architecture is based on unit-level access. As a result, compiling reporting to oversee financial data on multidisciplinary projects requires program administrative personnel to rely on central Office of Sponsored Programs personnel to provide individual fund-level data manually each time it is needed, prior to exercising oversight analysis. While this may be manageable for the current level of multidisciplinary projects, it is inefficient and is likely not scalable at higher levels of volume or complexity.</p> <p>For several years, the Office of Sponsored Programs has had an outstanding ITS Project request to develop and implement a solution for this enterprise-wide issue; this project has been on hold since at least December 2017. In our view, this project should be re-evaluated.</p>	<p>their assessment, along with recommendations for improvements. ITS and OSP management has initiated a pilot with users from three academic units to test broader security access and open reporting on multidisciplinary projects.</p>		
11	<p><b>Report Name:</b> Use of Wiley edu LLP Employees to Process Certain Registration Transactions</p> <p><b>Report Date:</b> 10/6/17</p> <p><b>Management:</b> Marilyn Smith, Vice President &amp; Chief Information Officer, Information Technology Services</p>	<p><b>Develop Comprehensive Plan to Strengthen Technology Environment:</b>  Management recognizes that Mason's existing technology environment presents certain risks to the accomplishment of strategic objectives and to robustly controlling transaction processing.</p> <p>Management should develop and review with executive management a comprehensive plan, with timelines and resource needs, to improve the capability of the existing technology environment to respond flexibly to changes in business models, products and services, processes, and operations while robustly addressing the risks presented.</p>	<p>Management has initiated a number of projects to strengthen Mason's overall technology environment. These projects are in various stages of study, planning, execution, or implementation. They are designed to position ITS to support Smart Growth and are included in ITS' FY19 operational goals. Major projects include the Banner 9 upgrade; Banner Cloud planning; WiFi assessment and planning; IT Security assessment and roadmap; implementation of a data integration platform; development of a robust, secure computing environment to support research; and new IT security policies and controls.</p> <p>By April 2019, ITS plans to update the IT strategy to support the refreshed Mason Strategic Plan. The revised IT Strategic Plan will include milestones, resource requirements, and a three year roadmap of major initiatives.</p>	7/15/18	5/15/19

#	Audit Report	Audit Issue	Status of Management Action	Original Target	Current Target
12	<p><b>Report Name:</b> Intercollegiate Athletics</p> <p><b>Report Date:</b> 11/14/18</p> <p><b>Management:</b> Brad Edwards, Assistant Vice President and Director of Intercollegiate Athletics</p>	<p><b>Evaluate University Oversight of Camps and Clinics</b> University sports camps and instructional clinics are designed and operated to improve overall skills and general knowledge of the sport. Camps and clinics are governed by NCAA Bylaws which, among other things, allow athletics department personnel to serve in any capacity in a non-institutional, privately owned camp or clinic, provided the camp or clinic is operated in accordance with a number of requirements, including pricing discounts.</p> <p>Mason maintains a Camps and Clinics Manual, distributed by the Athletics Compliance Office to all coaches annually, which contains NCAA rules and interpretations regarding camp and clinics and provides answers to frequently asked questions. The Athletics Compliance Office also meets with camp directors and coaches to review rules and engage on specific situations. Even if a camp or clinic is run independently of Mason (such as owned by a coach's own LLC), it is still considered an "institutional" camp by the NCAA and all applicable rules apply. In these situations, coaches also sign a facilities use agreement, which states that "occupant (the coach) shall adhere to all applicable University policies and procedures", which would include requirements in the Camps and Clinics Manual.</p> <p>Our review of two camps and clinics determined that certain participants received discounts different than those promoted as available in brochures. Also, certain documentation to support NCAA compliance and required by the Camps and Clinics Manual and executed Facilities Use Agreements was not always on file.</p>	<p>Processes are being strengthened to ensure coaches operating camps or clinics adhere to Camps and Clinics Manual requirements and the provisions of Facilities Use Agreements, particularly related to the offering of discounts and treatment of potential prospects. Management will continue to communicate expectations to coaches operating camps or clinics. Documentation will be enhanced to ensure Mason's ability to demonstrate comprehensive compliance.</p>	5/31/19	5/31/19
13	<p><b>Report Name:</b> Intercollegiate Athletics</p> <p><b>Report Date:</b> 11/14/18</p> <p><b>Management:</b> Brad Edwards, Assistant Vice</p>	<p><b>Streamline Travel Expense Procurement and Processing</b> The Athletics Business Office had travel expenses of over \$2.2 million in fiscal year 2017. Processing of reimbursements and cash advances is highly manual, potentially prone to error, and requires significant amounts of administrative review to help ensure</p>	<p>New checklists have been implemented for use before and after travel. An additional fiscal analyst was hired in February 2018 to support athletics travel expense processing activities. Training for coaches and staff supporting Spring sports was provided in February 2018. Athletics Management continues to work on an ongoing</p>	3/15/19	6/15/19



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	President and Director of Intercollegiate Athletics	<p>accuracy and compliance with complex Commonwealth travel requirements.</p> <p>Management has been working with Mason's Procurement Office to enhance processes to strengthen compliance with policies and Commonwealth requirements. This work is underway and continues. In our view, management should consider additional methods of potentially streamlining travel expense procurement and processing, including use of prepaid cards as opposed to cash, and a checklist of documentation that is required for each trip to ensure accuracy and completeness.</p>	<p>basis with Fiscal Services Purchasing to evaluate additional methods of streamlining travel expense procurement and processing; appropriate improvements will be implemented.</p>		
14	<p><b>Report Name:</b> Enterprise Project Management Framework and System</p> <p><b>Report Date:</b> 3/28/13</p> <p><b>Management:</b> Charles Spann, Executive Director, Information Technology Services</p>	<p><b>Metrics Based Project Management:</b> A cost estimation and tracking mechanism is not in place to determine and track time and costs to complete IT projects. Such a mechanism can support improved comparative analysis, decision making about future projects, and project monitoring and control.</p>	<p>Through a project, Information Technology Services management continues to re-assess the appropriate process for making decisions regarding sizing and undertaking IT projects, including the appropriate level of consideration for time and cost, and tracking and reporting actual performance; expected completion remains June 30, 2019.</p>	9/30/13	6/30/19
15	<p><b>Report Name:</b> Information Security Management: Boundary Protection</p> <p><b>Report Date:</b> 9/09/13</p> <p><b>Management:</b> Marilyn Smith Vice President/Chief Information Officer, Information Technology Services</p>	<p><b>Review Firewall Configurations:</b> Firewall configurations are currently not being reviewed and re-authorized on a cyclic basis. Without a formal process to periodically review and re-authorize firewall configurations, the university cannot ensure that rule bases are adequate and/or still required.</p>	<p>After several attempts to appropriately structure and remediate firewall configuration management processes, including reviews and authorizations, ITS management completed development of a new expanded policy and associated procedures to define baseline configuration standards, minimum password strength parameters, code upgrade schedules, and vulnerability scanning requirements. A plan to implement and manage the firewall policies was established in December 2018; implementation of the first phase is expected to be completed in June 2019. Once completed, management expects to schedule the remaining phases.</p>	1/31/14	6/30/19

#	Audit Report	Audit Issue	Status of Management Action	Original Target	Current Target
16	<p><b>Report Name:</b> IT Governance and Project Prioritization</p> <p><b>Report Date:</b> 8/7/17</p> <p><b>Management:</b> Marilyn Smith, Vice President/Chief Information Officer, Information Technology Services</p>	<p><b>Update IT Project Management Policies and Procedures:</b> Mason's university policies address the procurement, development, implementation, and management of IT projects. These policies need to be reviewed for potential revision as none of the three policies has been reviewed since 2014. Such a review should consider:</p> <ul style="list-style-type: none"> <li>• Distinguishing IT projects requiring technical solutions from projects that do not.</li> <li>• Identifying the SDLC methodologies to be used when developing technical solutions.</li> <li>• Aligning with the most current (2015) ISO 9000 Quality Management Principles standard rather than the 2000 version referenced in policy.</li> <li>• Developing approaches to manage and deliver projects relating to instructional programs, and research projects and initiatives.</li> </ul>	<p>The Director-ITS Process and Planning has been affixed the responsibility for ensuring that all IT-related policies are reviewed annually, and updated as necessary. Non-substantive revisions have been made and more substantial changes are planned to be processed through the university's standard policy update process. The first draft of the updated IT Project Management Policy was completed on January 17, 2019; with the final policy expected to be completed by February 28, 2019.</p>	12/31/18	6/30/19
17	<p><b>Report Name:</b> Monitor Employee Card Access Security</p> <p><b>Report Date:</b> 12/13/18</p> <p><b>Management:</b> Tom Calhoun, Interim Senior Vice President for Administration and Finance, Office of the Senior Vice President</p>	<p><b>Monitor Employee Card Access Security:</b> The process for deactivating card access is dependent upon an employee's supervisor submitting an Electronic Access Request Form or email requesting deactivation to Card Access Security and Operations (CASO). If the supervisor does not request the card deactivation, CASO would not know to deactivate the employee's card access. There is no process to monitor or reconcile terminations and transfers to ensure employee card access is promptly deactivated. The Director, Technology, Auxiliary Enterprises should work with Information Technology Services (ITS) and Human Resources (HR) to develop a regular report or feed of terminated and transferred employees to enable CASO to ensure timely deactivation of card access.</p>	<p>The Director of Technology Services, Auxiliary Enterprises will work with ITS and HR to develop a weekly report (or receive an existing report) of employee terminations so that the CASO staff can manually deactivate credentials as appropriate. Expected completion date is March 31, 2019.</p> <p>Working with ITS and HR, a nightly feed of employee terminations will be developed. This feed would be integrated with the existing Card Access system and would deactivate credentials as appropriate on a nightly basis. This would require an automated transfer of this file from ITS and then write commands on the Card Access system to deactivate the credentials. Expected completion date is June 30, 2019.</p> <p>The Director of Technology Services, Auxiliary Enterprises will also evaluate and develop an effective process to manage card access for employees that transfer between departments. Expected completion date is March 31, 2019.</p>	3/31/19	6/30/19

#	Audit Report	Audit Issue	Status of Management Action	Original Target	Current Target
18	<p><b>Report Name:</b> IT Governance and Project Prioritization</p> <p><b>Report Date:</b> 8/7/17</p> <p><b>Management:</b> Marilyn Smith, Vice President/Chief Information Officer, Information Technology Services</p>	<p><b>Improve Governance of University IT Projects:</b> The university has several processes for evaluating and prioritizing IT projects for development.</p> <ul style="list-style-type: none"> <li>• Prioritization of Strategic and Capital projects that support strategic objectives, improve service capabilities, enhance customer satisfaction, or support new building construction or renovations should consider the capacity of development resources to support the timing and scheduling of the work effort in addition to the already-considered project impact and effort levels.</li> <li>• Prioritization of Maintenance and Mandate projects which are required by federal, state, or local governments, or university management, or are needed to continue daily operations should be formally documented. Portfolio Owners prioritize these projects within their respective portfolios and do not always document their prioritization decisions.</li> <li>• Management should evaluate the process for prioritizing IT projects that do not impact or involve ITS (i.e., Distributed IT projects); these are prioritized by individual departments.</li> </ul> <p>These gaps may result in a scarcity of resources that do not fully consider personnel and scheduling requirements, or the alignment of project resources with university strategic goals. Decentralized IT project spending and activities may not be approved, governed, and appropriately implemented by university management.</p>	<p>As part of ITS continuing to enhance, and strengthen compliance with, the Project Management Framework and the IT governance process, standard methods for ITS to track project resource usage will be implemented. Formal procedures to document Maintenance and Mandate prioritization efforts were implemented in March 2018.</p> <p>While IT Governance processes have been developed with an initial focus on projects that directly involve ITS, the processes can be broadly applied to other administrative and academic groups while also acknowledging that project control needs may vary depending on category and scale, and educating the university community will all be critical factors in the success of this effort; this effort is expected to be completed by June 2019.</p>	6/30/19	6/30/19
19	<p><b>Report Name:</b> IT Governance and Project Prioritization</p> <p><b>Report Date:</b> 8/7/17</p> <p><b>Management:</b> Marilyn Smith, Vice President/Chief Information Officer,</p>	<p><b>Complete Streamline of IT Project Management Framework:</b> The ITS Portfolio and Project Management Office (PPMO) is updating its methodology (last updated in May 2010) for managing IT projects to streamline project management and system development activities. Although not yet documented, the updated methodology is practiced when PPMO staff act as, or provide guidance to, functional project managers. Many aspects of well-recognized strong methodologies are included in</p>	<p>The PPMO began a project to formalize the refresh of the project management framework in September 2017. The Project Management Framework Refresh project was initiated in January 2018. Updated templates and procedures, and revised approval processes for each phase gates will be phased-in through Q1 2018. The new framework is targeted for implementation within ITS by June 2018, and</p>	6/30/19	6/30/19

#	Audit Report	Audit Issue	Status of Management Action	Original Target	Current Target
	Information Technology Services	<p>the updated methodology; however, there remain further opportunities to strengthen controls to reduce areas of inconsistency in how projects are planned, managed, and executed which may result in scope creep, planning enhancement, and insufficient support from the project sponsor or manager, among other things.</p> <p>Also, distributed IT projects are not subject to PPMO oversight which may result in projects being developed that do not adhere to the university's IT project management methodology.</p>	communicated and extended to the broader Mason community over the next year.		
20	<p><b>Report Name:</b> Supplemental Payroll Payments</p> <p><b>Report Date:</b> 9/5/18</p> <p><b>Management:</b> Renate Guilford, Associate Provost, Academic Administration, Office of the Provost</p>	<p><b>Evaluate Methods to Improve Unit Timeliness of Faculty Contractual Agreements and Banner Approvals:</b></p> <p>Seventeen individual faculty members had contractual agreements where the unit and/or Office of the Provost's approval of the overload letter was delayed. 106 out of 186 (57%) of job assignments reviewed had Banner approvals (the last required approval) which occurred after the job assignment began (based on the job start date entered in Banner). Approvals should be in place prior to faculty or staff beginning their assignment. If approvals are significantly overdue, compensation may be delayed where work has been performed.</p>	<p>The Provost's Office will remind units three months prior to the start of the semester to submit requests for overloads and work with individual HR representatives in the academic units to provide guidance on the process.</p> <p>The Provost's Office is developing an electronic workflow system that should provide access to create these assignments and approvals done in a timely manner.</p>	6/30/19	6/30/19
21	<p><b>Report Name:</b> Intercollegiate Athletics</p> <p><b>Report Date:</b> 11/14/18</p> <p><b>Management:</b> Brad Edwards, Assistant Vice President and Director of Intercollegiate Athletics</p>	<p><b>Evaluate Financial Aid Award Statement Distribution Process</b></p> <p>Student-athlete financial aid awards are approved by Athletics personnel and the university's Financial Aid Office. Financial aid award statements, signed by both Athletics and Financial Aid Office personnel, are sent to student-athletes by Athletics personnel, rather than by the Financial Aid Office. While the NCAA does not prohibit Athletics from sending financial aid award statements, leading practice is to centralize the sending and retention of statements to enhance segregation of duties and record retention. Athletics and the Financial Aid Office were unable to locate the financial aid award statement for one of the 25 student-athletes sampled.</p>	Distribution and retention processes have been strengthened. The Compliance Manual is in the process of being updated to describe the strengthened processes and retention requirements.	6/30/19	6/30/19
22	<p><b>Report Name:</b> Administrative</p>	<p><b>Plan for Scalable Research Administration to Enable Future Growth in Research</b></p>	Management continues to work to develop a comprehensive, scalable plan for research	7/1/18	7/1/19

#	Audit Report	Audit Issue	Status of Management Action	Original Target	Current Target
	<p>Management of Sponsored Programs</p> <p><b>Report Date:</b> 10/11/17</p> <p><b>Management:</b> Deborah Crawford, Vice President of Research, Office of the Provost</p>	<p>In our view, Mason’s current research administrative processes are not adequate nor scalable to support the nature and extent of research administrative and compliance obligations likely to result from substantial future growth in the volume and value of research awards. A 50% growth of the overall research portfolio, to ~\$150 million, might require an additional \$2.4 million of expenditures (determined on a straight-line basis) to support research administration and compliance activities. As management plans for such growth and sustaining its R1-Highest Research Activity classification, we believe there should be concurrent, comprehensive planning for the appropriate mix of people, process, and technology resources to effectively satisfy the current and future nature and extent of research administrative and compliance obligations while enabling faculty and researchers to remain focused on conducting research. In conducting such planning, management should consider multiple areas, including:</p> <ul style="list-style-type: none"> <li>• Alignment, including ensuring that academic unit plans for growing research (and providing appropriate administrative support) are fully aligned with Mason’s strategic plans and goals.</li> <li>• Information technology, including systems, reporting capabilities, and interface automation which impact work process effectiveness and efficiency.</li> <li>• Organizational structures, including the appropriate mix of academic unit and centralized employees, job roles, workloads, time dedicated to research administration activities, and reporting relationships for academic unit research administrators.</li> <li>• Resourcing, including the appropriate level and mix of automation as well as academic unit and centralized employees.</li> </ul>	<p>administration to accrue efficiencies offered by contemporary enterprise systems that support research, to adequately support the administrative needs of Mason researchers, and to provide research administrative support best delivered centrally. This plan is being developed in concert with the update of Mason’s Strategic Plan and by a working group of stakeholders that includes representatives from Mason’s Information Technology Services (ITS), Office of Sponsored Programs (OSP), Research Development, Integrity, and Assurance (RDIA), the Research Council, and the OSP Advisory Group.</p>		

**GEORGE MASON UNIVERSITY**  
**BOARD OF VISITORS**  
**Academic Programs, Diversity, and University Community Committee Meeting**  
**Wednesday, February 27, 2019**  
**A G E N D A**

- I. Call to Order**
  
- II. Approval of Academic Programs, Diversity and University Community Committee Minutes from December 12, 2018 (Action Item)**
  
- III. New Business**
  - A. Provost's Update (D. Wu)
  - B. Wiley Online Partnership Update (M. Marks)
  - C. Global Education Programs (B. Gibson)
  - D. Faculty Actions (ACTION ITEM)
    - 1. Elections of New Tenured Faculty
    - 2. Conferral of Emeritus/Emerita Status
  - E. Faculty Announcements
    - 1. Appointment of Faculty
    - 2. Appointment of Administrative and professional Faculty
    - 3. Renewals and Reappointments
    - 4. Separations
    - 5. Other Announcements
    - 6. Summary of Faculty Actions and Announcements
  
- IV. Annual Reports**
  - A. Faculty Diversity, Fall 2018 (A. Detlev)
  - B. Faculty Retention, Fall 2017 to Fall 2018 (A. Detlev)
  - C. Undergraduate Student Retention and Graduation (A. Detlev)
  
- V. Adjournment**

**GEORGE MASON UNIVERSITY  
BOARD OF VISITORS  
Academic Programs, Diversity & University Community Committee**

**MINUTES**

Wednesday, December 12, 2018

10:00 AM – 10:55 AM

Merten Hall, Fairfax Campus

**PRESENT:** Rector: Tom Davis; Vice Chair: Bob Witeck; Visitors: Horace Blackman, Nancy Prowitt, Paul Reagan, Edward Rice, and Lisa Zuccari; Faculty Senate Chair: Keith Renshaw; Student Representatives: Becca Keatinge and Bekah Pettine; Faculty Representatives: Reeshad Dalal and Christy Pichichero; Staff Representatives: Provost S. David Wu, Rose Pascarell and Julian Williams.

**ABSENT:** Chair: Karen Alcalde Visitor: Anjan Chimaladinne, Dave Petersen, Denise Turner Roth

**I. The meeting was called to order by Vice Chair Bob Witeck at 10:01 AM.**

**II. Approval of Minutes (Action Item)**

It was **MOVED** by Visitor Regan and **SECONDED** by Visitor Zuccari that the minutes from the October 10 meeting be approved. **MOTION CARRIED UNANIMOUSLY.**

**III. New Business**

**A. Provost's Update**

***S. David Wu – Provost and Executive Vice President***

Provost Wu provided updates on key issues and framed the conversation for the meeting. Dr. Wu highlighted two programs, in continuation with Mason's theme of access and increasing academic excellence: INTO-Mason Joint Venture and the Law School's institute for diversity and inclusion education. This continues the focus on creating purposeful learning experiences while aligning support services to afford ALL students the opportunity to enrich their education. With the recent Amazon announcement as Arlington as the new site for one of its global headquarters, Mason – as part of the Commonwealth's proposal to Amazon – has committed to the creation of a new School of Computing and the launch of a multidisciplinary Institute for Digital InnovAtion (IDIA) – both are well-aligned with Mason's Strategic Plan.

**B. INTO-Mason Joint Venture Update**

***Michelle Marks – Vice President, Academic Innovation and New Ventures; and David Burge – Vice President, Enrollment Management***

Mason's partnership with INTO provides transformational education pathways for international students that are tailored to meet specific linguistic, academic and cultural needs and ensure academic success.

- We have seen a steady increase in the number of International degree seeking students for both undergraduate and graduate & law with a larger increase in numbers after INFO Mason student enrollment began.
- 1,037 INTO Mason students matriculated to degree-seeking programs since 2015.
- 3,814 international students enrolled at Mason in fall 2018.
- Overall progression rate from JV INTO Mason degree programs: 88.5%

**C. Law School Diversity and Inclusion (D&I) Project**

***Henry Butler – Dean and GMU Foundation Professor of Law, Executive Director, Law & Economics Center; and Alison Price, Senior Associate Dean, Antonin Scalia Law School***

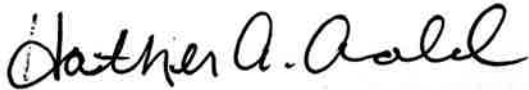
With Mason's significant enrollment growth and expanding diversity, our students are challenging us more than ever to create an accessible, innovative and inclusive learning environment where all members of the university community are welcomed, valued and supported.

- Our goal is to provide a great experience for our students; but also get them ready to enter the job market. No other law school is currently doing anything like this. Last month we provided a knowledge sharing conference to over 50 law schools across the nation.
- The D&I Certificate Program at Scalia Law is designed to education students about the social & economic benefits derived from diversity and inclusion and is comprised of 6 Sessions.
- D&I For-Credit at Scalia Law provides the same topics as certificate program, but with expanded combination of reading and viewing materials; includes a final project of creating a D&I plan for hiring and retention.

#### **IV. Adjournment**

Vice Chairperson Witeck called for a **MOTION** to adjourn the meeting; Visitor Rice **MOVED**; and Visitor Zuccari **SECONDED**. The meeting adjourned at 10:56 AM.

Respectfully submitted,



Heather A. Arold  
Secretary Pro Tem



## **ANNOUNCEMENT**

**Academic Programs, Diversity, and University Community Committee**

February 27, 2019

### **ELECTIONS OF NEW TENURED FACULTY**

<b><u>LAST NAME</u></b>	<b><u>FIRST NAME</u></b>	<b><u>EFFECTIVE DATE</u></b>
<b>Chen</b>	<b>Pushih Daniel</b>	8/25/2019

**Title:** Associate Professor without Term

**Classification:** Tenured (without term) - Instructional

**Local Academic Unit:** Higher Education Program (CHSS)

**Note(s):** Additional Title: Director, Higher Education Program

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**Office of the Provost**  
 4400 University Drive, MSN 3A2  
 Fairfax, Virginia 22030  
 Phone: 703.993.8770; Fax: 703.993.8871

**Procedural Checklist for New Faculty  
 Being appointed to Tenured (Without Term) Positions**

**This form must be submitted, in hard copy, to the Provost Office by the Dean/Director immediately upon receipt of a signed offer letter.**

**Pushih Daniel Chen, Associate Professor**

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Faculty Member's Name and Title

**Higher Education Program, College of Humanities and Social Sciences**

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Local Academic Unit

Reference checks have been conducted.

Sexual harassment prevention training has been scheduled for ASAP F2019  
 Date

**One-half page justification for appointment, to include a description of the benefit of this hire for the department, school, etc., as well as the rationale for selecting this candidate over others.**

Daniel Chen has been offered the position of Director of the Higher Education Program (HEP), a tenured appointment with Associate rank, in the College of Humanities and Social Science. The Director of HEP serves as the department chair providing leadership for the graduate programs and faculty.

Dr. Chen bring extensive experience in managing and leading a graduate program at University of North Texas having revised the entire curriculum an established a online component of the programs. He brings a much needed area of research as a quantitative scholar with a focus on student engagement. Dr. Chen's will diversify the intellectual rigor of the program while providing leadership for the program and faculty.

  
 \_\_\_\_\_  
 Dean/Director

2/11/2019  
 \_\_\_\_\_  
 Date

## ANNOUNCEMENT

Academic Programs, Diversity, and University Community Committee

February 27, 2019

### CONFERRAL OF EMERITUS/EMERITA STATUS

<u>LAST NAME</u>	<u>FIRST NAME</u>	<u>EFFECTIVE DATE</u>
<b>Censer</b>	<b>Jane</b>	2/1/2019

**Title:** Professor Emerita of History

**Local Academic Unit:** English (CHSS)

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<b>Kravitz</b>	<b>David</b>	6/1/2019
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**Title:** Professor Emeritus of Management

**Local Academic Unit:** School of Business

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<b>McCrohan</b>	<b>Kevin</b>	2/1/2019
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**Title:** Professor Emeritus of Marketing

**Local Academic Unit:** School of Business

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**College of Humanities and Social Sciences**

4400 University Drive, MS 3A3, Fairfax, Virginia 22030  
Phone: 703-993-8720 Fax: 703-993-8714

To: S. David Wu, Provost and Executive Vice President  
Ángel Cabrera, President

From: Ann Ardis, Dean *AA*  
College of Humanities and Social Sciences


Subject: Emerita Designation for Jane Censer

Date: January 10, 2019

On the recommendation of the Department of History and Art History, I am pleased to recommend Dr. Jane Censer for appointment as Professor Emerita of History, effective upon approval of the BOV.

Dr. Censer currently holds the rank of Professor in the Department of History and Art History. Dr. Censer came to Mason in 1989 at the rank of Assistant Professor, and has been a leader in the department and the college ever since. She has been an invaluable teacher. Her upper-division and graduate courses on the 19<sup>th</sup>-century U.S. history and the history of the American South consistently earn both strong enrollments and high scores in student evaluations. Dr. Censer has also been deeply involved in service to the department and the college, serving in a variety of departmental and college committees and acting as a mentor to scores of faculty members. She continues to be highly active in her scholarship and is a major figure in her field. Indeed, she is now completing a term as President of the Southern Historical Association, a distinction reserved for only the most esteemed scholars nationwide. In addition to her ongoing scholarly activity, she plans to continue to be active as an advisor to graduate students in the department. The university will benefit from Dr. Censer's professional activity in retirement.

Approve  Disapprove    
S. David Wu, Provost and Executive Vice President  
Date 1/24/19

Approve  Disapprove    
Ángel Cabrera, President  
Date 1.28.19

This memo certifies that the criteria have been met by this Emeritus candidate according to the Faculty Handbook requirements: full-time Associate or Full Professor with ten or more years of continuous academic service, home unit and/or Dean recommendation, Provost recommendation, and the President's recommendation.



School of Business

Enterprise Hall, 4400 University Drive, MS 1B1, Fairfax, Virginia 22030
Phone: 703-993-1880; Fax: 703-993-1867

To: S. David Wu, Provost and Executive Vice President
Angel Cabrera, President

From: Maury Peiperl, Dean
School of Business

Subject: Emeritus/Emerita Designation for David Kravitz

Date: January 15, 2019

Along with the tenured faculty members of the Management Area and the Faculty of the School of Business, I write to recommend that Professor David Kravitz be elected to the honorary rank of Professor Emeritus of Management effective June 2, 2019. Since joining Mason in 1999, Professor Kravitz has continuously made outstanding contributions to the development of students, faculty, research, and the university.

As outlined in the attached Management Faculty Area memorandum, Professor Kravitz's accomplishments in teaching, research, and service have been significant and far reaching. As a life-long contributor to scholarship, Professor Kravitz's research has focused on creating a better understanding of the dynamics of work place diversity. As a result of his scholarly work, he has received several honors and awards, such as Fellow status in scientific and professional organizations. Beyond researching diversity, Professor Kravitz has worked to improve diversity practices in organizations. Furthermore, Professor Kravitz is well-known for his innovations around the teaching of diversity. He created a course on the issues of managing diversity in the workplace to be intellectually rigorous, highly engaging and even life changing for his students. Recognizing his contributions, he received the George Mason University teaching award in 2003. Professor Kravitz also has served in many important administrative roles, such as Chair for the Management Area, Chair of the Tenured Faculty, Business School Dean Search committee member, and Faculty Senate representative. Professor Kravitz has consistently exhibited the highest levels of organizational citizenship, always finding ways to add value to the quality of work life on behalf of his colleagues. His years of personal dedication have greatly impacted the school for good and should stand as an example for his colleagues throughout the University.

Accordingly, I concur with the request from the Management Area and PT&R committee and recommend that Professor Kravitz be elected to the honorary rank of Professor Emeritus of Management effective June 2, 2019.

Approval [checked] Disapproval [ ]
S. David Wu, Provost and Executive Vice President

Approval [checked] Disapproval [ ]
Angel Cabrera, President

This memo certifies that the criteria have been met by this Emeritus candidate according to the Faculty Handbook requirements: full-time Associate or Full Professor with ten or more years of continuous academic service; nominated by the home unit with the Dean, Provost, and President's recommendations.



School of Business

Enterprise Hall, 4400 University Drive, MS 1B1, Fairfax, Virginia 22030
Phone: 703-993-1880; Fax: 703-993-1867

To: S. David Wu, Provost and Executive Vice President
Angel Cabrera, President
From: Maury Peiperl, Dean School of Business
Subject: Emeritus/Emerita Designation for Kevin McCrohan
Date: January 15, 2019

Along with the tenured faculty members of the Marketing Area and the Faculty of the School of Business, I write to recommend that Professor Kevin McCrohan be elected to the honorary rank of Professor Emeritus of Marketing effective February 2, 2019. Since joining Mason in 1981, Professor McCrohan has continuously made outstanding contributions to the development of students, faculty, research, and the university.

As outlined in the attached Marketing Faculty Area memorandum, Professor McCrohan's accomplishments in teaching, research, and service have been significant and far reaching. Professor McCrohan published extensively in the areas of the informal economy and cybersecurity and received several related grants. He was a Senior Fulbright Scholar and received the FBI Exceptional Public Service Award. He taught several different courses in the Marketing Area at both the undergraduate and graduate levels. Professor McCrohan also has served in many important administrative roles, such as Chair for the Marketing Area, Business School Dean Search committee member, Faculty Senate representative, and a member on numerous School and University committees. Professor McCrohan has consistently contributed to the School and University, for example, by creating a scholarship. His years of personal dedication have greatly impacted the school for good and should stand as an example for his colleagues throughout the University.

Accordingly, I concur with the request from the Marketing Area and PT&R committee and recommend that Professor McCrohan be elected to the honorary rank of Professor Emeritus of Management effective February 2, 2019.

Approval [checked] Disapproval [ ] S. David Wu, Provost and Executive Vice President

Approval [checked] Disapproval [ ] Angel Cabrera, President

This memo certifies that the criteria have been met by this Emeritus candidate according to the Faculty Handbook requirements: full-time Associate or Full Professor with ten or more years of continuous academic service; nominated by the home unit with the Dean, Provost, and President's recommendations.

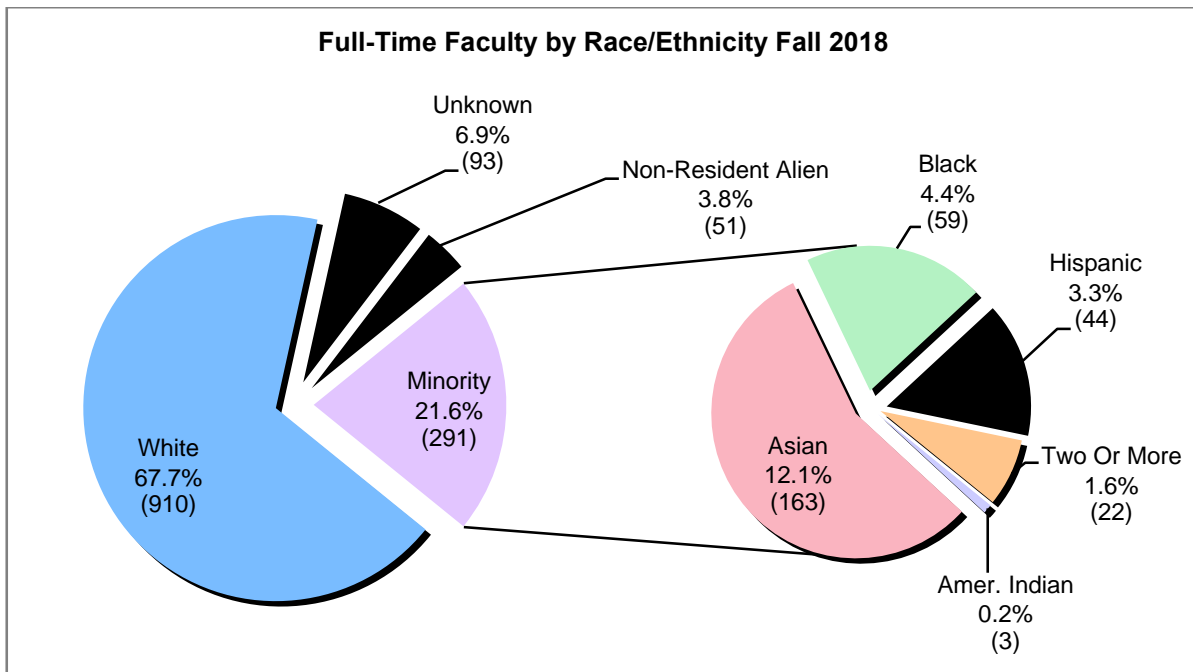
## The Diversity of Mason's Full-Time Instructional Faculty Fall 2018

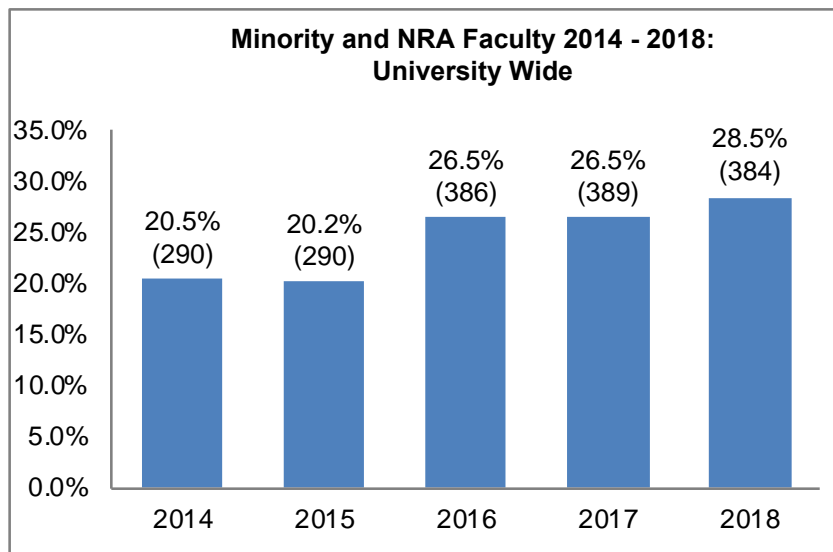
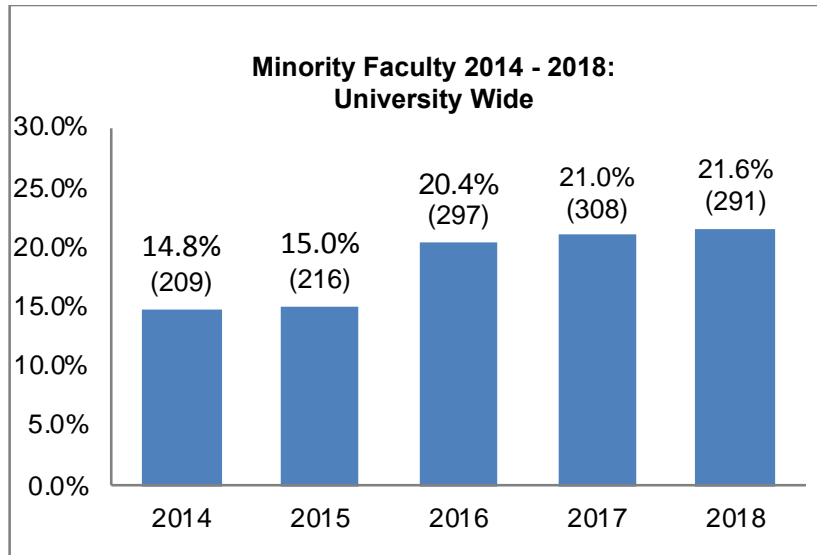
Mason continues its strong commitment to increase diversity and global education. Part of this commitment is fulfilled through a diverse faculty. In Fall 2018, 28.5% of the full-time instructional faculty were either a member of a historically under-represented racial/ethnic group or a non-resident alien (foreign national). This compares to 53.1% of students who identify as either a racial/ethnic minority or non-resident alien.

One of the goals of Mason's strategic plan is to increase the diversity among instructional faculty. The percentage of instructional faculty identifying themselves as minority has increased between 2017 and 2018.

### *Race and Ethnicity*

- Minority faculty members make up 21.6% (291) of the 1,345 full-time instructional faculty members, an increase of 0.6% over Fall 2017.
- The total proportion of full-time instructional faculty who chose not to report their race was 6.9% (93), a decrease over Fall 2017, when 7.2% of faculty did not report their race. Among new faculty members in 2018, only 0.8% (1) chose not to report their race/ethnicity.
- 62.9% of new faculty identified themselves as White, 22.7% identified themselves as minorities, and 13.6% were classified as non-resident aliens.
- The percentage of minority full-time instructional faculty within each college or school ranges from 14.9% to 30.9%. Percentages should be viewed cautiously given the great variability in the number of faculty within each unit.

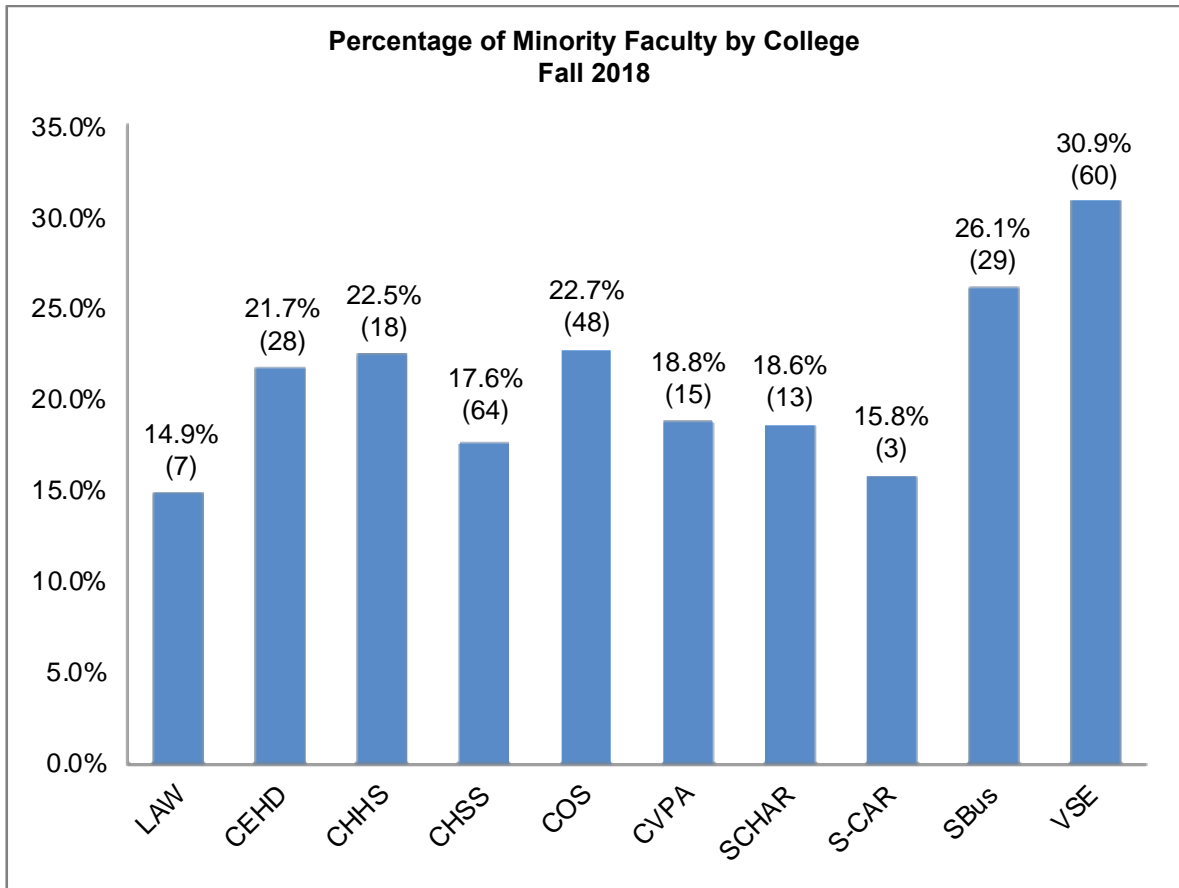




NRA: Non-Resident Alien

Note: Due to employee classification changes, starting in 2018, research faculty are now classified as research staff.





**Gender**

- Women represented 46.2% of the new full-time instructional faculty hires this year, which is a greater proportion than the 43.9% of the total full-time instructional faculty who are female.
- For the five-year period from 2014 to 2018, the proportion of full-time female instructional faculty members increased by 1.2 percentage points.
- Women represent 35.3% of the tenured positions, 43.0% of the tenure-track positions, and 57.4% of term instructional faculty positions. For new hires, women represent 14.3% of the tenured positions, 41.7% of the tenure-track positions, and 51.9% of the term positions.

# The Retention of Full-Time Instructional Faculty

## Fall 2017 to Fall 2018

### Fall 2017 Faculty Retention

In the Fall 2017 semester, Mason employed 1,306 full-time instructional faculty members. Of these, 94% (1,223) continued to be employed at Mason in Fall 2018. The attrition rate for instructional faculty was 6%, which is comparable to previous years (8% in 2013, 6% in 2014, 7% in 2015, and 6% in 2016). Once retirees and deceased faculty are removed from the analysis, the attrition rate drops to 3%. The most frequent reason for faculty departure was retirement, followed by resignation (most of which were to take another position), and completion of contract. Thirty-nine full-time faculty retired in FY 2018, compared to 21 in FY 2017 and 46 in FY 2016.

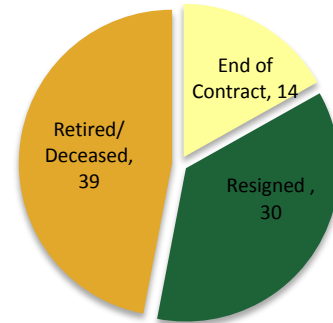
#### Of the 1,223 faculty members continuing at Mason:

- 1,207 (99%) continued as full-time instructional faculty
- 11 (<1%) moved into full-time administrative or part-time faculty positions
- 5 (<1%) were on leave without pay

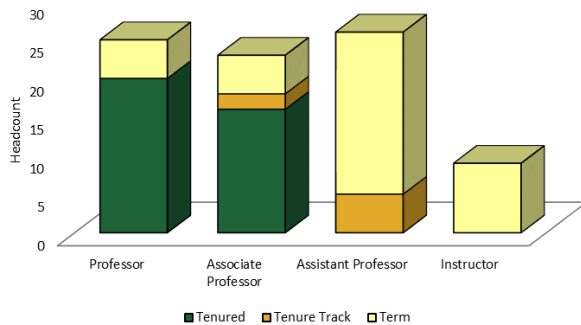
#### Reasons for leaving include:

- 30 resigned
- 36 retired; 3 were deceased
- 14 completed their contract

### Reasons for Faculty Departure FY 2018



### Faculty Departure by Rank and Tenure



Thirty-six tenured faculty departed Mason in FY18: 28 retired, and 8 resigned due to a new job offer. Seven tenure-track faculty departed: 4 resigned due to a new job offer, 2 completed contracts, and 1 resigned without a reason given. Forty term faculty departed: 12 completed contracts, 11 retired, 8 resigned due to a new job offer, 4 resigned to leave the area, 4 resigned without a reason given, and 1 resigned due to home responsibilities.

### Fall 2018 Faculty

In the Fall 2018 semester, Mason employed 1,345 full-time instructional faculty members: 1,213\* (90%) continuing faculty members and 132 (11%) new faculty members. Five percent of returning faculty received promotions, a slightly higher rate to the proportion of promotions in the recent past (3% in Fall 2017; 4% in Fall 2016; 5% in Fall 2015). Below is the faculty distribution across ranks.

#### Continuing Faculty

- 352 professors, 17 promotions
- 441 associate professors, 37 promotions
- 338 assistant professors, 2 promotions
- 82 instructors

#### New Faculty

- 9 professors
- 16 associate professors
- 88 assistant professors
- 19 instructors

*\*1,213 continuing faculty represent the 1,207 instructional faculty in both the Fall 2017 and Fall 2018 census files, plus six faculty who were on LWOP in Fall 2017 (and not in census file) who have returned from LWOP and are present in Fall 2018 census file.*

# Undergraduate Student Retention and Graduation Fall 2018

## George Mason University

Office of Institutional Research & Effectiveness

To reach our ambitious degree completion goals outlined in the Strategic Plan, we must improve retention and graduation rates, promote timely degree completion, and meet enrollment targets. Informed by research and best practices in higher education, our efforts are focused on creating a student-centered institutional culture. Although student factors such as motivation and academic preparation affect student success, we are working to improve institutional characteristics that contribute to academic and social engagement critical to the student experience. Strategically, we are focused on addressing processes and policies that affect all students and, therefore, can buoy the success of all students.

### Freshmen Cohorts

National data for retention and graduation rates normally focus on entering first-time, full-time, degree-seeking freshmen. First-time, full-time students make up 98.7% of Mason's Fall 2018 freshman class. Over the years, Mason has raised the profile of its entering freshmen cohorts and enacted various retention initiatives involving outreach to students, policy changes, and process improvements. Mason is currently examining several of its processes to enhance the student experience. Not only have we undertaken academic advising reform through the implementation of the Student Success Collaborative (SSC)-Campus, but also via work done through the iPass grant and future utilization of the Student Educational Planner, a tool that helps guide students in making good decisions about course combinations and sequences. Furthermore, initiatives such as the Student Experience Redesign and Mason Impact should result in increases students' retention and graduation rates.

#### *First-Year Retention*

The first-year retention rate is the percentage of first-time, full-time, bachelor's degree-seeking students enrolled in fall who returned for their second year. The Fall 2017 cohort retention rate is 86.7%, slightly lower than the 2016 cohort (down 1.1%). The rates vary when considering various demographic characteristics:

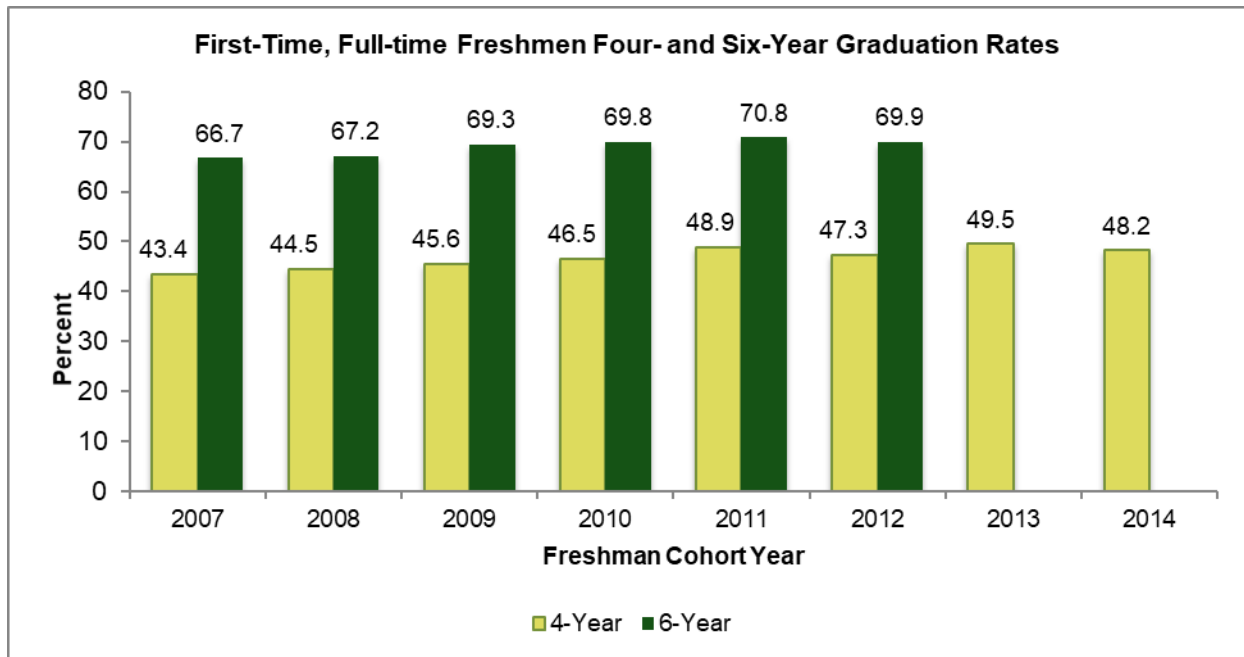
- Domicile: In-state 88.2%, Out-of-state 81.1%
- Gender: Female 88.2%, Male 85.0%
- Race/Ethnicity: Black 84.3%, Asian 90.8%, Hispanic 85.4%, White 86.4%, Two or More 83.1%, Other 85.8% (*Other includes Hawaiian/Pacific Islander, Native Americans, Non-resident Aliens, and Unknown/Not Reported*)

The second-year retention rate (students returning for their third year at Mason) has decreased slightly to 81.0% (down 0.1%).

#### *Four-Year and Six-Year Graduation Rates*

The four-year graduation rate (100% of program length), a measure increasingly in the news, has risen from 30.9% for the 2000 cohort to 48.2% for the 2014 cohort, the most recent cohort for which four-year graduation rates are available. Mason's six-year graduation rate (150% of program length) has risen from 52.8% in 1998 to 69.9% for the 2012 cohort. Again, six-year graduation rates vary by demographic characteristics:

- Domicile: In-state 71.8%, Out-of-State 63.1%
- Gender: Female 75.4%, Male 64.1%
- Race/Ethnicity: Black 65.3%, Asian 77.2%, Hispanic 66.3%, White 69.5%, Two or More 70.6%, Other 66.3% (*Other includes Hawaiian/Pacific Islander, Native Americans, Non-resident Aliens, and Unknown/Not Reported*)



#### *Graduation Rates and Student Financial Need*

The six-year graduation rate for the 2012 cohort of students receiving Pell Grants increased one percentage point to 67.8%, while the rate for recipients of Subsidized Stafford Loans decreased just under five percentage points to 65.7%. Students who received other aid had a six-year graduation rate of 76.3%, and students who did not receive any type of aid had a rate of 70.3%. Although the 2014 cohort of students receiving Pell Grants has a lower four-year graduation rate than the university average, 43.9% compared to 48.2%, the six-year rate of the 2012 cohort is comparable to the university average (67.8% compared to 69.9%).

Mason also has initiatives that focus on the success of first-generation college students. In the 2012 cohort, 65.8% of students who identified themselves as first-generation students graduated in six years compared to 71.2% of students who were not first-generation. Similar to Pell students, the 2014 Cohort four-year graduation rate for first-generation students of 47.7% is lower than the university average, but the gap between the two groups diminishes by the time of the six-year rate.

#### **Part-time Freshmen**

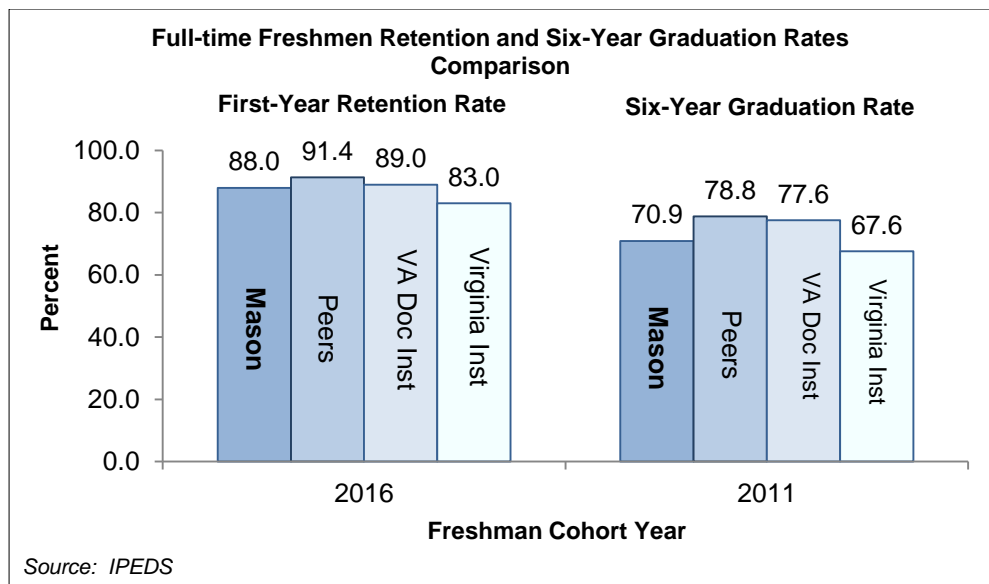
In Fall 2012, only 13 of Mason's 2,694 First-time Freshmen began as part-time students. Of those, 46.2% graduated in six years.

#### **Freshmen Cohort Comparison Data**

The latest years for which institutional comparisons are available are Fall 2016 for cohort retention data and Fall 2011 for cohort graduation rate data. Mason's first-year retention rate of 88% for the 2016 cohort is higher than the Commonwealth institutions' average of 83%, though slightly lower than both its peer group<sup>1</sup> (91%) and the other Virginia research institutions' average of 89%. Mason's six-year graduation

<sup>1</sup> The list of 25 peer institutions is approved and maintained as a benchmark for targeting comparative salary data by the State Council of Higher Education for Virginia (SCHEV). The current peer group was approved in July, 2011, and includes Arizona State University, Boston University, Florida State University, George Washington University, Michigan State University, New York University, North Carolina State University at Raleigh, Northeastern University, Rutgers University-New Brunswick, Stony Brook University, SUNY at Albany, Syracuse University, Temple University, University of Arizona, University of Connecticut, University of Florida, University of Illinois at Urbana-Champaign, University of Kansas, University of Maryland-College Park, University of Massachusetts Amherst, University of Minnesota-Twin Cities, University of

rate of 70.9% is lower than both its peer group's average of 78.8% and the other Virginia research institutions' average of 77.6%, but higher than the Commonwealth institutions' average of 67.6%.



George Mason's student population differs from that of its peers in a number of ways. Of the 2016 first-time, full-time cohort, 49.4% identified themselves as being a racial/ethnic minority (Black/African American, American Indian/Alaska Native, Asian, Hispanic, Native Hawaiian/Pacific Islander, and Two or More), compared to an average of 32.2% at the other Commonwealth institutions, 39.7% at the Virginia research institutions, and 34.5% for the average of Mason's peer institutions. George Mason has a higher percentage of Pell Grant recipients (28%) in its 2016 cohort than the average across both the Virginia research institutions (22%) and its peer group (22.1%). The average for all Virginia institutions was 29.5%. Further, the academic measures for students at George Mason's peer institutions are considerably higher. For the 2016 cohort, Mason's SAT scores for the 25<sup>th</sup> percentile and 75<sup>th</sup> percentile were 1060 and 1250, respectively, while the comparable average scores for its peers were 1151 and 1369, respectively. With such a diverse student population, Mason has been particularly successful in retaining and graduating its under-represented student populations, a distinction that has been recognized in various national publications (e.g., *U.S. News, Education Trust, Change Magazine*).

### Transfer Students

Mason has a significant transfer student population; therefore, monitoring the success of these students is very important. The Fall 2017 full-time transfer retention was 88.7% while the part-time retention was 77.9%. This results in an overall transfer retention rate of 86.5%. The four-year graduation rate for the transfer cohort that entered in Fall 2014 was 77.3% for the full-time students and 47.5% for the part-time students. This results in an overall transfer four-year graduation rate of 70.9%.

The majority of Mason transfer students come from the Virginia Community College System (VCCS). Of all the VCCS transfers that entered in Fall 2017, 87.2% returned the sequent Fall, while 89.1% of the full-time VCCS transfers were retained to their second year. The four-year graduation rates for all Fall 2014 VCCS transfers is 71.5%, while the full-time VCCS transfers have a four-year rate of 78.6%. The

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Nebraska-Lincoln, University of North Carolina at Chapel Hill, University of Southern California, and University of Washington-Seattle Campus.

six-year graduation rate for Fall 2012 VCCS transfers is 78.2%, and the full-time VCCS transfers have a six-year graduation rate of 83.9%

As Mason strives to reach the goal of 100,000 degrees in ten years, moving students through the educational pipeline will require deliberate, ongoing efforts on the part of the university.

For additional information on retention and graduation rates, visit the OIRE website at:

[https://irr2.gmu.edu/New/N\\_Persistence/index.cfm](https://irr2.gmu.edu/New/N_Persistence/index.cfm)

## Meeting Book - Board of Visitors Development Committee Meeting - February 27, 2019

### I. Call to Order

### II. Approval of Development Committee Meeting Minutes from December 12, 2018

A. Board of Visitors Development Committee Minutes from December 12, 2018

### III. New Business

A. GMUF Chair Report - Jay O'Brien

B. Campaign Update and Advancement Report - Jim Laychak

C. Fundraising Needs and Priorities - Dean Rick Davis, College of Visual and Performing Arts

### IV. Old Business

### V. Adjournment

**George Mason University  
Board of Visitors**

**Development Committee Meeting  
December 12, 2018  
11:00 a.m. – 11:50 a.m.  
Merten Hall, Room 1203, Fairfax Campus**

**Meeting Minutes**

**Attendees:** Chairman Jimmy Hazel, Visitor Lisa Zuccari, Visitor Paul Reagan

**Absent:** Visitor Wendy Marquez

**Guests:** Rector Tom Davis, President Ángel Cabrera, Vice President Janet Bingham, Faculty Senate Representative Keith Renshaw, Faculty Representative June Tangney, Student Representative Becca Keatinge, Board of Trustees Chairman Jay O'Brien, Dean Ken Ball, Chris Clark-Talley

**I. Call to Order**

The meeting was called to order by Chairman Jimmy Hazel at 11:00 a.m.

**II. New Business**

**A. GMUF Chair Report – Jay O'Brien**

Mr. Jay O'Brien, Chairman of the George Mason University Foundation Board of Trustees, delivered an update regarding activities of the Board of Trustees.

Dr. Cabrera expressed his appreciation for Mr. O'Brien's leadership on the Board of Trustees and commended the board for undertaking and completing many difficult tasks this past year which greatly strengthened the Foundation overall.

**B. Funding Priorities – Ken Ball, Dean of the Volgenau School of Engineering**

Ken Ball, dean of the Volgenau School of Engineering, gave an overview of his academic priorities/goals and growth opportunities for the school, as well as the school's fundraising priorities.

**III. Approval of Development Committee Meeting Minutes from October 12, 2018  
(ACTION ITEM)**

Chairman Hazel called for a motion to approve the meeting minutes from October 12, 2018. A **MOTION** was made, **SECONDED**, and the **MOTION CARRIED UNANIMOUSLY BY VOICE VOTE**.



#### **IV. New Business (Continued)**

##### **C. Alumni Outreach Overview – Chris Clark-Talley**

Chris Clark-Talley presented an overview regarding the past year's efforts to grow the alumni outreach program and introduced two new alumni outreach officers.

##### **D. Campaign and Advancement Report – Janet Bingham**

Dr. Janet Bingham provided an update on University Advancement and Alumni Relations activities. We have raised \$673 million to date for the Faster Farther campaign and anticipate closing the year at \$675 million.

Dr. Cabrera thanked Dr. Bingham, the Advancement, Alumni Relations and GMU Foundation staff, Campaign Chairman Hazel and all others who lent their support and efforts to the tremendously successful Faster Farther campaign.

#### **V. Old Business**

Faculty Representative June Tangney stated that in the aftermath of the Gift Agreement Review Committee report she hoped that their recommendations would be acted upon. President Cabrera advised that Provost Wu would make a full report on the matter at the afternoon's full board meeting.

#### **VI. Adjournment**

There being no further business, the meeting was adjourned at 11:55 a.m.

**GEORGE MASON UNIVERSITY  
BOARD OF VISITORS**

**Research Committee Meeting  
February 27, 2019  
Merten Hall 1204**

**AGENDA**

- I. Call to Order
- II. Approval of Minutes (**ACTION ITEM**)
  - A. Meeting minutes for December 12, 2018
- III. Presentation, Dr. Deborah Crawford  
*Research Status Report*
- IV. Presentation, Dr. Aurali Dade, Associate Vice President for Research Development, Integrity and Assurance  
*Institute for Sustainable Earth*
- V. Presentation, Dr. Germaine Lewis, Dean, College of Health and Human Services  
*Environmental Threats to Human Reproduction and CHHS Sustainability  
Research Highlights*
- VI. Adjournment

**GEORGE MASON UNIVERSITY  
BOARD OF VISITORS**

**Research Committee Meeting  
December 12, 2018  
Merten Hall 1204**

**DRAFT Minutes**

Present: Provost S. David Wu; Chairman Horace Blackman; Vice President for Research Deborah Crawford; Visitors Edward Rice, Nancy Gibson Prowitt, Bob Witeck; Shawn Purvis; Faculty Representative Bijan Jabbari; Guest: Houman Homayoun

Absent: President Angel Cabrera; Rector Tom Davis; Visitor Anjan Chimaladinne; Faculty Senate Chair Keith Renshaw; Faculty Representative Christy Esposito-Symthers; Student Representatives Becca Keatinge and Bekah Pettine.

- I. Meeting was called to order by Chairman Horace Blackmon at 11:01 am
- II. Approval of Minutes (**ACTION ITEM**)  
Approval of October 10, 2018 meeting minutes motioned by Visitor Rice, seconded by Visitor Witeck, unanimously approved.
- III. Presentation, Dr. Deborah Crawford (**Attachment 1**)  
*Amazon HQ2, Tech Talent and the Tech Innovation Economy*

Dr. Crawford described the activities leading up to Amazon's announcement that it had chosen Arlington, Virginia as one of the two sites for its new HQ2 headquarters and the projected economic impact for Virginia of that decision. Dr. Crawford walked the committee through the timeline of activities, which began in September 2017 and continued until the announcement on November 13, 2018. Mason published an open "Welcome Amazon" notice in the Washington Post on November 22, 2018.

Dr. Crawford also presented the economic impact report released by Chmura Economics & Analytics (<https://www.vachamber.com/wp-content/uploads/2018/12/Final-Amazon-Study-120718.pdf>) on the total economic impact of HQ2 for Northern Virginia. The report was commissioned by the Virginia Chamber Foundation and presented the Direct Economic Impact, Indirect Economic Impact, and Induced Economic Impact. The Total Economic Impact in Virginia only will be \$14.2 Billion by 2030. The State made a promise of a \$1.1 Billion investment in Northern Virginia to attract Amazon.

In September 2018, after not hearing anything from Amazon after its site visit in February 2018, Virginia (and Mason) were asked to produce quite a bit of data. At that point, Virginia's strategy was becoming quite clear. It became clear that part of the proposal was based on ramping up the number of undergraduate degrees in a relatively

smaller number of degree programs and the development of graduate education based campuses in Northern Virginia (including graduate education programs by both Mason and Virginia Tech).

Dr. Crawford then highlighted Mason's Tech Talent (the largest undergraduate TECH cohort by far of any Virginia public institution with 5,000 computing undergraduates and 1,100 students in computing at the Masters level) and the planned strategic expansion of the Arlington campus. Dr. Crawford noted that in 2012 we had about half the number of undergraduates in these programs, so these programs are among the fastest growing programs in the university. These numbers were presented to VEDP.

Mason committed to creating Virginia's first School of Computing, and double the number of undergraduates in its computing programs from 5,000 now to 10,000 in 2024. This will continue the same growth trajectory Mason has been on for the past 5 years. The Amazon HQ2 Higher Ed Incentive Package provides financial support for Mason to grow its enrollment in computing including support to hire faculty and operating support for the in-State students in those programs.

This expansion will also include the launch of the new Institute for Digital InnovAtion (IDIA) and a new 400,000 Square Foot IDIA tower in Arlington. This new building will house educational programs for the new School of Computing as well as the Schar School of Policy and Government, the School of Business, and the Law School, creating the largest graduate campus in the Greater Washington Region. The tower will also house tech business incubator programs and will be designed to turbo charge the tech innovation economy in the region. The Commonwealth has committed \$125 Million capital vestment for the IDIA Tower with the expectation that Mason will raise \$125 Million to match the Commonwealth's investment.

How does this impact Mason's planning for growth

- Mason currently has \$20 annually in computing research expenditures in FY19 with a goal to reach \$50 by 2024. Amazon HQ will help Mason reach that goal.
- Mason is also looking at other programs including Digital Economics, TECH Education and Learning, Smart Cities, Health IT and others.
- The possibilities with regard to Mason's ADVANCE partnership with NOVA is very exciting.

Dr. Crawford then addressed the visitors' questions regarding the challenges and local community issues and concerns. Mason is participating in the discussions and meetings with local groups in Arlington and speaking with those groups about how Mason can help mitigate some of issues. Mason administrators will also be engaging its faculty in discussion on defining the School of Computing and the Institute of Digital InnovAtion.

IV. Presentation, Dr. Houman Homayoun, Associate Professor, Department of Electrical and Computer Engineering

*Towards Energy-Efficient and Secure Computing*

Dr. Homayoun presented the research on energy-efficient and secure computing being conducted in the Accelerated, Secure, Energy-Efficient Computing (ASEEC) Lab. ASEEC Lab receives funding from the National Science Foundation, Defense Advanced Research Projects Agency (DARPA), as well as industry (GM, Intel, etc.) and conducts a wide range of research projects including projects on Auto Tuning Big Data Frameworks, Hardware Security – Reverse Engineering, Architecture and System Security, and Machine Learning.

In addition, Dr. Houman described the Center for Hardware and Embedded Systems Security and Trust (CHEST). CHEST is a new NSF-Funded Cooperative Research Center. The Center includes researchers from six universities: George Mason, Northeastern University, University of Cincinnati, University of Connecticut, University of Texas at Dallas, and University of Virginia. Funding supports research projects that are selected to address industry needs in the area of embedded systems security. The research areas include hardware assurance, counterfeit detection, integrated circuit authentication, anti-reverse engineering and anti-tampering, secure communication protocols, formal verification, secure processor architectures, vulnerability analysis, infrastructure safety and resilience, and secure systems engineering. Over twenty faculty across the universities are involved in the research. The CHEST Planning meeting occurred in August 2018 with over 100 attendees from industry, research labs, FFRDCs, and universities from across the US. Dr. Homayoun presented a video from CNN showing just how real hardware security threats are.

V. Adjournment

Chairman Blackman asked if there was any additional business to be discussed. There was no additional business and Chairman Blackman adjourned the meeting at 11:46 am.

Respectfully submitted,



Rebekah K. Hersch  
Research Committee Secretary Pro Tem



# GEORGE MASON UNIVERSITY – THE COMMONWEALTH’S TECH GIANT

**Deborah Crawford, Vice President for Research  
Board of Visitors Research Committee  
December 12, 2018**



# Welcome, Amazon.

## We're Primed.

Congratulations, you've made a smart move.

Northern Virginia's booming knowledge economy brims with world-class talent, and Mason has been one of the architects, with **37,000 students**, three campuses, and a **top-tier research ranking**.

To make you feel at home, we'll more than double the number of computing students to 15,000. Mason is ready to deliver, right here on your doorstep.

Welcome, neighbor. We think you'll like it here.  
[amazon.gmu.edu](https://amazon.gmu.edu)



Washington Post, November 22, 2018

# *Projected Economic Impact of Amazon HQ*



Total Economic Impact in VA (2030): \$14.2 billion

Jobs (2030): 59,308

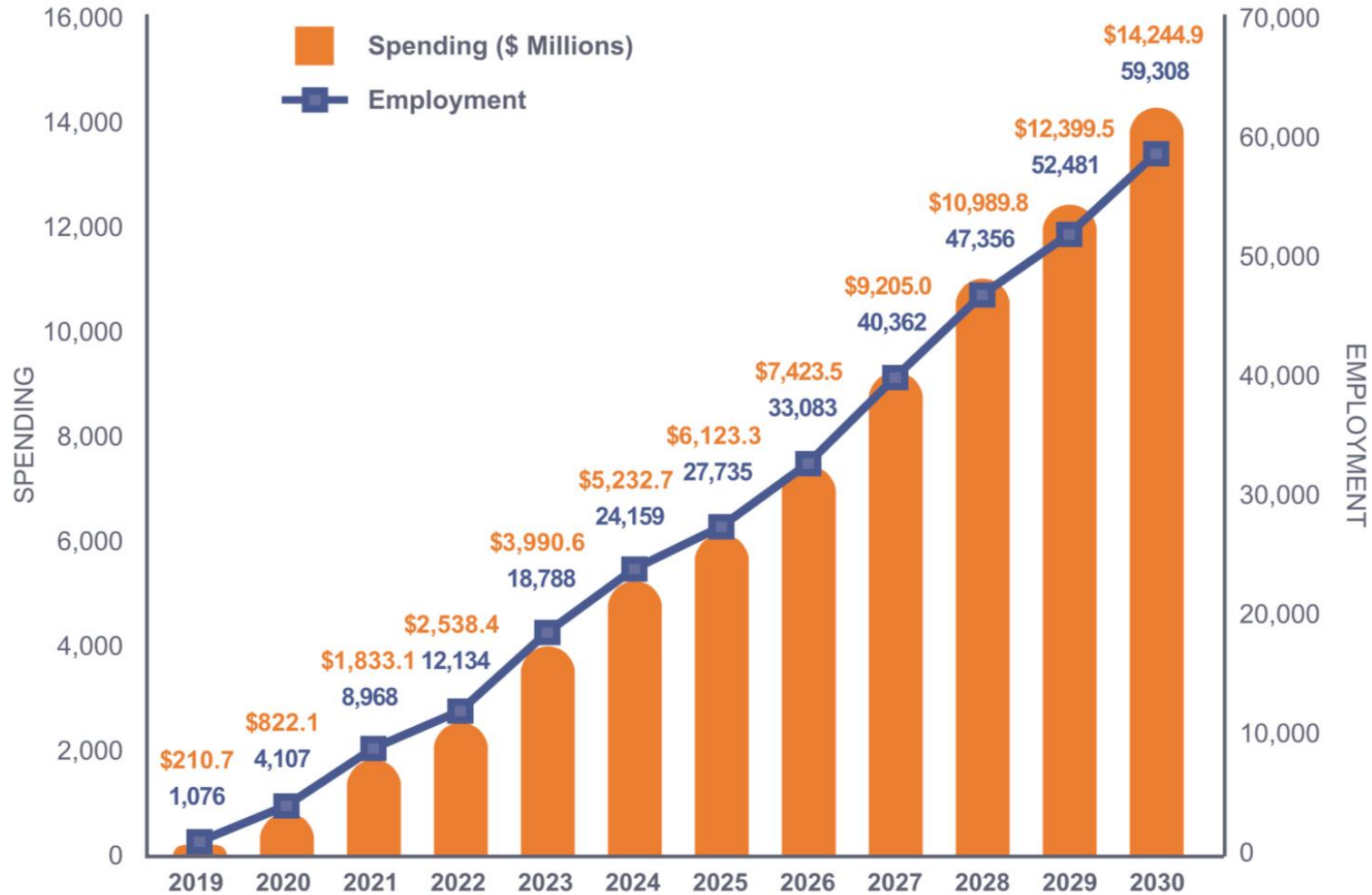
Total State Tax Revenues (2030): 346.7 million

Total State Tax Revenues (2019-2030): \$1.83 billion



# Combined Total Economic Impact of Amazon HQ in Virginia

(Capital Expenditures plus Operations)



Source: Chmura Economics & Analytics

# Timeline



VEDP  
Convenes VA  
HEIs to  
Discuss  
Amazon RFP  
Strategy

HEIs Provide  
VEDP with  
Capabilities  
Analyses

Amazon  
Announces  
Downselect  
to 20 Sites

VEDP Solicits  
Data to Guide  
VA  
Investments to  
Expand Degree  
Production in  
Computing  
Programs

Amazon Site  
Visit Team  
Visits No.VA

VEDP Solicits  
Refined Data  
from HEIs to  
Expand Degree  
Production in  
Computing  
Programs

Amazon  
Announces  
New HQs

# Mason's TECH Talent

~5,000 computing undergraduates - in computer science, computer engineering, information technology, systems engineering, cybersecurity engineering, and information systems and operations management

Largest TECH cohort BY FAR of any Virginia public institution - 2,000 more students than VT

~1,100 masters students in computing programs, the largest cohort of any Virginia public institution

**Mason committed to create the Commonwealth's first School of Computing, with plans to double computing enrollment to 10,000 at the undergraduate level and increase enrollment at the masters level to 5,000**



**Amazon HQ Higher Ed Incentive Package** to support Mason in-state student enrollment & graduation growth in computing at BS and MS levels (faculty recruitment and start-up packages, operating dollars for in-state students)

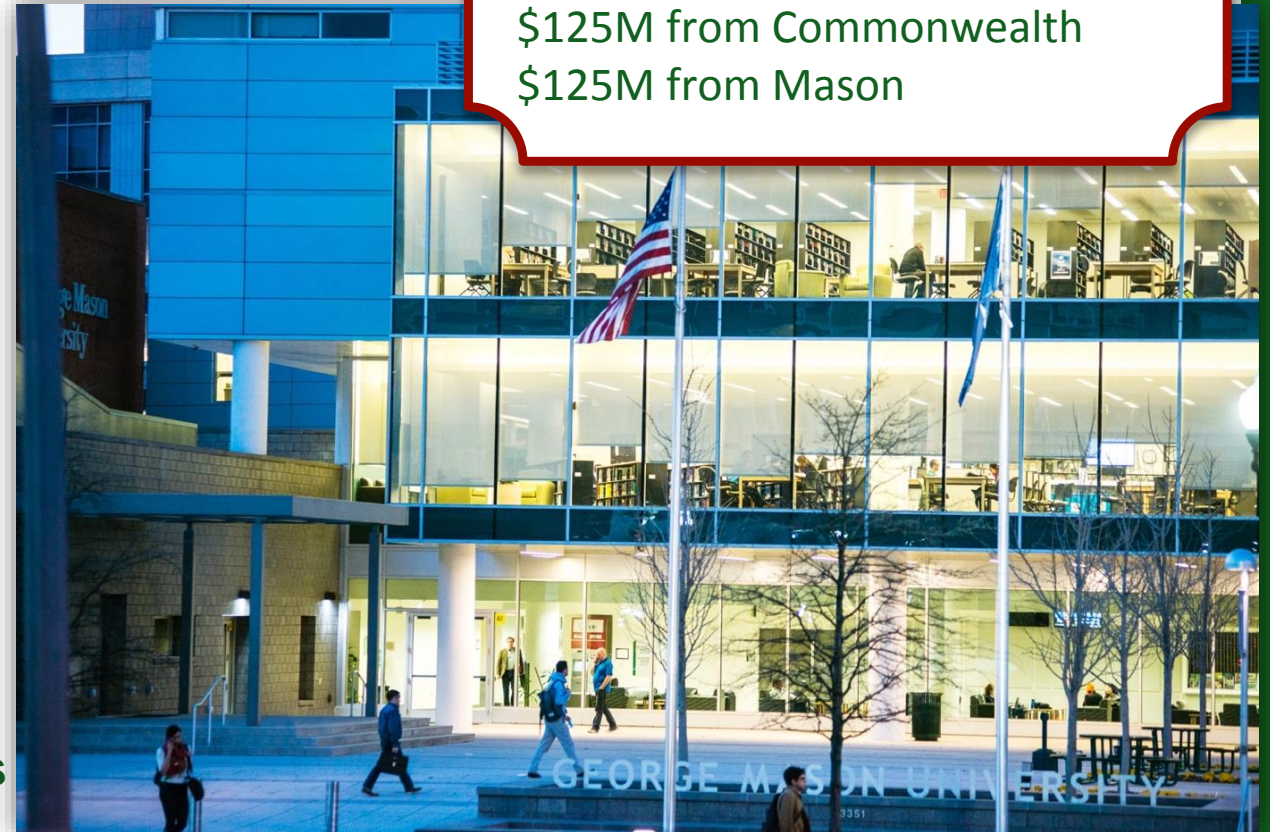
# Strategic Expansion of Arlington Campus

Launch new **Institute for Digital InnovAtion (IDIA)** and operate out of Arlington graduate campus a few miles from the new Amazon HQ

Add 400,000+ SQF IDIA tower in Arlington to house graduate education programs for its new **School of Computing**, as well as the Schar School of Policy and Government, the School of Business and the Scalia Law School, **creating the largest (7,500+ student) graduate campus in the Greater Washington Region**

**IDIA tower to house tech business incubator/accelerator programs, tech start-ups and established businesses, venture capital firms, and Mason faculty and student researchers and innovators, turbo-charging the tech innovation economy in the Greater Washington Region**

**Amazon HQ Higher Ed Incentive Package For IDIA Tower**  
\$125M from Commonwealth  
\$125M from Mason



# Planning for Growth

More than \$20 million annually in computing research expenditures in FY 19, with goal to reach \$50 million by 2024

Work with partners in the private sector to advance entrepreneurship and Virginia's high tech innovation economy

World class contributions in a range of fields, including Computer & Data Science, Internet of Things, Autonomous Vehicles, Cyber Security & Trust, etc.

as well as.....

Digital Economics, TECH Education and Learning, Smart Cities, Autonomous Organizations, Health IT, Computational Sustainability.....

## What is Computational Thinking?



# Partnership-Based Implementation

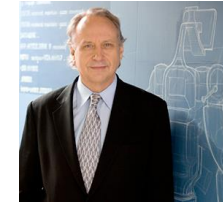
- Northern Virginia Community College (NOVA) - the Mason-NOVA ADVANCE partnership ensure Virginia students and their families have access to high quality, affordable education and high-paying tech career paths
- Partnerships with Marymount University, George Washington University, the University of Maryland College Park, the University of Maryland Baltimore Campus and our sibling institutions in Virginia to advance the tech innovation economy in the Greater Washington Region
- Coordination and collaboration with local and city government, community leaders, and the private sector, to enhance the quality of life for all Virginians



# *Working Together to Advance the Innovation Economy in Virginia and the Greater Washington Region*



# Amazon - Bezos Portfolio



Rodney Brooks



From Market Watch, 2018, <https://www.marketwatch.com/story/its-not-just-amazon-and-whole-foods-heres-jeff-bezos-enormous-empire-in-one-chart-2017-06-21>



# Towards Energy-Efficient and Secure Computing

**Houman Homayoun**

Accelerated, Secure, Energy-Efficient, Computing (ASEEC) Lab

Center for Hardware and Embedded Systems Security and Trust (CHEST)

George Mason University, Fairfax, VA

December 2018



# Accelerated, Secure, Energy-Efficient, Computing (ASEEC)

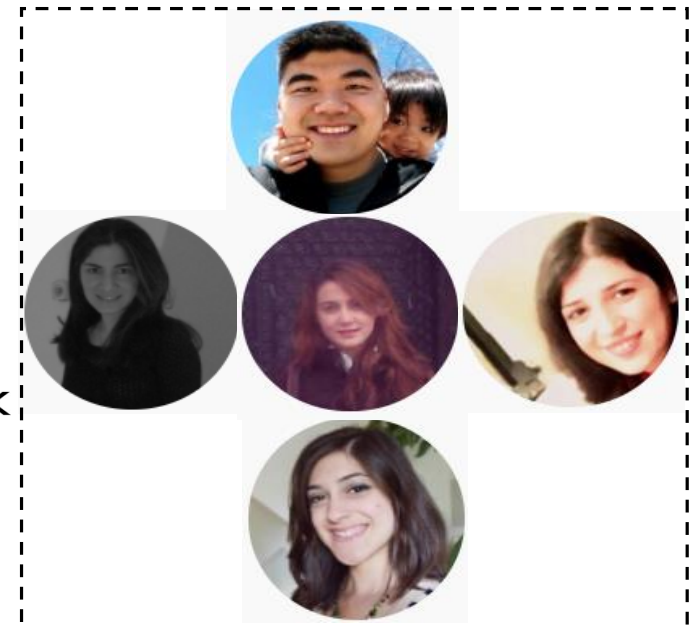
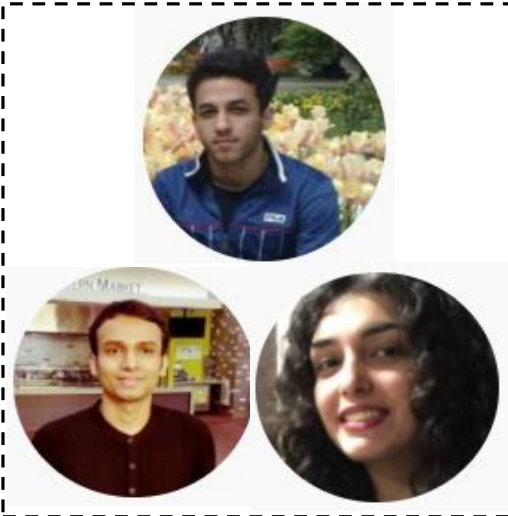
## Auto Tuning Big Data Frameworks



## HW Security – Reverse Engineering



## Adversarial Machine Learning LUT Obfuscation Fabrication



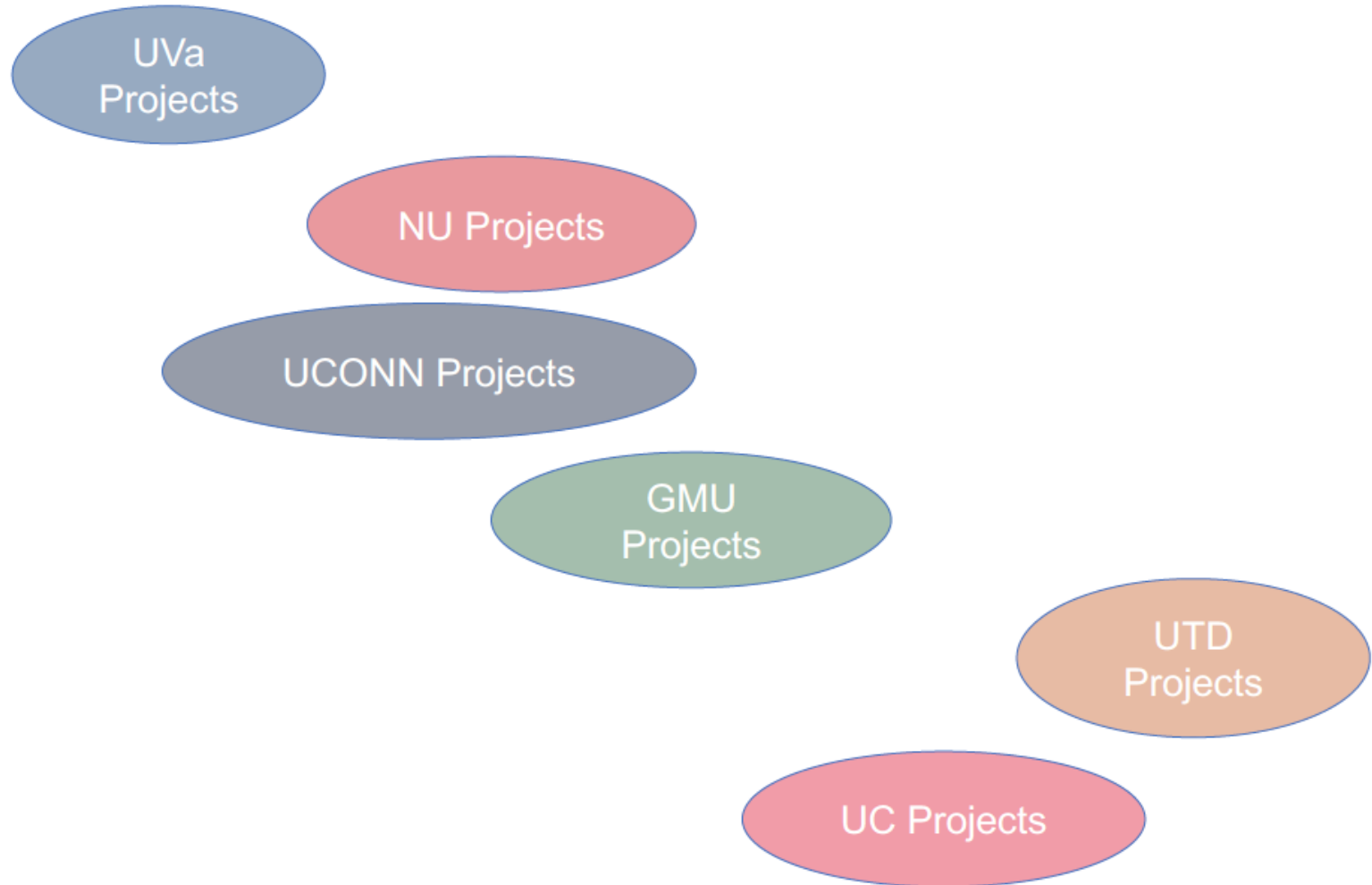
## Architecture and System Security



## Machine Learning Accelerator

# CHEST Research Topics

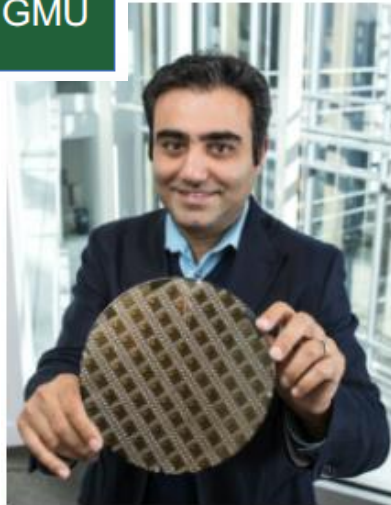
1. System/  
App
2. Arch/  
Board
3. Embedded  
Device
4. ASIC/  
FPGA
5. Circuit  
Dig / Analog / RF



# CHEST Team



Marty Emmert



Houman Homayoun



Yiorgos Makris



James Lambert



John Chandy



Yunsi Fei

# CHEST Planning Meeting (August 2018)



100+ participants

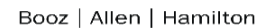
- 6 member universities
- 32 companies
- 4 government research labs
- 4 industry research labs



# CHEST Meeting Attendees



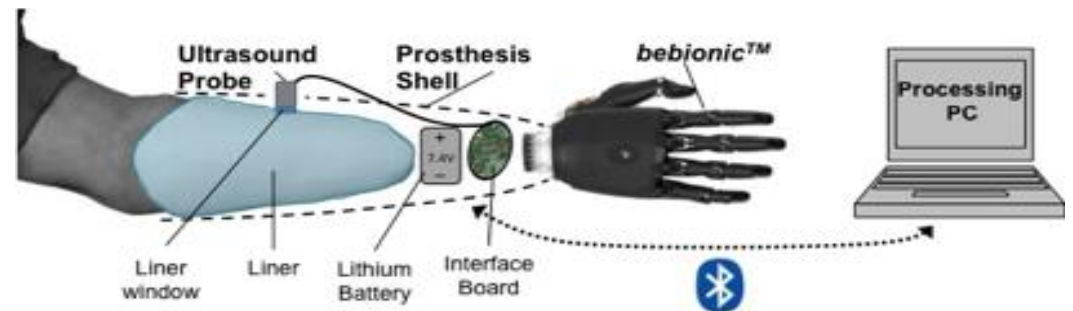
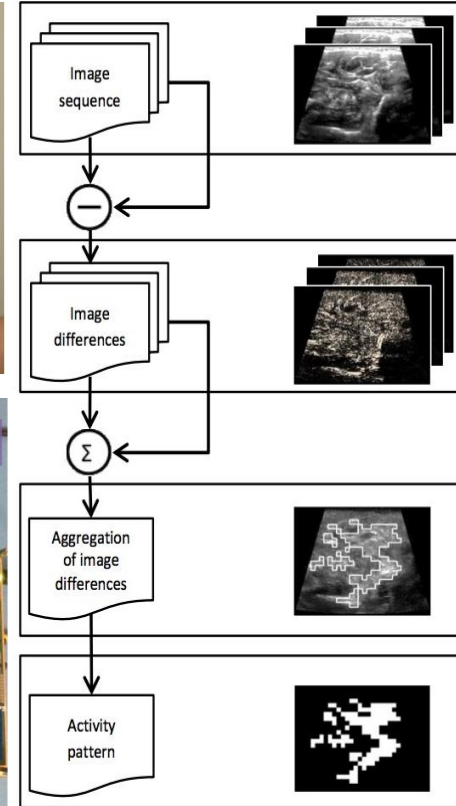
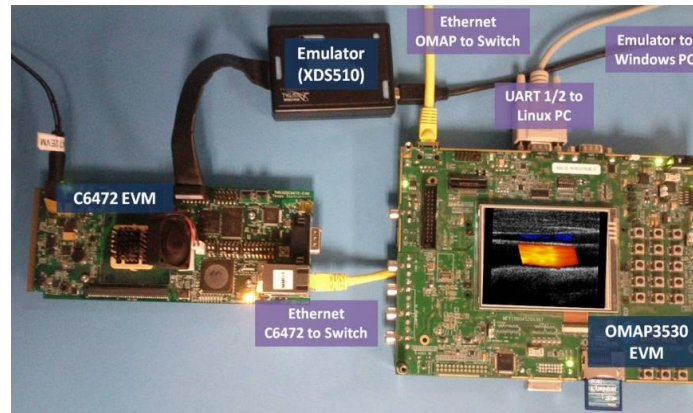
## NSF: CHEST IUCRC Planning Grant Meeting



**ASEEC Lab Research**  
**Energy-Efficient Computing**

# NSF-CPS: A Novel Biomechatronic Interface Based on Wearable Dynamic Imaging Sensors

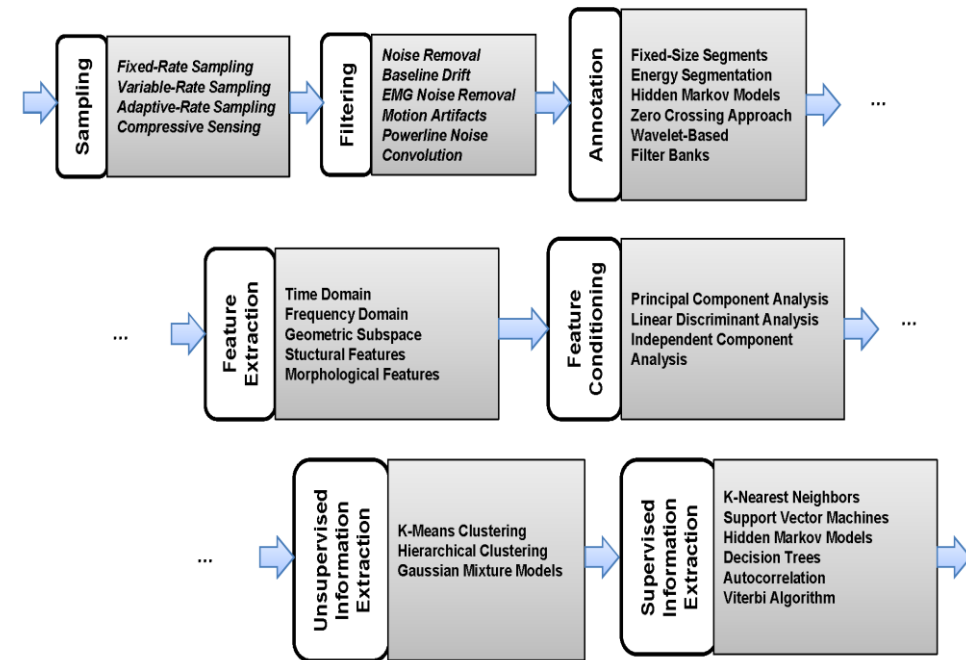
- Recognizing human functional activity & controlling prosthetic devices
  - Learn and predict different dexterous tasks based on sonographic patterns of muscle activity
  - Develop a wearable image-based biosignal sensing system by integrating multiple ultrasound imaging sensors with a low-power heterogeneous embedded processor





# NSF-CNS: Heterogeneous Accelerators for Biomedical Data Computing

- Build the foundation of the next generation of biomedical signal and imaging processing platforms
- Implement an accelerator architecture in hardware
- Power Efficient Nano Clusters (PENC)
  - multi-channel seizure detection, multi-physiological stress detection and stand-alone tongue drive system (sTDS)
  - 21 GOPs and energy efficiency of 4 GOP/J



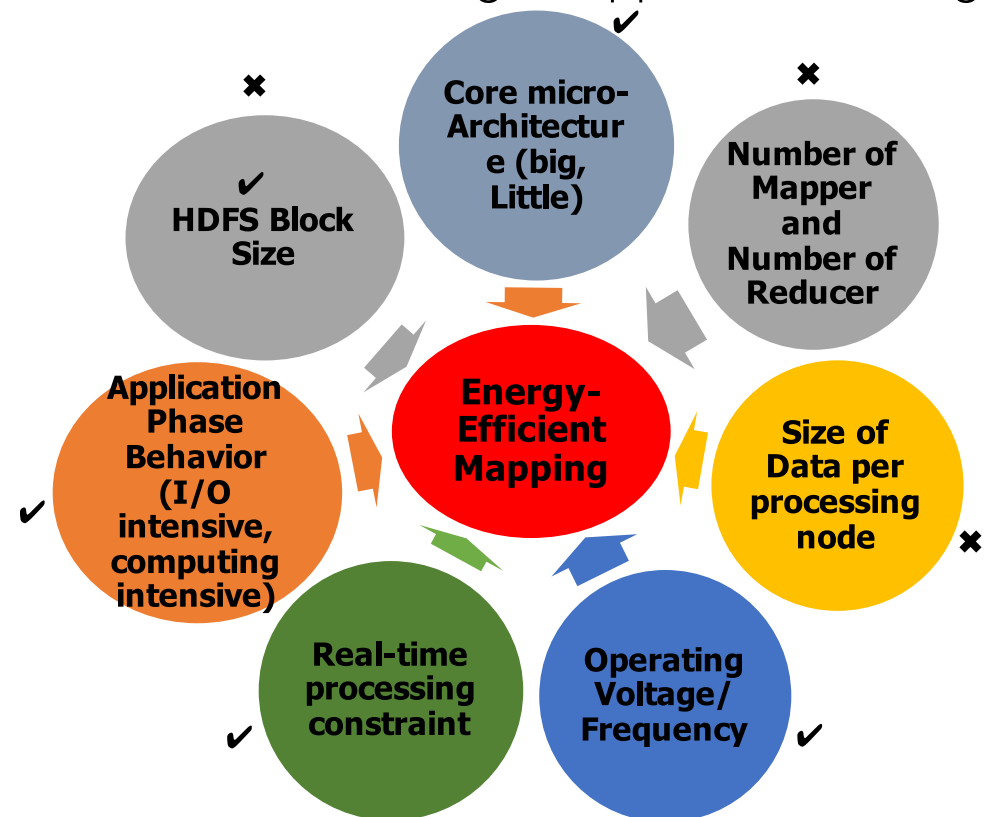
**Best Paper Award at GLSVLSI 2016**



# NSF: Auto-Pilot Computing: Auto Tuning, Mapping, and Co-scheduling Data-Intensive Applications for Energy-Efficiency

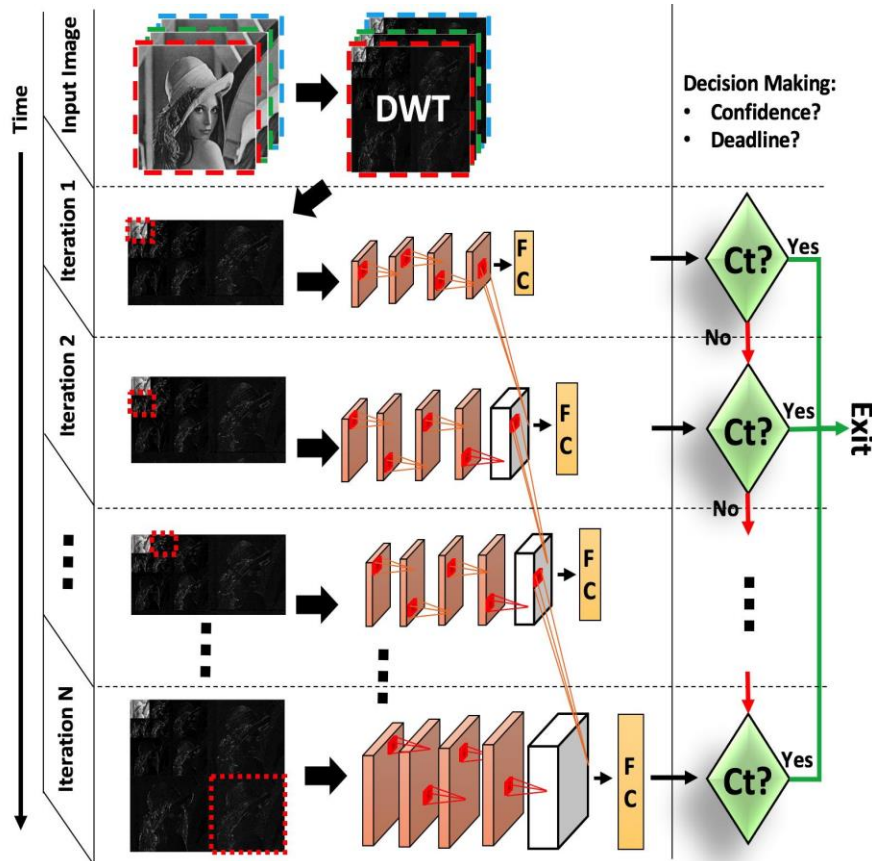
- Emerging big data frameworks such as Spark, Tez, Flink, and Petuum are complex
- Many tuning parameters at the software layer
- Interdependency with other tuning parameters at the system and architecture level

Parameters influencing ML applications Tuning

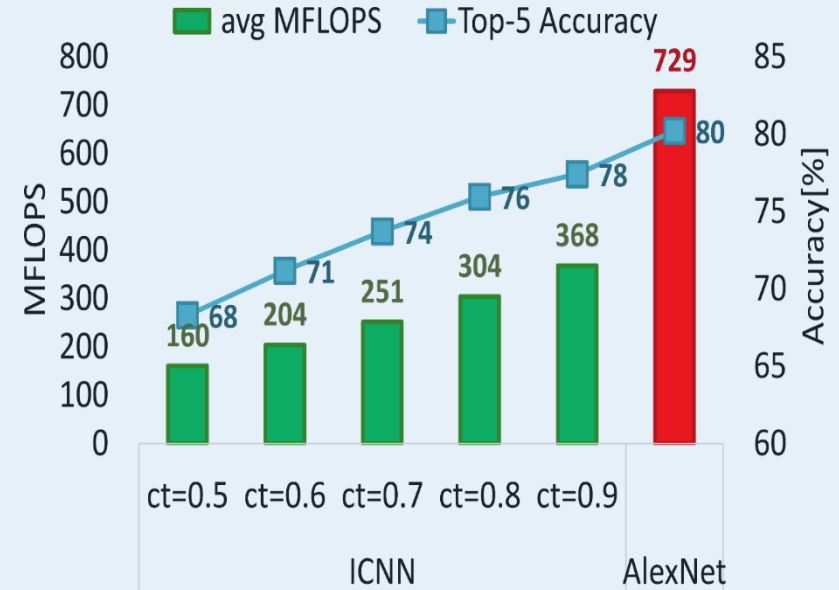


✓ all applications (conventional and big data) ✗ Big data specific

# NSF CNS: Evolution of Computer Vision for Low Power Devices, Breaking its Power Wall and Computational Complexity



Iterative Version of Alexnet



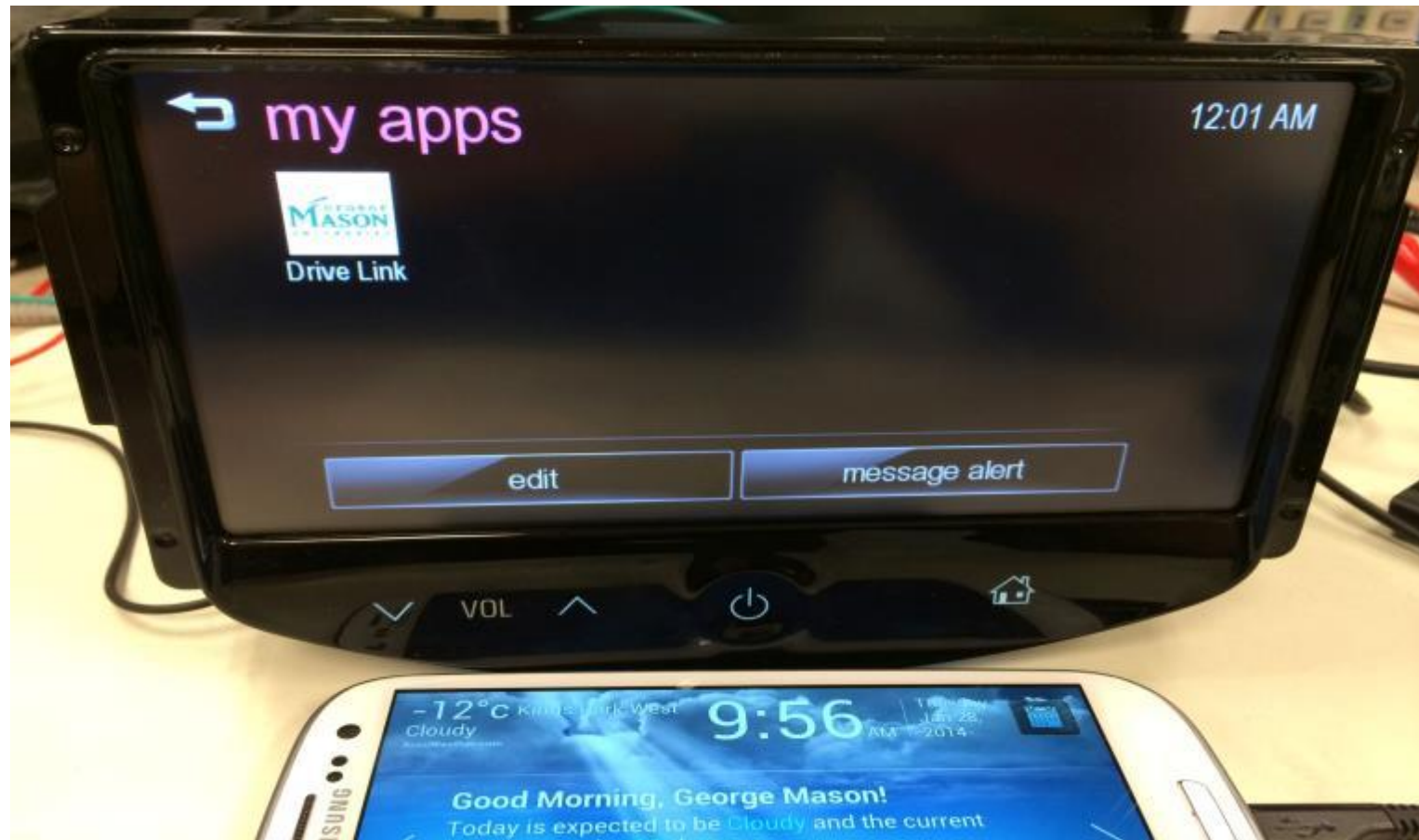
Weights	AlexNet	u-CNN						
		1	2	3	4	5	6	7
CONV1	35K	8.7K	8.7K	8.7K	8.7K	8.7K	8.7K	8.7K
CONV2	307K	38K	38K	38K	38K	38K	38K	38K
CONV3	885K	55K	55K	55K	55K	55K	55K	55K
CONV4	663K	41K	41K	41K	41K	41K	41K	41K
CONV5	442K	13.8K	13.8K	13.8K	13.8K	13.8K	13.8K	13.8K
FC1	38M	1.2M	2.4M	3.5M	4.7M	11.8M	14.1M	32M
FC2	17M	1M	1M	1M	1M	4M	4M	17M
FC3	4M	1M	1M	1M	1M	2M	2M	4M
Total	61M	3.4M	4.6M	5.8M	6.9M	19M	20M	54M

DATE'18, FCCM'18 and '15, IEEE Big Data'15

**ASEEC Lab Research**  
**Computer System Security**

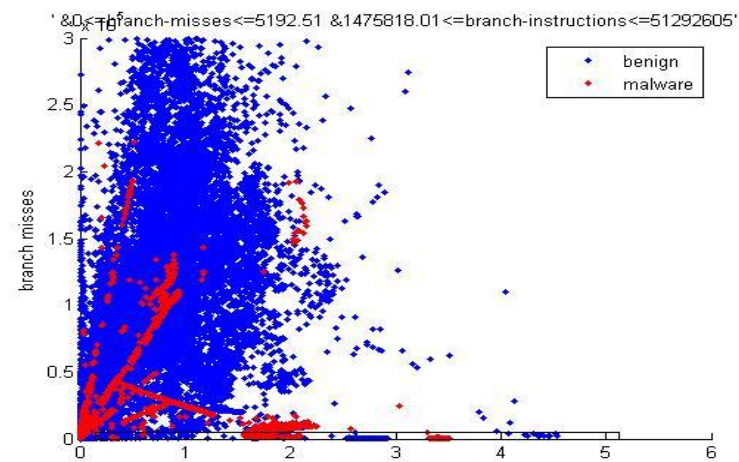
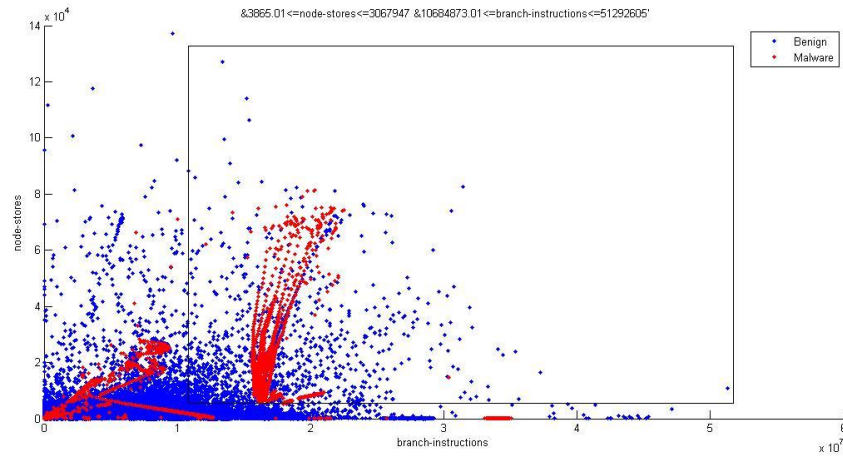
# GM: Enhancing the Security in Embedded Automotive Systems

- MirrorLink App Reverse Engineering
  - Decompiling DriveLink app to .Smali code and xml files (apktool)
  - Modification of DriveLink App, Head Unit accepts modification



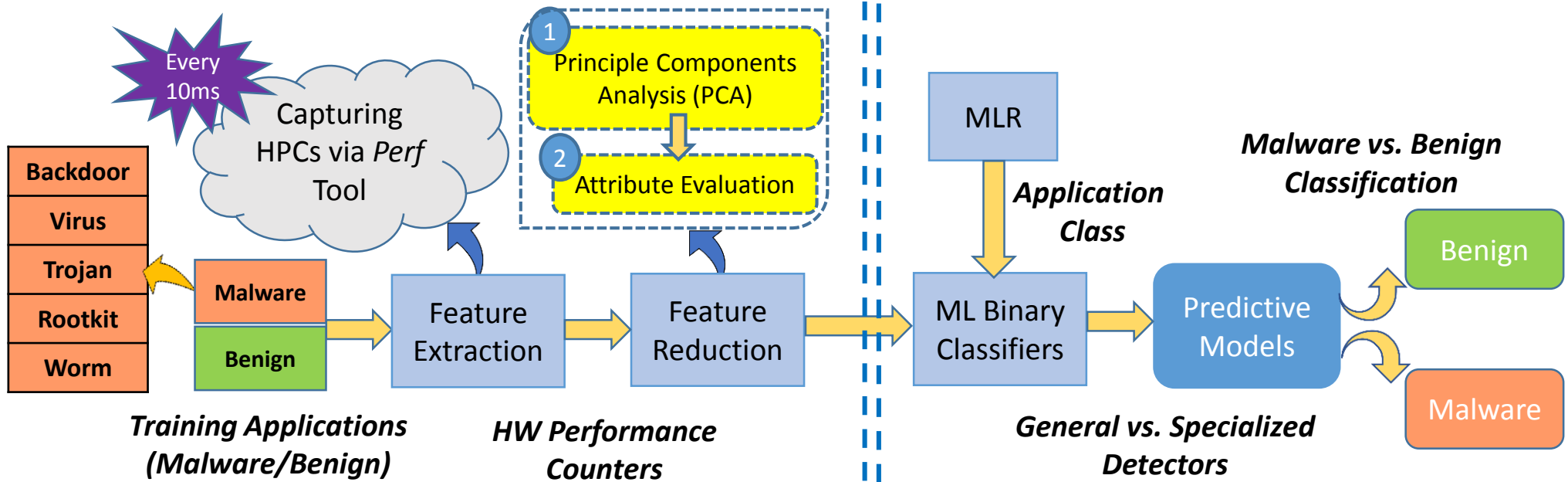
# DARPA SSITH: Detecting Malware Using HPC and Machine Learning

- Go back to the HW: Inspect the traces applications leaves on the HW



## Data Collection Process

## Malware Detection Process

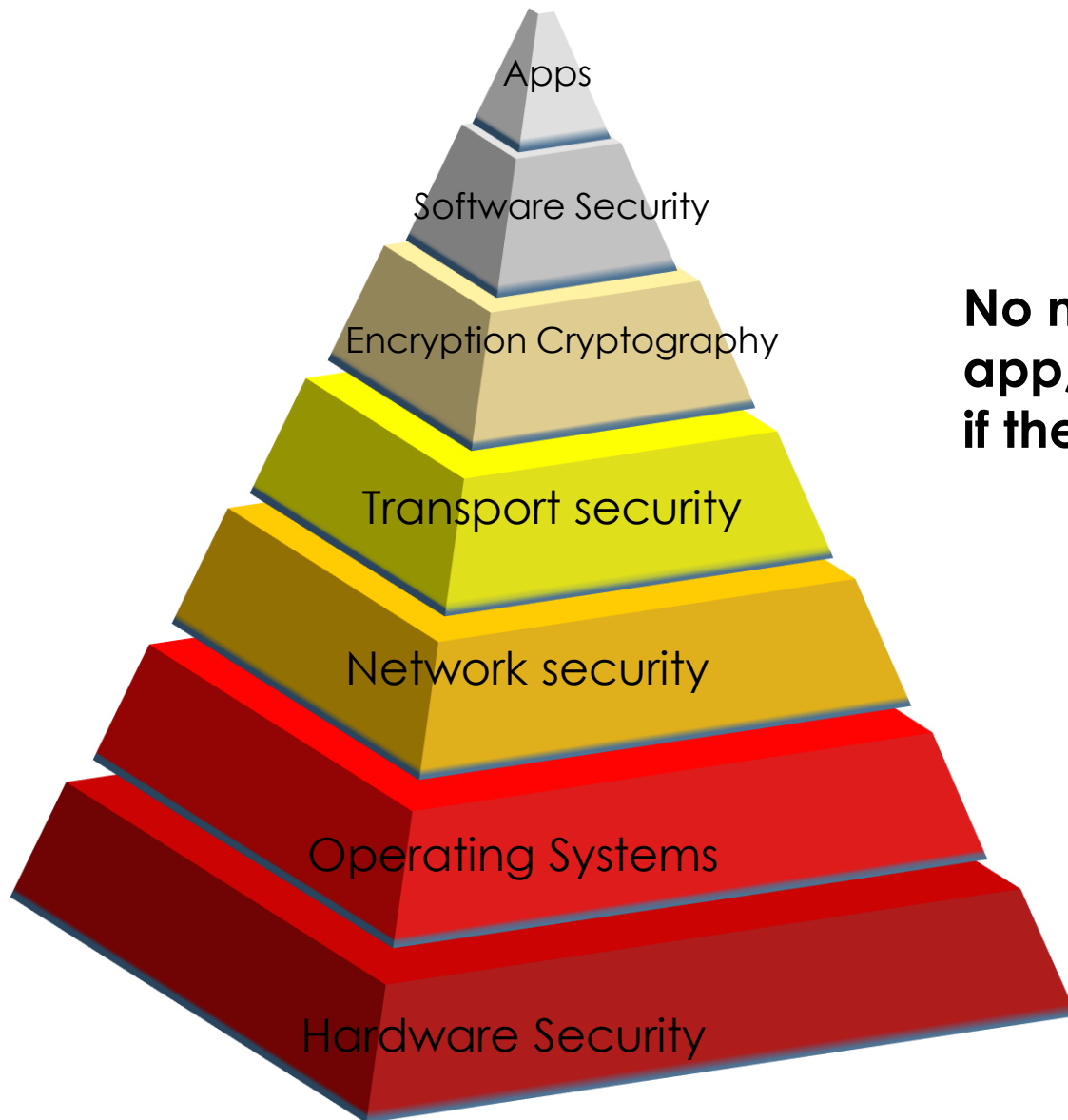


**ASEEC Lab Research**

**Hardware Security**

# Why Hardware Security?

- Security is built as multilayer foundation encompassing a protected asset
- Hardware is at the foundation



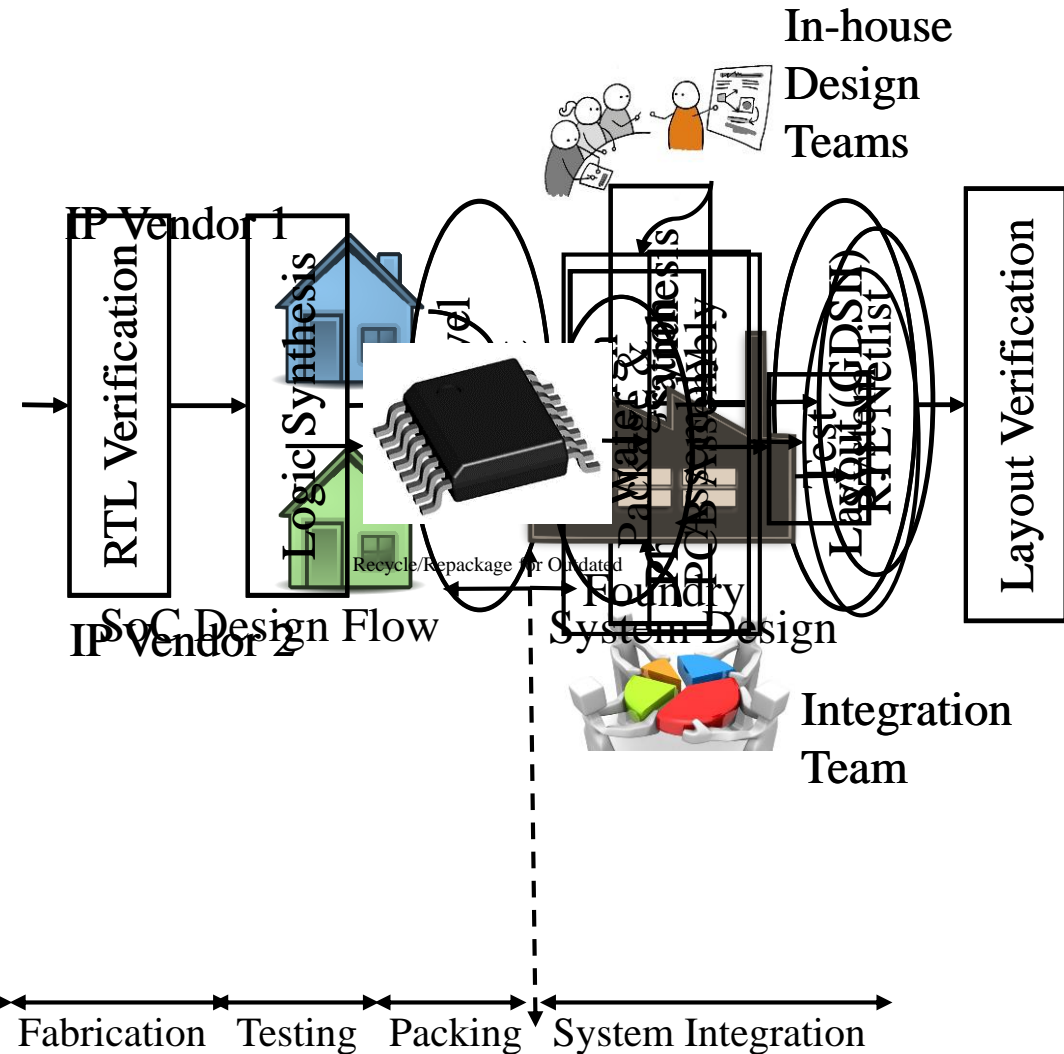
**No matter how secure your system is at app, software, network and other layers, if there is no secure hardware**





# Hardware Security – IC Design Flow

- ▶ IC (SoC) Design Flow
  - ▶ Design
  - ▶ Synthesis & Verification
  - ▶ Fabrication
  - ▶ Testing
  - ▶ Packing
  - ▶ System Integration



# Hardware Security – Why Today?

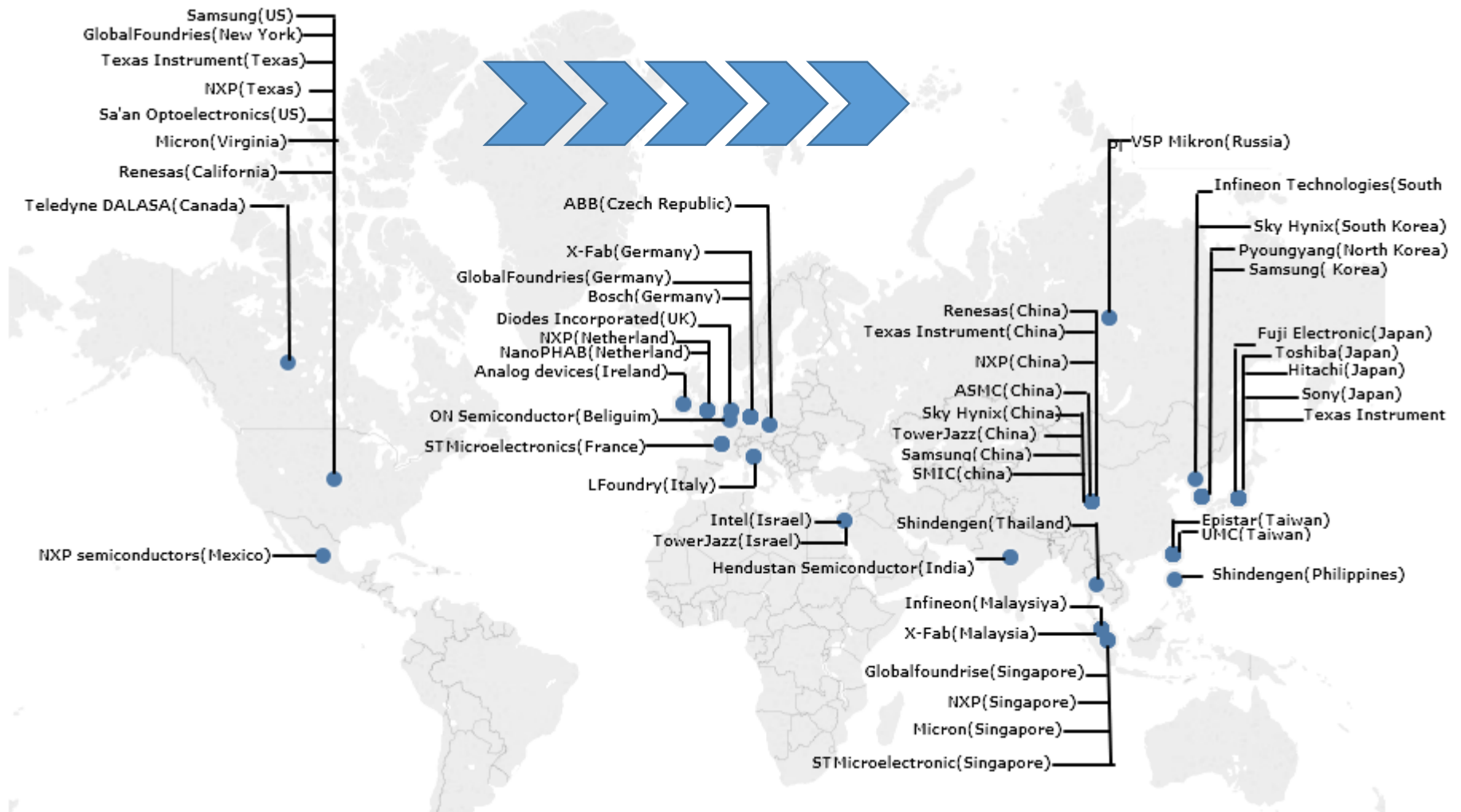
- ▶ ICs become more complex compared to decades ago
  - ▶ In the past, IC design and fabrication typically handled by the same entity, not anymore!
- ▶ Fab cost 5~10+billions, third party fab facilities
- ▶ High Cost of Manufacturing in ASIC<sup>1,2</sup>
  - ▶ Making Major U.S. High-Tech Companies Fabless!
    - ▶ AMD, Broadcom (Avago), Marvell, Nvidia, Qualcomm, ...

**Using untrusted facilities technology including  
fab, third party designs, test and etc**

[1] DIGITIMES, “Trends in the global ic design service market,” online <http://www.digitimes.com/news/a20120313RS400.html?chid=2>

[2] U. Guin, D. Forte, and M. Tehranipoor, “Anti-counterfeit techniques: From design to resign,” in *2013 14th International Workshop on Microprocessor Test and Verification*, Dec 2013, pp. 89–94.

# Global Foundry Map



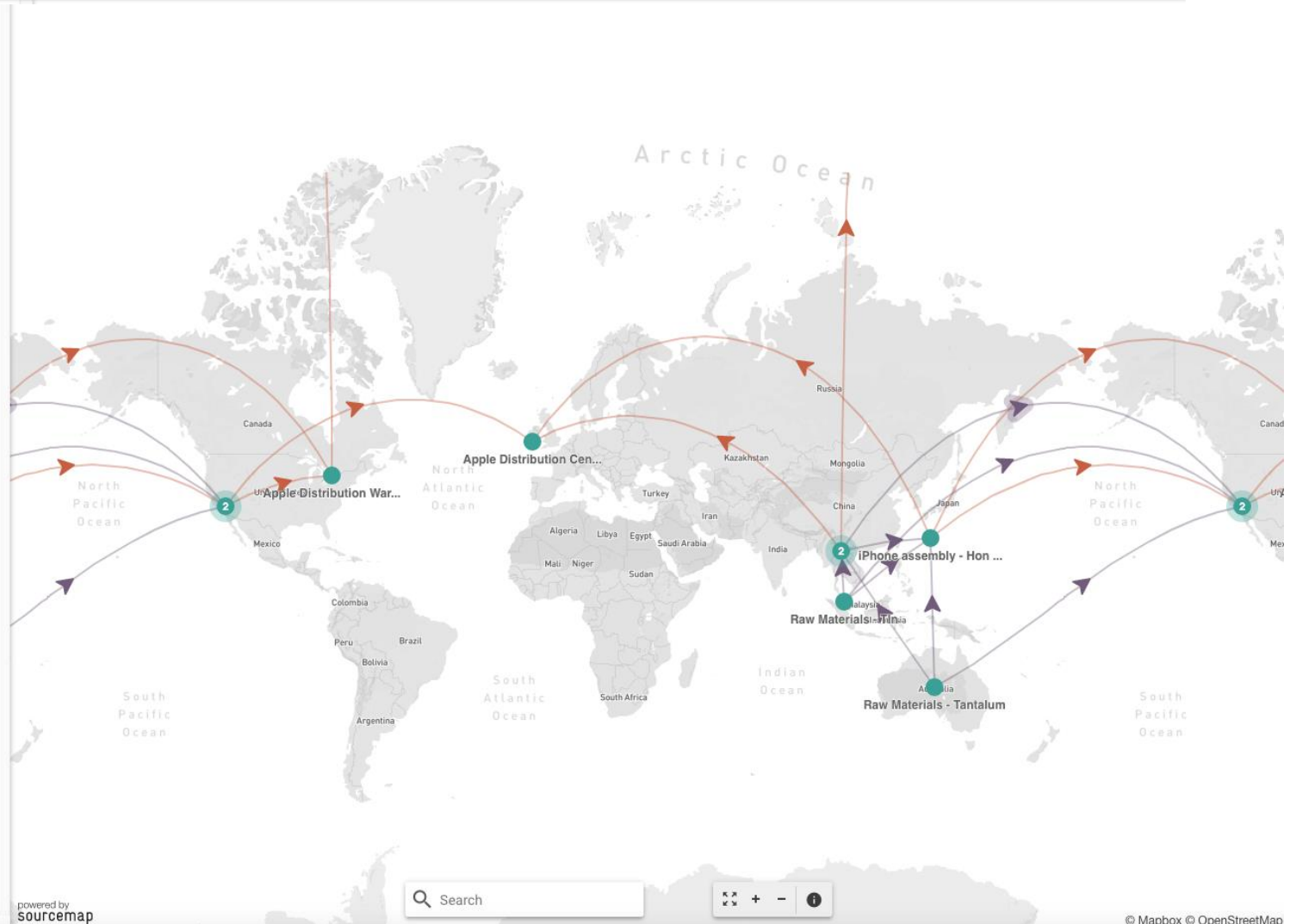
# Intel and Apple Fab-Assembly-Test map

## Apple

Created on June 2, 2013 by bradyhicks36 on free.sourcemap.com: The electronics company Apple' supply chain will be broken down, specifically focusing on their iPhone production.

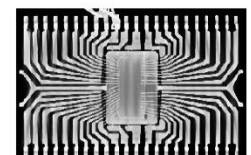
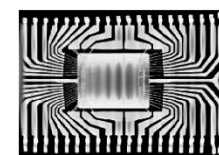


From the SourceMap Archive created 5 years ago



# Hardware Security Threats

- ▶ **Huge Shift in Design Paradigm - Globalization Came to Rescue**
- ▶ Using Untrusted Off-shore Fabrication
- ▶ Introducing Security Threats into the Supply Chain
  - ▶ Trojan Insertion
  - ▶ Overproduction & Intellectual Property (IP) Theft
  - ▶ Reverse Engineering (RE)
  - ▶ Counterfeiting

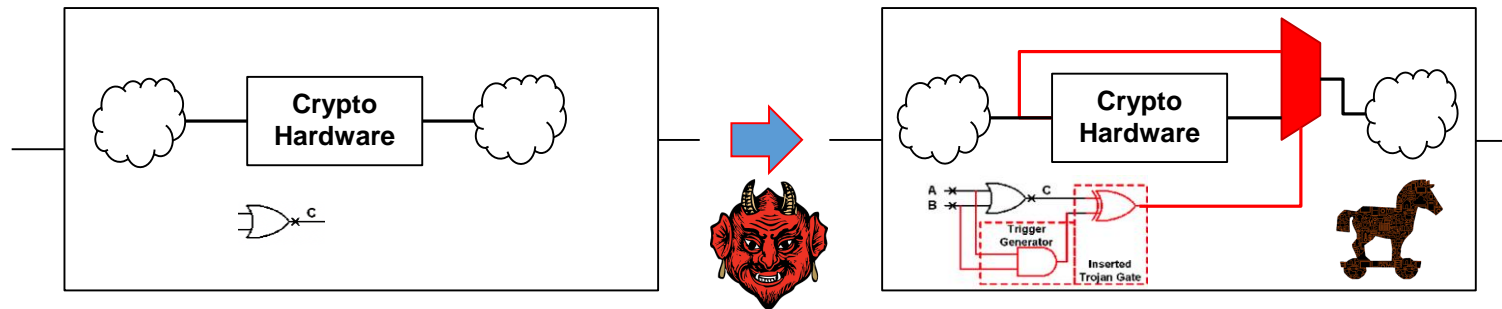


Is this real!?

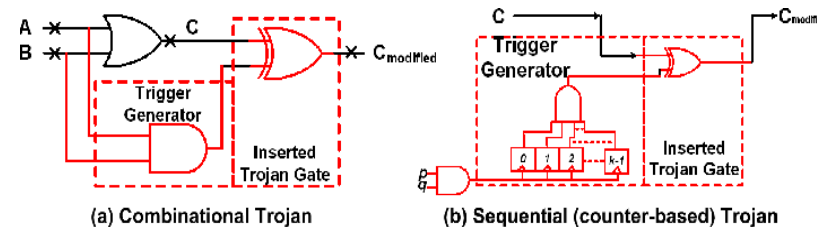
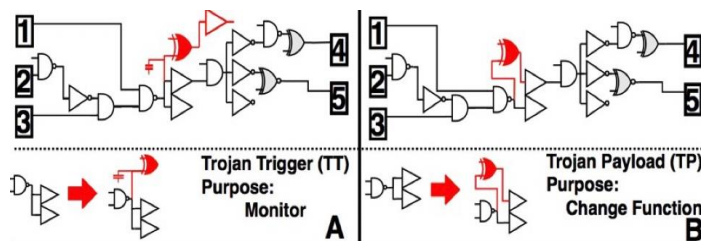


# DARPA OMG: HW Trojan Detection

- **Definition:** a malicious addition to modify or observe a circuit's functionality.



- **Trojan Trigger:** a set of combinational signals, or a sequence of events that activated the Trojan
  - By relying on rare events, the Trojan could skip detection at functional test time.

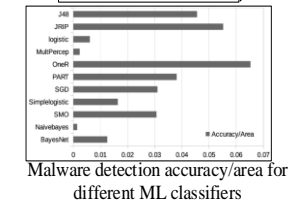
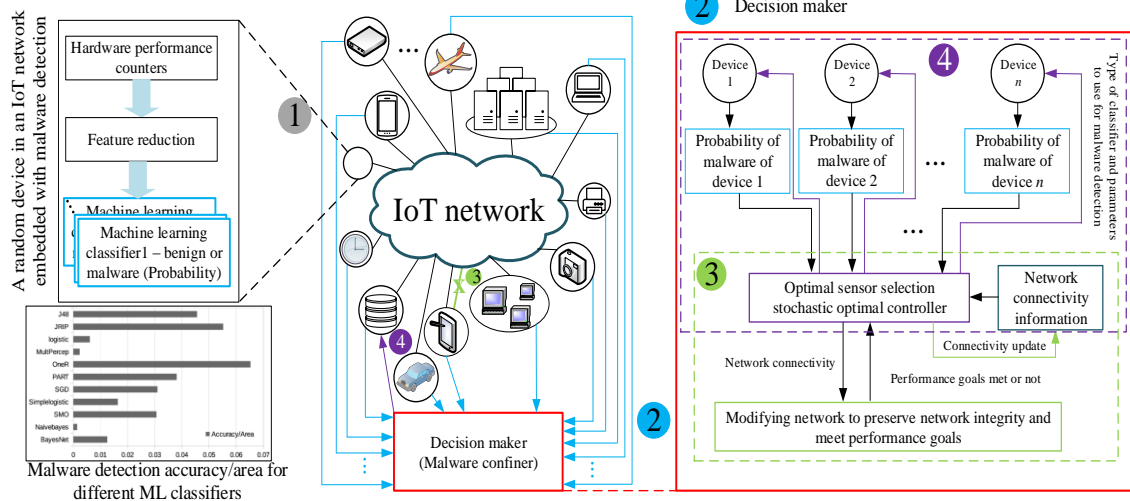
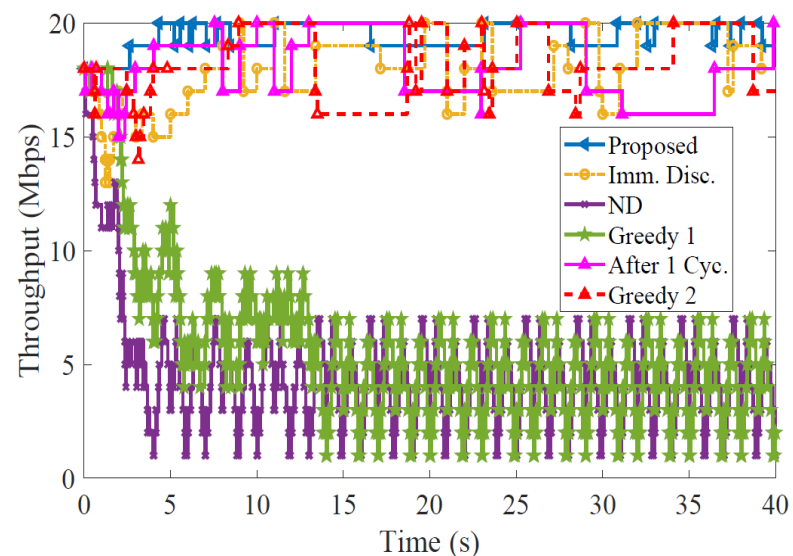


## Detection Methods:

- Functional Testing
- Side Channel Testing (Delay, Dynamic Power, Leakage Power)
- Our solution: Using Convolutional Neural Networks

# DARPA SSITH: IoT Malware Propagation and Confinement

- An infected node in IoT can infect whole network
- In addition to detection, confinement is non-trivial
- Isolating infected node is not effective and can hobble performance
- **Challenges:** a) None of the epidemic control works consider performance constraint; b) No malware detection works consider confinement and has no perfect yield
- **Solution:** Depending on the malware propagation estimate and node-level infection information are combined and formulated as a stochastic optimal control problem and solved



Technique	Proposed	Imm. disc	After 1 cycle	No disc	Greedy 1	Greedy 2
Throughput (Mbps)	596.05	460.96	418.9	182.14	310.63	243.22
# of infected nodes (avg)	1.27	2.48	3.32	-	14.79	2.71

- Proposed technique keeps performance under bounds when confining malware
- Throughput as well as infected nodes are reduced



# DARPA SHEILD: Logic Obfuscation to Prevent Reverse Engineering

## Defenses!

### EPIC, 2009

- Adding Random-based XOR/XNORs gates

### FPGA Barriers, 2010

- Hiding inside FPGA (SRAM) LUTs

### Strong Locking (SLL), 2012

- Using Interference Graphs + less observable/Controllable

### STT-based LUTs, 2016

- Using Non-Volatile STT-based LUTs
- No Overhead

### SARLock, 2016

- using Flip-based Structure
- At-most one Wrong Key for each DIP

### Anti-SAT, 2016

- Adding Custom Logics to Flip Outputs
- At-most one Wrong Key for each DIP

### And-Tree Insertion, 2016

- Adding And-Trees for Flipping the Outputs!
- At-most one Wrong Key for each DIP

### Cyclic Obfuscation, 2016

- Adding Loops in the Circuit

### Camoperturb, TTL, 2017

- Adding Custom Logics to Flip Outputs
- At-most one Wrong Key for each DIP

### HARDCycle Obfuscation, 2018

- Adding Hard Cycles + Non-removable Cycles
- No Vulnerable against Attacks!

### STT-based LUT Specified

### Placement Obfuscation, 2018

- Using Placement Methodologies for defending against Different Attacks
- No Vulnerable against Attacks!

## Attacks!

### Attacks to Outsourced Fabricated ICs

- Before 2008
- IP Piracy
- Overproduction
- Counterfeiting
- Reverse Engineering

### Sens/Justif, 2012

- Using Sensitization + Justification

### SAT, 2015

- SAT-based De-obfuscation
- SAT-based De-camouflaging

### SPS, 2016

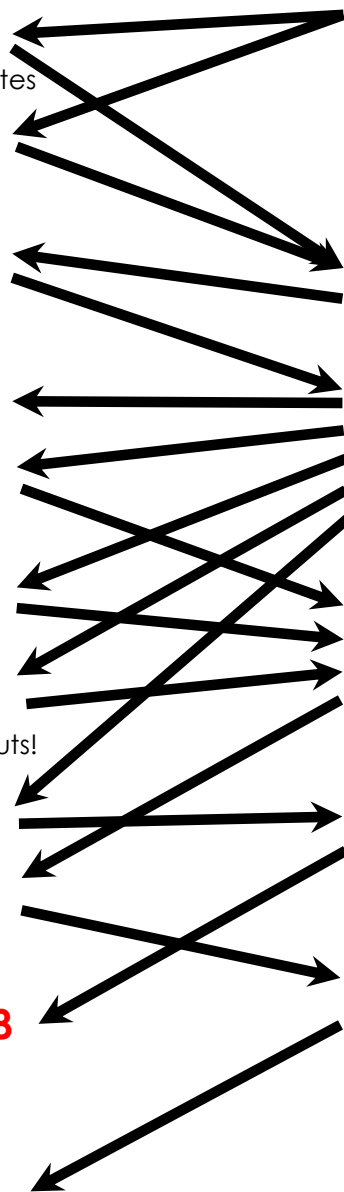
- Using Signal Probability Skew (SPS)
- Can detect Flip-based Circuit + remove it
- Obtain Original Circuit

### CycSAT, 2016

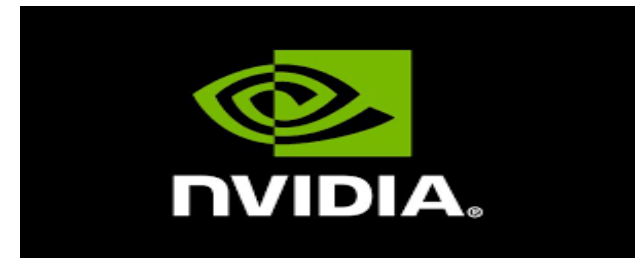
- Modifying SAT for Detecting Loops
  - Delete or Ignore the Loops

### Approximate-based Attacks, 2016-2017

- Appsat, Double-DIP, Approximate Investigation
  - Finding the application of Keys
    - SAT keys or Traditional keys
  - Find Traditional Keys! then SPS or Bypass!



# Sponsors



**GEORGE MASON UNIVERSITY  
BOARD OF VISITORS**

**Finance and Land Use Committee Meeting  
February 27, 2019**

**AGENDA**

- I. Call to Order
- II. Approval of Minutes for December 12, 2018 (**ACTION**)
- III. Strategic Matters
  - A. Commonwealth Budget Update
  - B. FY 2020 Room and Board Rates (**ACTION**)
  - C. Debt Policy Compliance (**ACTION**)
  - D. Tier 2/Tier 3 Discussion
  - E. Online Graduate Program Tuition Proposal (**ACTION**)
- IV. Capital Budget Matters
  - A. Capital Projects Authorization – Arlington Original Building (**ACTION**)
- V. Adjournment

Appendix: Capital Projects Review (Stoplight)

GEORGE MASON UNIVERSITY  
FINANCE & LAND USE COMMITTEE  
BOARD OF VISITORS

**MINUTES**

December 12, 2018

11:55 a.m. – 12:50 p.m.

Merten Hall, Room 1201, Fairfax Campus

**PRESENT:** Rector Davis; Vice Chairman Blackman; Visitors Cumbie, Hazel, Moreno, Reagan, Rice, Turner Roth; President Cabrera; Interim Senior Vice President Calhoun; Vice President for Facilities Strike; Faculty Senate Chair Renshaw; Faculty Representative Galloway; Student Representative Keatinge; Secretary *pro tem* Lagos.

**I. Call to Order**

Vice Chairman Blackman convened the meeting at 11:55 a.m.

**II. Approval of Minutes**

Vice Chairman Blackman welcomed the committee and requested a **MOTION** to approve the minutes of the October 10, 2018 meeting as presented. It was so **MOVED** by Visitor Rice. **MOTION CARRIED UNANIMOUSLY.**

**III. Strategic Matters**

**A. FY 2020 Financial Outlook**

Vice Chairman Blackman welcomed back Tom Calhoun and expressed appreciation and gratitude to him, on behalf of the entire Board, for serving as the Interim Senior Vice President for Administration and Finance. He also recognized and thanked Shernita Rochelle Parker who is serving as Interim Vice President of Human Resources and Payroll and Carol McGinnis who is serving as the Interim Controller.

Mr. Calhoun provided an update on the FY 2019 operating and capital budget. He then briefed the committee on key budget assumptions critical for development of the FY 2020 financial plan, and reviewed the process for setting tuition rates in May. He referenced slide 5 (FY 2019 Revenue Budget \$1.06B) which shows that more than half of revenue is enrollment-related. Other revenue sources include state support, philanthropy and research. Referencing Slide 6 (FY 2019 Expense Budget \$1.06B), Mr. Calhoun reported that our enrollment-related expenses are ~ 75%.

Mason student head count is currently at ~37,000 and is indicative of very steady growth and a very strong enterprise. We are moving steadily towards our Smart Growth goal of 43,000. Mason's student population is made up of 80% in-state and 20% out-of-state (80/20). Our goal is to move towards 75/25 without decreasing the number of our in-state students.

Mason will explore ways to support enrollment growth, and the challenges that come with it, specifically space and utilization, classrooms and residence halls. The City of Fairfax greenlighted a project by Capstone Collegiate Communities to build a facility in the City of Fairfax (downtown) for 825 students. This alternative housing plan is a first for Mason. Our continued partnership with the city is pivotal to our future and to meeting space demands.

Mr. Calhoun discussed key budget assumptions for FY 2020 including compensation, program investments, strategic initiatives, and utilities and contract escalation. Other budget drivers include IT Infrastructure, and undergraduate student financial aid. Total new expenses range from \$32-\$35M. We expect to see in the Governor's budget \$11-13M in new revenue, which leaves an estimated budget gap of \$20-24M. The Board will be presented the tuition rate proposal at the May meeting.

#### **B. Room and Board Rates Preview**

Mr. Calhoun briefed the committee on the rate-setting process and proposed changes to room and board rates for FY 2020. Final proposed room and board rates will be provided in their entirety to the Board for discussion and approval at the next meeting on February 27, 2019. Students are provided proposed rates prior to Board approval (in January) so they may determine their level of interest in living on-campus, and the type of room and meal plan they would like to select. Our Housing & Residence Life and Mason Dining are self-sustaining entities without any Commonwealth or tuition support. Mason is looking at a Room & Board rate increase of between 2-3% which is in line with past increases.

### **IV. Operational Issues**

#### **A. Schematic Design Review for IABR Clean Room (ACTION)**

Under delegated capital authority procedures adopted by the BOV, staff shall present all capital projects to the Board at the conclusion of the Schematic Design phase. Vice President of Facilities Frank Strike reported the IABR Clean Room is on track and will move forward with construction in February 2019 with an estimated completion date of February 2020. Vice Chairman Blackman requested a **MOTION** to recommend the Board of Visitors approve the University's schematic design for the Institute for Advanced Biomedical Research (IABR) Clean Room as outlined in the Board Book. It was so **MOVED** by Visitor Cumbie. **MOTION CARRIED UNANIMOUSLY.**

#### **B. Core Campus Project Update**

Facilities Program Director Cathy Pinskey provided the committee with a comprehensive update on the Core Campus Project – the replacement of Robinson Hall and a utility infrastructure upgrade. Ms. Pinskey began with a review of the budget and schedule for the replacement of Robinson Hall. She reported that the new academic building, slated for completion in the spring of 2021, will be a state-of-the art, six-story, 218,000 square-foot structure with 27 classrooms, workplaces, meeting rooms and community space. The project is 98% state-funded with ~\$2M funded by Mason. In June 2018, the budget was finalized at \$119M. Mr. Calhoun noted that we were successful in receiving 7% additional

funding due in large part to our collaboration with the Department of Planning and Budget. The majority of the design work has been completed and we are on target to finish needed permitting at the end of January 2019. The initial phase of construction will include the demolition of Robinson "A" Building, scheduled to take place over Winter Break and will finish in early February 2019. Construction of the new building will begin early March 2019. The much-needed underground utility work will upgrade the university's heating and cooling systems with completion by the end of Fall 2021. The budget for the utility upgrade was finalized in May 2018 at \$51,539,000 – 43% State and 57% by Mason.

#### **V. Police and Public Safety Update**

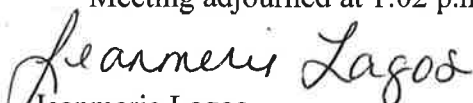
Chief Carl Rowan provided a brief overview of the Department's major initiatives. A key priority for 2019 is Crisis Intervention Training (CIT) for officers, a program designed to teach officers how to de-escalate challenging situations. Emergency first aid training is also a priority. Chief Rowan introduced Lt Tom Bacigalupi who, over the past year and a half, has brought four people back to life who suffered cardiac arrest at EBA through use of CPR.

Chief Rowan is currently working with University Life to create the Community Policing Council (CPC) comprised of key campus stakeholders to improve communications with the Mason Police. The entire communications infrastructure is being replaced (radios, CAD, phones) with upgraded digital equipment; Officer-worn body cameras have been issued; and the Mason Police continue to take a leadership role in developing new strategies for the effective use of drones in support of law enforcement. Chief Rowan introduced Lt Mike Lighthiser who oversees all special services that include special operations capability services: SWAT, canines, drones and executive protection. Lt Lighthiser was recognized for his hard work in putting George Mason on the map as a training hub for the region's law enforcement agencies such as VSP, Metro Transit, Arlington County PD, and FBI HRT.

Chief Rowan then spoke of Mason's three K9 teams - one explosives dog and two patrol dogs. Chief Rowan introduced Officer Adam Will along with canine Kavic. Kavic is trained to track people by scent, trained to make apprehensions and trained to sniff-out 7 different types of narcotics. Finally, Chief Rowan recognized Captain Emily Ross, the first-ever Mason Police Officer to be selected to attend the FBI National Academy, a 10-week program that is the global gold standard for law enforcement training. Chief Rowan shared a page from the Annual Security Report 2015-2017 and reported that as a general rule our statistics are low and fairly stable for a campus of this size, and the number of sexual assaults reported to the police in 2018 was down 57% from 2017.

#### **VI. Adjournment**

There being no further business, Vice Chairman Blackman declared the meeting adjourned. Meeting adjourned at 1:02 p.m.

  
Jeanmerie Lagos  
Secretary *pro tem*

**ITEM NUMBER III.A.:**

**FY 2020 BUDGET SUMMARY**

**PURPOSE OF ITEM:**

To brief the Board of Visitors on updates as we look forward with a discussion on the FY 2020 budget development, strategies and initiatives. In addition, to discuss the annual review of the University's financial metrics.

**APPROPRIATE COMMITTEE:** FINANCE AND LAND USE

**BRIEF NARRATIVE:**

The Interim Senior Vice President for Administration and Finance will continue the financial discussion around developing and approving the University's FY 2020 budget. The matters to be discussed include: impacts on budget drivers from ongoing Commonwealth budget deliberations, enrollment projections, tuition policy and other strategic and operational matters.

Discussion at this meeting will lead to a presentation of the proposed budget in the April 2019 board meeting in anticipation of BOV approval in May 2019.

**STAFF RECOMMENDATION:** For Board information only.

**ITEM NUMBER III.B.: ROOM AND BOARD RATES, FY 2020 (ACTION)**

**PURPOSE OF ITEM:** To approve academic year 2019 - 2020 (FY 2020) room and board rates.

**APPROPRIATE COMMITTEE:** FINANCE AND LAND USE

**BRIEF NARRATIVE:**

Approval of rates for FY 2020 is requested to allow update of marketing materials for distribution to new and returning students.

For a freshman, the proposed combined academic year room and board rate of \$11,705 is a \$245 increase over FY 2019 in a traditional double room with the Independence meal plan. Freshmen choosing to live in a suite double will have a slightly higher cost than those living in traditional rooms.

<b>Freshmen Traditional Double &amp; Board</b>	<b>FY19</b>	<b>FY20</b>	<b>\$ Change</b>	<b>% Change</b>
Traditional Double Room Rate	\$ 6,970	\$ 7,105	\$ 135	1.9%
Independence Meal Plan Board Rate	\$ 4,490	\$ 4,600	\$ 110	2.4%
<b>Total Room &amp; Board</b>	<b>\$ 11,460</b>	<b>\$ 11,705</b>	<b>\$ 245</b>	<b>2.1%</b>

The University considers several factors in determining room and board rates. The guiding principles for determining room and board rates are:

- ❖ **Affordability** – Create an affordable living environment for on-campus students. Consideration is given to peer comparisons in the DC region and the Commonwealth of Virginia. Local housing options and prices are considered.
- ❖ **Accessibility** – Provide access to on-campus living and dining with priority given to freshman and sophomore students. Freshmen are guaranteed on-campus housing and are required to live on campus, except for local students living with family or who meet certain exemptions.
- ❖ **Involvement** – Improve student retention and graduation through involvement in activities and support services in on-campus housing. Students are involved in room and board pricing, and meal plan structure through the Student Government Association and Resident Student Association.
- ❖ **Sense of Community** – Create an environment where students feel part of the Mason community through activities, and on-campus clusters of housing, dining, and recreation facilities. Dining facilities are available 24 hours a day, allowing students to gather with friends on their schedules.



- ❖ **Well-Being** – Provide students healthy dining options through Independence meal plans, access to a dietician, and specialized diets at multiple venues. Resident-based programs involve students in health living activities and easy access to campus well-being services.

The proposed average room and board increases for FY 2020 for all rooms and meal plans are 3.5% for housing and 2.4% for dining meal plans. The attached information provides background for all room types and meal plans.

**STAFF RECOMMENDATION:** Staff recommends Board of Visitors approval.

## ITEM NUMBER:

## ROOM AND BOARD RATES, FY20 (ACTION)

ACADEMIC YEAR ROOM RATES (Fall and Spring Semesters)	FY19	FY20	\$ Change	% Change	FY20 Equivalent Monthly Rate (5)
<b>Traditional Halls (Freshmen, Meal Plan Required)</b>					
Singles	\$ 8,510	\$ 9,170	\$ 660	7.76%	\$ 1,019
Double	\$ 6,970	\$ 7,105	\$ 135	1.94%	\$ 789
Triple	\$ 5,580	\$ 5,795	\$ 215	3.85%	\$ 644
Quad	\$ 6,680	\$ 7,025	\$ 345	5.16%	\$ 781
Expanded Triples	\$ 5,580	\$ 5,650	\$ 70	1.25%	\$ 628
<b>Suites (1) (Freshmen, Meal Plan Required)</b>					
Single	\$ 9,010	\$ 9,705	\$ 695	7.71%	\$ 1,078
Double	\$ 7,440	\$ 7,585	\$ 145	1.95%	\$ 843
Expanded Triples	\$ 6,450	\$ 6,530	\$ 80	1.24%	\$ 726
<b>Premium Suites (Upperclass, Meal Plan Required)</b>					
Single	\$ 9,010	\$ 9,705	\$ 695	7.71%	\$ 1,078
Double	\$ 7,620	\$ 7,770	\$ 150	1.97%	\$ 863
Expanded Doubles	NA	\$ 6,790	NA	NA	\$ 754
Triple with Kitchenette (4)	\$ 8,640	\$ 9,085	\$ 445	5.15%	\$ 1,009
Expanded Triples	\$ 6,605	\$ 6,690	\$ 85	1.29%	\$ 743
<b>Townhouses (Upperclass, Meal Plan Optional)</b>					
Double	\$ 8,390	\$ 8,930	\$ 540	6.44%	\$ 992
<b>Apartments (2) (Upperclass, Meal Plan Optional)</b>					
Single	\$ 10,690	\$ 11,375	\$ 685	6.41%	\$ 1,264
Double	\$ 9,600	\$ 9,850	\$ 250	2.60%	\$ 1,094
Expanded Doubles	NA	\$ 8,570	NA	NA	\$ 952
Expanded Triples	\$ 8,320	\$ 8,485	\$ 165	1.98%	\$ 943
<b>Mason Global Center (3) (Upperclass, Meal Plan Required)</b>					
Double	\$ 7,790	\$ 8,200	\$ 410	5.26%	\$ 911
Expanded Triples	\$ 6,750	\$ 6,835	\$ 85	1.26%	\$ 759
12 Month Double	NA	\$ 10,400	NA	NA	\$ 867
<b>Average of Fairfax Revenue Beds</b>				<b>3.50%</b>	
<b>Beacon Hall - SciTech Grad Housing (11 Months, Meal Plan Optional)</b>					
Studio	\$ 11,460	\$ 11,918	\$ 458	4.00%	\$ 1,083
One Bedroom	\$ 14,700	\$ 15,288	\$ 588	4.00%	\$ 1,390
Two Bedroom (Per Bed)	\$ 8,710	\$ 9,058	\$ 348	4.00%	\$ 823
<b>Average of Beacon Hall Beds</b>				<b>4.00%</b>	

1) Suites are Commonwealth and Dominion Halls for freshmen

2) Apartments are Potomac Heights, Liberty Square, Nothem Neck and Rogers; SMSC beds are priced the same

3) Select upperclass students will be offered option of 12 month contract in MGC with priority selection

4) There are 12 Premium Suite beds with kitchenettes that do not require meal plans

5) Equivalent monthly rates based on 9 months academic year, except for 11 month Beacon Hall lease, and 12 month optional MGC lease

Note: Summer rates for students are based on the number of days in the term derived from the academic year rates

<b>ACADEMIC YEAR BOARD RATES (Fall and Spring Semesters Combined)</b>	<b>FY19</b>	<b>FY20</b>	<b>\$ CHANGE</b>	<b>% CHANGE</b>
<b>Independence Dining Plans (Includes Minimum \$100/Semester Bonus Points) (1,5,8,9)</b>				
Independence	\$ 4,490	\$ 4,600	\$ 110	2.4%
Independence - Enhanced	\$ 4,600	\$ 4,690	\$ 90	2.0%
Independence - Ultimate	\$ 5,210	\$ 5,310	\$ 100	1.9%
Mason Global Center (12 Months)	NA			
<b>Liberty Meal Plans (Includes Bonus Points) (2,6,7)</b>				
Liberty 9	\$ 4,490	\$ 4,600	\$ 110	2.4%
Liberty 14	\$ 4,490	\$ 4,600	\$ 110	2.4%
<b>Patriot Meal Plans (Includes Minimum \$100/Semester Bonus Points) (3,5)</b>				
Green & Gold 25	\$ 580	\$ 590	\$ 10	1.7%
Patriot 55	\$ 950	\$ 970	\$ 20	2.1%
Super Patriot 85	\$ 1,330	\$ 1,360	\$ 30	2.3%
<b>Freedom Declining Balance Cash Plans (No Bonus Points) (4)</b>				
Freedom 300	\$ 600	\$ 600	\$ -	0.0%
Freedom 400	\$ 800	\$ 800	\$ -	0.0%
Freedom 500	\$ 1,000	\$ 1,000	\$ -	0.0%
Freedom 750	\$ 1,500	\$ 1,500	\$ -	0.0%
Freedom Bell (1,100)	\$ 2,200	\$ 2,200	\$ -	0.0%
Freedom Rings (1,900)	\$ 3,800	\$ 3,800	\$ -	0.0%
Freedom First (2,200)	\$ 4,400	\$ 4,400	\$ -	0.0%
Freedom Commuter (1,000)	\$ 2,000	\$ 2,000	\$ -	0.0%
Freedom Summer (400)	\$ 800	\$ 800	\$ -	0.0%
<b>Smithsonian Mason School of Conservation Plan (No Points) (10)</b>				
SMSC	\$ 4,660	\$ 4,750	\$ 90	1.9%

- 1) Independence meal plans are designed for freshmen and sophomore students living in housing with no kitchen, and are all-you-care-to-eat dining hall plans.
- 2) Liberty plans are equivalent in price to Independence plans, but are designed for upperclass students living in housing with no kitchen, and have more flexibility with a set weekly number of dining hall meals and higher retail Bonus Points.
- 3) Patriot block plans are optional for students living in Housing apartments and off-campus have a set number of dining hall meals per semester.
- 4) Freedom plans are optional for students living in Housing apartments and off-campus and have declining balance values that may be used in either dining halls or retail locations.
- 5) Independence, Patriot and medical meal plans have minimum \$100/semester Bonus Points, with options of \$200, \$300, \$400, \$500
- 6) Liberty 9 and Liberty 14 Points increase \$25 and \$10 per semester, respectively, to \$1,150 and \$520.
- 7) Upperclass students, including Sophomores, living in suite expanded triples may purchase Liberty plans
- 8) All freshmen living on-campus are required to purchase an Independence plan
- 9) Sophomores living in suites must purchase Independence plans, except for those in enhanced triples
- 10) SMSC Summer meal plans priced at daily pro-rata rate of semester plan

## HISTORIC REGIONAL AND COMMONWEALTH OF VIRGINIA RATES COMPARISON

**Regional Housing** – Mason’s traditional double room rate for FY18 and FY19 was lower than the average compared to regional universities excluding Mason.

Regional Universities - Traditional Double Rate			
Comparison Institute	City	FY18	FY19
George Washington University	Washington, DC	\$ 10,740	\$ 11,100
Georgetown University	Washington, DC	\$ 10,376	\$ 10,582
American University	Washington, DC	\$ 9,898	\$ 9,996
University of Maryland	College Park, MD	\$ 7,316	\$ 7,425
University of Maryland Baltimore College	Baltimore, MD	\$ 7,316	\$ 7,400
<b>George Mason University</b>	<b>Fairfax, VA</b>	<b>\$ 6,700</b>	<b>\$ 6,970</b>
<b>Average (5 Schools Excluding Mason)</b>		<b>\$ 9,129</b>	<b>\$ 9,301</b>

*Mason Percentage of Average*

73%

75%

**Commonwealth Housing** – Mason’s traditional double room rate for FY18 and FY19 was above average compared with Commonwealth universities excluding Mason.

Commonwealth Universities - Traditional Double Rate			
Comparison Institute	City	FY18	FY19
Longwood University	Farmville	\$ 6,987	\$ 7,336
College of William & Mary	Williamsburg	\$ 6,912	\$ 7,258
Old Dominion University	Norfolk	\$ 6,278	\$ 7,248
Christopher Newport University	Newport News	\$ 6,904	\$ 7,054
<b>George Mason University</b>	<b>Fairfax</b>	<b>\$ 6,700</b>	<b>\$ 6,970</b>
Norfolk State University	Norfolk	\$ 6,534	\$ 6,939
University of Mary Washington	Fredericksburg	\$ 6,600	\$ 6,746
Virginia State University	Petersburg	\$ 6,356	\$ 6,548
Virginia Commonwealth University	Richmond	\$ 6,356	\$ 6,364
University of Virginia	Charlottesville	\$ 6,030	\$ 6,240
Virginia Tech	Blacksburg	\$ 5,700	\$ 6,063
University of Virginia - Wise	Wise	\$ 5,570	\$ 5,570
James Madison University	Harrisonburg	\$ 5,190	\$ 5,220
Radford University	Radford	\$ 4,540	\$ 4,676
<b>Average (13 Schools Excluding Mason)</b>		<b>\$ 6,151</b>	<b>\$ 6,405</b>

*Mason Percentage of Average*

109%

109%

**Regional Dining** – Mason’s Independence meal plan compared to Traditional 15 Meal Plans offered at other regional universities was lower than the average excluding Mason in FY18 and FY19.

<b>Regional Universities - Freshmen 15 Meal Plan or Equivalent</b>			
<b>Comparison Institute</b>	<b>City</b>	<b>FY18</b>	<b>FY19</b>
American University	Washington, DC	\$ 6,000	\$ 6,104
Georgetown University	Washington, DC	\$ 5,670	\$ 5,897
University of Maryland	College Park, MD	\$ 4,952	\$ 5,064
George Washington University	Washington, DC	\$ 4,100	\$ 4,600
University of Maryland, Baltimore	Baltimore, MD	\$ 4,942	\$ 4,520
<b>George Mason University (Independence)</b>	<b>Fairfax, VA</b>	<b>\$ 4,390</b>	<b>\$ 4,490</b>
<b>Average (5 Schools Excluding Mason)</b>		<b>\$ 5,133</b>	<b>\$ 5,237</b>

*Mason Percentage of Average*

86%

86%

*All plans are sold on a semester basis and reported for two semesters on this chart*

**Commonwealth Dining** – Mason’s Independence meal plan compared to Traditional 15 Meal Plans offered at other Commonwealth universities was about average excluding Mason in FY18 and FY19.

<b>Commonwealth Universities - Freshmen 15 Meal Plan or Equivalent</b>			
<b>Comparison Institute</b>	<b>City</b>	<b>FY18</b>	<b>FY19</b>
University of Virginia	Charlottesville	\$ 4,950	\$ 5,350
University of Mary Washington	Fredericksburg	\$ 4,990	\$ 5,090
Old Dominion University	Norfolk	\$ 4,990	\$ 5,090
James Madison University	Harrisonburg	\$ 4,708	\$ 4,872
College of William & Mary	Williamsburg	\$ 4,616	\$ 4,800
Virginia State University	Petersburg	\$ 4,466	\$ 4,660
<b>George Mason University (Independence)</b>	<b>Fairfax</b>	<b>\$ 4,390</b>	<b>\$ 4,490</b>
Longwood University	Farmville	\$ 3,431	\$ 4,411
Christopher Newport University	Newport News	\$ 4,320	\$ 4,406
University of Virginia - Wise	Wise	\$ 4,112	\$ 4,236
Virginia Commonwealth University	Richmond	\$ 4,100	\$ 4,190
Virginia Tech	Blacksburg	\$ 3,988	\$ 4,140
Radford University	Radford	\$ 3,994	\$ 4,114
Norfolk State University	Norfolk	\$ 3,332	\$ 3,950
<b>Average (13 Schools Excluding Mason)</b>		<b>\$ 4,307</b>	<b>\$ 4,562</b>

*Mason Percentage of Average*

102%

98%

## **HOUSING AND DINING POLICIES AND PROCESSES**

### **Housing**

Upperclass students may apply to live on campus in late January/early February, at which time students sign the housing contract and submit a \$300 prepayment. Room selection occurs during one week in February and students have until April 1<sup>st</sup> to cancel their contract with a full refund of their prepayment.

The deadline for admitted freshmen to apply for housing and submit their deposit is May 1<sup>st</sup>. All freshmen are required to live on campus unless they meet established criteria and are granted an exemption. Students who receive an exemption will receive a refund of their housing deposit. The university works to assign students who apply after May 1<sup>st</sup> based on available space. The majority of freshmen assignments are made in late July, after they have attended orientation.

### **Board Meal Plans**

University policy requires all students living in on-campus housing without full kitchens to have a residential meal plan. All residential freshmen are required to have an Independence meal plan. Sophomores residing in suites without a kitchen are required to have an Independence meal plan, except for those living in expanded triples. Any student living in an expanded suite triple will be allowed to purchase a Liberty plan. Juniors and seniors living in suites without a kitchen may purchase Independence or Liberty meal plans.

Residence halls with full kitchens include Liberty Square, Northern Neck, Potomac Heights, Rogers, and Townhouses. Students living in residence halls with a full kitchen may choose any meal plan or no plan.

Resident Assistant meal plan prices are negotiated between dining and housing staffs to supplement the Resident Assistant's compensation.

Exemptions to the meal plan policy are considered only for medical modified diet considerations, and for students engaged in a university sponsored off-campus practicum or internship three days a week. A student must apply through the Mason Card Office to the Exemption Committee to be considered exempt from this policy. Disability Services will review those who apply for a medical modified diet and assign a plan that meets the individual's needs.

In FY20, students will choose from five levels of Bonus Points in increments of \$100 for Independence, Patriot, and medical meal plans. The required minimum of \$100 per semester for Independence and Patriot meal plans is included in the academic year prices in the above chart.

## FY20 HIGHLIGHTS

### Housing Highlights

- The total inventory of beds in FY19 is approximately 6,370. Some additional beds are being planned for FY20.
- Summer rates are based on number of days in the term derived from the academic year rates.
- First-year freshmen undergraduates are required to live on campus, but can request an exemption if they either live locally with parents/family, are veterans, are 20 years old or more, are married, have dependent family, or for financial/health reasons.
- The SMSC Executive Committee determined that the SMSC rates will be set at the highest Fairfax campus rates approved by the BOV. There are 60 beds on the student housing side of the building which may be occupied as either a single or double room.

<b>SMSC (Rates Same as Premium Apartment Rates)</b>	<b>FY19</b>	<b>FY20</b>	<b>\$ Change</b>	<b>% Change</b>
Single	\$10,690	\$11,375	\$685	6.4%
Double	\$9,600	\$9,850	\$250	2.6%

- Beacon Hall graduate housing on Science and Technology Campus has 147 revenue beds, which are all 11-month leases, and three RA beds. The proposed lease amounts will increase by an average 4.0%.

<b>BEACON HALL APARTMENTS (11 Month Lease Rates)</b>	<b>FY19</b>	<b>FY20</b>	<b>\$ Change</b>	<b>% Change</b>
Studio	\$11,460	\$11,918	\$458	4.0%
One Bedroom	\$14,700	\$15,288	\$588	4.0%
Two Bedroom (per bed)	\$8,710	\$9,058	\$348	4.0%

- Living Learning Communities (LLCs) allow students of similar major, interest, or identity to live together and engage in learning opportunities. There is an academic component to each LLC, whether it is a required course or participation in an academic program. LLCs house approximately 762 students in FY19 with six freshmen, two upperclass, and five mixed LLCs. Due to student demand, the number of LLCs offered will increase by four in FY20 through partnerships with the College of Health & Human Services, Women & Gender Studies, the Center for Innovation and Entrepreneurship, and University Life's Diversity, Inclusion, and Multicultural Education office.
- Certain upperclass students, based on credits earned, have been offered a 12-month lease on a priority basis for a double room in MGC for FY20. The 12-month bed rate for a shared room will be \$10,400. Students will be required to purchase either Independence or Liberty plans during the fall and spring, and a minimum of \$400 in Freedom funds for the summer. Unfilled doubles at the end of this priority period will be offered to remaining upperclass students for the academic year.

## Dining Highlights

- Students living on-campus with a kitchen in the living space, and students living off-campus, may purchase any of the following plans: 1) Independence plans, 2) Liberty plans with set weekly meals and Bonus Points, 3) Patriot plans with declining balance meals per semester, and 4) dollar-for-dollar Freedom Plans.
- The Independence plans provide students unlimited access during operating hours to the dining halls so they may eat at their convenience, as often as they desire. Students have three Independence meal plan options: the base Independence plan, Enhanced (a plan covering earlier move-in dates, Thanksgiving and Spring Breaks), and Ultimate (a plan covering all academic breaks). Each option has five choices of Bonus Points in increments of \$100 with a minimum of \$100 per semester required.
- Liberty plans are priced to equal the Independence plan including \$100 Bonus Points, but have more flexibility for retail dining. Liberty 9 includes nine weekly meals and Liberty 14 includes 14 weekly meals. The semester Bonus Points will increase from \$1,125 to \$1,150 for Liberty 9, and from \$510 to \$520 for Liberty 14. Students will have the option of purchasing additional Bonus Points in \$100 increments throughout the semester.
- The optional Patriot meal plans will have five choices of Bonus Points in increments of \$100 with a minimum of \$100 per semester required.
- Unused Bonus Points and Freedom funds are allowed to be carried over from fall to spring semester, but must be used by the end of the academic year in May.
- The Fairfax Campus has three full-service dining halls for meal plans: Southside, Ike's, and The Globe. Simply To Go in Sub I allows students on meal plans to quickly grab a sandwich or salad between classes to take with them.
- One Fairfax dining hall remains open 24 hours every day, except during university breaks, providing students round-the-clock dining options. The Globe is open for residents who stay on campus during Thanksgiving, Winter, and Spring breaks.
- There is one dining hall at SMSC. SMSC summer programs will have meal plans based on the pro-rata semester price per meal for the specific length of those summer programs.
- Retail dining includes 29 locations on Fairfax campus, including coffee carts. SciTech and Arlington each have one retail dining facility.
- Food delivery robots from Starship Technologies began operating on January 22, 2019. There are 25 robots on the Fairfax campus, the first US university campus to use these robots. Blaze Pizza, Dunkin' Donuts, Einstein's, Garbanzo, Second Stop, Subway, and Steak 'n Shake use the robots.





**ITEM NUMBER III.C.:**

**DEBT MANAGEMENT POLICY: 2019  
ANNUAL REVIEW (ACTION)**

**PURPOSE OF ITEM:**

Board of Visitors annual review of the University's compliance with Debt Management Policy #211(attached), originally approved in February 2014 with revisions approved by the Board on March 1, 2018.

**APPROPRIATE COMMITTEE:** FINANCE AND LAND USE

**BRIEF NARRATIVE:**

The Debt Management Policy applies to all debt financing activities of the University. The use of debt is an important funding mechanism for the University's capital plan. The Debt Management Policy links the use of debt to the University's mission and strategic goals during this continued period of growth. The Policy incorporates a portfolio approach to managing the University's debt level, debt composition and risk profile. The portfolio risk is viewed in the context of the University's assets, liabilities and operations.

Debt Management Policy compliance highlights:

- ✓ Maintain an "A" category rating by a nationally recognized rating agency
- ✓ Review of Key Financial Indicators (debt capacity, debt affordability and overall financial strength).
- ✓ The Board authorizes issuance of debt and adopts reimbursement resolutions when required.
- ✓ The Board annually reviews the University's compliance with the Policy.

Staff will present summary of financial metrics indicating compliance. Staff recommends no changes to the policy this year.

**STAFF RECOMMENDATION:**

The staff recommends BOV approval of the attached resolution stating the University is in compliance with its Debt Management Policy.



# Debt Management Policy

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**Responsible Office:**

Senior Vice President for Administration and Finance

**Policy Procedure:**

Appendix A : Key Financial Indicators

**Related Law, Policy & Guidelines:**

Virginia College Building Authority Post Issuance Compliance Policy for Tax-Exempt Qualified Obligations

Treasury Board of the Commonwealth of Virginia Post Issuance Compliance Policy for Tax-Exempt Qualified Obligations

University Policy 2115: Private Business Use

University Policy 2109: Asset Capitalization

Interest Rate Swap Guidelines

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**I. Scope**

This policy applies to all debt financing activities of the University.

**II. Policy Statement****Purpose**

George Mason University's mission as a public, comprehensive, research university in the National Capital Region in the Commonwealth of Virginia is to create an innovative and inclusive academic community committed to creating a more just, free, and prosperous world. One of the largest four-year public universities in the Commonwealth, the University continues to grow and expand its programs and mission within the region and the state.

The use of debt is an important funding mechanism for the University's capital plan. This policy links the use of debt to the University's mission and strategic goals during this continued period of growth.

The objectives of the debt policy are to:

- 1) Provide guidelines for debt capacity and affordability assessment in order to maintain the long-term financial health of the University;
- 2) Establish a framework for allocating the use of debt to projects that most strongly support the mission and strategic goals of the University;
- 3) Outline debt management and risk considerations; and
- 4) Provide debt reporting guidelines.

### **Oversight and Approval**

The Board of Visitors shall authorize the issuance of debt and execution of financing agreements. Additionally, federal tax law requires that the Board of Visitors pass a Reimbursement Resolution when required.

The Office of the Senior Vice President for Administration and Finance ("Senior Vice President") is responsible for implementing this policy and for all debt financing activities of the University.

### **Compliance, Reporting and Monitoring**

The Board of Visitors shall no less than annually, and upon requests for debt authorization, review University compliance with this policy. The Senior Vice President will report to the Board of Visitors on the University's debt capacity, debt affordability, and overall financial strength to demonstrate compliance with this policy. The Senior Vice President may establish a debt advisory team to serve in an advisory capacity on debt-related matters.

### **Goals**

The University seeks to manage its debt and overall financial profile as follows:

- 1) Identify and prioritize projects for debt financing that are critical to the mission and advance the strategic objectives of the University;
- 2) Strategically allocate the University's debt capacity to these projects;
- 3) Align the financial position of the University consistent with a minimum rating in the "A" category in order to:
  - a. Maintain access to the capital markets on a standalone basis; and
  - b. Obtain favorable costs of capital, flexibility, and favorable terms;
- 4) Optimize the University's debt composition within its desired risk management profile; and

- 5) Manage the debt repayment schedule of the portfolio in order to preserve debt capacity and flexibility over the longer term, while meeting the liquidity and strategic objectives of the University.

### **Project Prioritization**

It is essential that the University has cost effective access to capital. The University recognizes that debt as a source of capital is limited. The University will make decisions relative to the use of debt as it considers each capital project in the context of the University's mission.

The University will evaluate the funding sources (including but not limited to state funding, cash reserves, philanthropy, self-funding, and debt funding) for proposed capital projects in the context of the project's role in supporting the University's mission and strategic priorities. The University will establish its strategic priorities for capital projects and debt capacity in conjunction with preparation of the six-year capital plan, which is reviewed annually and updated bi-annually. Business plans for debt-funded projects must address the plan to support debt service.

### **Debt Capacity and Affordability**

In evaluating its debt capacity, debt affordability, and overall financial strength, the University will consider its current debt levels, future debt financings, and overall financial health of the University. Debt capacity considers the University's financial resources and the University's ability to leverage its financial resources to finance certain capital projects. Debt affordability considers the University's ability to pay the debt service on an annual basis through its operating budget and identified revenue streams.

The University will benchmark Key Financial Indicators to external sources such as higher education medians for the "A" rating category published by nationally recognized rating agency services (such as Moody's or S&P), universities in its national peer group, or other public universities in the Commonwealth. The University evaluates its performance against these measures with a long-term view and will monitor the trend of the ratios over time. The University recognizes that financing a strategically important project may cause one or more of the financial ratios to perform poorly against the trend, median or peer comparison in the short-term, but the University takes a long term view and evaluates the project accordingly. Based on changing market conditions, the University may modify Key Financial Indicators to better monitor the financial health of the University.

### **Debt Management**

The University views its debt holistically and will manage its debt level, debt composition, and risk profile from a portfolio standpoint.

In considering available financing structures and funding sources, the University will evaluate the benefits, risks, and costs of each financing structure and funding source, including the optimal way to access capital. The financing structure is reviewed within the context of the goals of this policy, and

the University performs a financial and risk analysis to determine the impact of the proposed financing on select financial ratios.

The University may actively manage its debt portfolio to take advantage of current market conditions, either to generate savings, take advantage of financing structures that would optimize its debt structure in the context of its goals or for strategic purposes.

### **Risk Management**

The University recognizes there is a correlation between risk and cost, and there are risks it may assume in order to optimize its debt portfolio. The University also recognizes its debt portfolio risks should be viewed holistically and in the context of its assets, liabilities and operations.

The University evaluates the risks of its debt portfolio to inform decisions regarding the debt structure of the existing portfolio and that of potential new debt.

Risks in the debt portfolio can be broadly categorized as interest rate risk, liquidity risk, and counterparty risk. Interest rate risk impacts the budget and its ability to absorb volatility in interest expense. Liquidity risk impacts the balance sheet and its ability to absorb unexpected calls on liquidity. Counterparty risk represents the impact a counterparty may have on the University's access to the capital markets and its impact on the interest rate and liquidity risk of the University. In addition, the University considers the risks associated with concentration of banking services, credit, and counterparty providers, in order to diversify its dependency risk on individual financial institutions.

The University recognizes the value and flexibility that short-term debt or variable rate financing may contribute to its debt portfolio. The University also recognizes that cost alone should not drive debt portfolio management decisions, as the lowest cost alternative may expose the University to an unacceptable level of risk. While interest rate risks associated with variable rate debt can be mitigated through asset/liability management, liquidity risk and access to the market risk remain in certain financing structures. The University will maintain Committed Debt of no less than seventy percent (70%) of its total debt portfolio.

The University may consider the use of derivative products in order to achieve the goals outlined in this policy. Derivatives may be undertaken by the University only upon quantification and evaluation of their risks and in accordance with the University's Interest Rate Swap Guidelines.

### **Post Issuance Compliance**

The University adheres to the post issuance compliance procedures established through the Treasury Board and the Virginia College Building Authority to ensure it complies with federal tax law requirements for the use of tax-exempt debt. The University established a Private Business Use Policy for the ongoing use of facilities in order to ensure it meets federal tax law requirements for the use of tax-exempt debt financed facilities.

## Definitions

- 1) Committed Debt is defined as any debt that is either committed to maturity without a put option by the credit provider or bondholder, or has a put option that is exercisable in no less than two (2) years.
- 2) Debt Composition describes the different types of financing structures that comprise the University's outstanding debt obligations. The financing structures include but are not limited to fixed rate, variable rate, short-term, long-term, direct debt, indirect debt, public debt, private debt, and capital leases.
- 3) Key Financial Indicators are defined as higher education medians published by nationally recognized rating agencies or financial institution.

### 4) Risks

#### A. Interest Rate Risks may include the following:

Market Rate Risk – Traditionally thought of as interest rate risk, but limited to market risk only (risk that interest rates will rise)

Credit Risk – Risk that any actual or perceived change in creditworthiness will result in a higher cost of capital

Tax Risk – Risk that any actual or potential change in Federal and/or State law will adversely impact the pricing or availability of tax-exempt debt

Basis Risk – Risk that interest rate hedges will be inefficient or mismatched

Bank Liquidity or Credit Facility Repricing Risk – Risk that the cost of liquidity facilities to support uncommitted debt or working lines of credit will increase

Swap Counterparty Risk – Risk that expected payments from swap counterparties are not received

#### B. Liquidity Risk may include the following:

Roll/Remarketing Risk – Risk that put bonds, commercial paper or variable rate demand bonds cannot be remarketed or rolled over

Bank Liquidity Facility or Credit Facility Renewal Risk – Risk that liquidity facilities to support uncommitted debt or working capital lines of credit may not be available at all or on acceptable terms

Failure of a Liquidity Facility Provider - Risk that a liquidity facility provider ceases to operate

Swap Collateralization Risk – Risk that collateral may need to be posted under a swap agreement

Swap Termination Risk – Risk of voluntary or involuntary termination of a swap contract

C. Counterparty Risk, may include the following:

Commonwealth of Virginia Risk - Risk that the Commonwealth of Virginia is downgraded, resulting in an increased cost of capital or policies change regarding financing programs

Financial Institutions Risk- Risk that a change in regulations or credit quality of a banking partner could result in an increased interest cost, liquidity risk, or change in terms of service arrangement

- 5) Reimbursement Resolution is a Board approved resolution declaring its intent to issue tax-exempt debt in order to reimburse the University for expenditures incurred more than sixty (60) days prior. The resolution does not obligate or authorize the University to issue tax-exempt debt for the identified projects. In accordance with federal tax law, the University may issue debt to reimburse itself up to three years after the adoption of a Reimbursement Resolution.

**III. Dates:**

**A. Effective Date:**

This policy will become effective upon the date of approval by the Board of Visitors.

**B. Time Table for Review:**

This policy shall be reviewed for compliance by the Board annually.

Date Approved: February 5, 2014

Revision Approved: March 1, 2018

## Appendix A : Key Financial Indicators

Key Financial Indicators include the following higher education medians (as provided in the Moody's Public College and University Financial Ratio Definitions Report):

- a. Financial Leverage: This ratio measures the University's ability to repay bondholders from wealth that can be accessed over time or for a specific purpose and is a determinant of medium to long term financial health based on the strength of its balance sheet. Spendable Cash & Investments include cash and investments plus funds held in trust by others plus pledges receivable reported in permanently restricted net assets, less funds permanently restricted by third parties.

$$\frac{\text{Spendable Cash and Investments}}{\text{Total Debt}}^1$$

- b. Debt Service to Operations: This ratio measures the percentage of operating expenses that support debt service and is a determinant of the University's operating flexibility to finance existing obligations and new initiatives. Total operating expense calculation includes interest expenses less student aid.

$$\frac{\text{Annual Debt Service}}{\text{Total Operating Expense Times } 100}^2$$

- c. Debt Service Coverage: This ratio measures the University's ability to cover debt service requirements with operating revenues and is a determinant of the strength of the operating income to meet its annual obligations.

$$\frac{\text{Operating Surplus (Deficit) Plus Interest and Depreciation}}{\text{Annual Debt Service}}^2$$

- d. Annual Days Cash on Hand: This ratio measures the number of days the University is able to operate (cover its cash operating expenses) from unrestricted cash and investments that can be liquidated annually and is a determinant of the liquidity and flexibility the University maintains to finance existing obligations, potential liquidity funding, and new initiatives.

$$\frac{\text{Annual Liquidity Times } 365}{\text{Total Expenses Less Depreciation and Unusually Large Non-Cash Expenses}}^2$$

- e. Operating Reserve: this ratio measures the extent to which a University can rely on wealth that can be accessed over time or for a specific purpose to operate without earning any additional revenue and is a determinant of financial health of the University to meet its current obligations. Spendable Cash & Investments include cash and investments plus



funds held in trust by others plus pledges receivable reported in permanently restricted net assets, less funds permanently restricted by third parties. Total operating expense calculation includes interest expense less student aid.

Spendable Cash and Investments

Total Operating Expenses<sup>3</sup>

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<sup>1</sup> Numerator and denominator include all component units

<sup>2</sup> Numerator and denominator include only GMU

<sup>3</sup> Numerator includes all component units, denominator includes only GMU

**RESOLUTION  
OF THE  
BOARD OF VISITORS OF GEORGE MASON UNIVERSITY**

**WHEREAS**, pursuant to the University's Debt Management Policy, the George Mason University Board of Visitors performed its annual review.

**NOW, THEREFORE, BE IT RESOLVED** that the University is in compliance with its Debt Management Policy.

Adopted: February 27, 2019

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Shawn Purvis  
Secretary  
Board of Visitors  
George Mason University

**ITEM NUMBER III.D.:**

**Tier 2/Tier 3 Delegated Authority**

**PURPOSE OF ITEM:**

Discuss issues surrounding Mason pursuing additional delegated authority under the Commonwealth's Restructured Higher Education Financial and Administrative Operations Act (Restructuring Act).

**APPROPRIATE COMMITTEE:** FINANCE AND LAND USE

**BRIEF NARRATIVE:**

The Commonwealth affords institutions of higher education the opportunity to operate at varying levels of authority. Institutions can choose to pursue increased level of delegated authority, achievement of which results from negotiation of management agreements with Commonwealth administration and the General Assembly.

Currently, four schools operate at Tier 3 - the highest level of delegated authority: UVA, Virginia Tech, William and Mary, and VCU.

Mason and JMU currently operate at Tier 2.5 under a five -year pilot adopted in 2016. However, JMU is poised to receive Tier 3 status this year after negotiating management agreements with the Administration and General Assembly. The Governor's introduced budget includes language placing JMU in this category.

To achieve Tier 3 status, Universities must have a credit rating of at least AA- or demonstrated management competency in particular areas for at least two years while operating under management agreements. All schools with Tier 3 status have credit ratings of at least AA-.

At the February BOV meeting, staff will present a summary of pros and cons of pursuing Tier 3 authority. If increased authority is desired, BOV action will be necessary in the April meeting to allow time for required actions necessary to include this delegated authority in the 2020-2022 biennium budget.

**STAFF RECOMMENDATION:** None. Provided for information only.

**ITEM NUMBER III.E.:**

**ONLINE GRADUATE PROGRAM TUITION  
PROPOSAL (ACTION)**

**PURPOSE OF ITEM:**

Approval of graduate program tuition per credit hour for programs that will be offered online through the university's online partnership with Wiley.

**APPROPRIATE COMMITTEE:**

FINANCE AND LAND USE

**BRIEF NARRATIVE:**

College students want more options and flexibility when it comes to online learning. The partnership with Wiley allows Mason to expand its graduate programs by offering them online. These programs have or will be offering courses online in the Spring of 2019. The programs are:

1. Certificate in Health Informatics & Data Analytics: This program was successfully offered online starting Spring 2019. After reviewing market analysis and information, the university is seeking to set the tuition rate on this program for both In-State and Out-of-State students at \$900 per credit hour.
2. Masters of Science in Data Analytics: This program was successfully offered online starting Spring 2019. After reviewing market analysis and information, the university is seeking to set the tuition rate on this program for both In-State and Out-of-State students at \$930 per credit hour.

**STAFF RECOMMENDATION:**

Staff recommends Board approval.

**Online Graduate Program Tuition Proposal:**

<b>TUITION PRICING FOR SELECT GRADUATE PROGRAMS – ONLINE PER CREDIT HOUR RATE</b>		
	<b>In-State</b>	<b>Out-of-State</b>
<b>College of Health &amp; Human Services</b>		
Certificate in Health Informatics & Data Analytics	\$900	\$900
<b>Volgenau School of Engineering</b>		
Masters of Science in Data Analytics	\$930	\$930

**ITEM NUMBER: IV.A:**

**CAPITAL PROJECTS AUTHORIZATION  
(ACTION)**

**PURPOSE OF ITEM:**

This items requests BOV approval to amend the University Capital Plan.

**APPROPRIATE COMMITTEE:**

FINANCE AND LAND USE

**BRIEF NARRATIVE:**

The University annually submits a Six-year capital plan to the Commonwealth. Under delegated capital authority procedures adopted by the BOV, staff presents proposed additions to the University Capital Plan to the two members of the Finance and Land Use Committee followed by a shortened, summary presentation at the next scheduled full board meeting for approval.

Staff seeks to add one project to the University's capital plan. This project will be funded with non-general funds and will therefore be eligible for management under delegated authority. The proposed addition to the University Capital Plan is listed below. Project data sheets follow:

- Demolition of the Arlington Original Building and Relocation of Storm Water Infrastructure

BOV approval of this project as a capital-level projects is required in order for work to proceed. At this point, staff seeks authority to begin project execution on this project.

Completion of this work will clear the site for construction of a replacement building. This replacement building will be the University's Innovation Tower in support of increasing degrees and research in computing fields and is related to Commonwealth commitments to the establishment of an Amazon headquarters in Northern Virginia.

Funds for this effort will come from proceeds of the Broadlands land sale and will be counted as part of the University's \$125M goal toward matching Commonwealth funding of the overall building project.

**STAFF RECOMMENDATION:**

Staff recommends Board approval of the above listed addition to the University's Capital Plan:



**Title:** Relocate Storm Water Infrastructure and Demolish Original Building

**Brief Description:** This is a request to initiate a new Capital Project to demolish the Original Building at the Arlington Campus and relocate storm water infrastructure.

The project will demolish the Arlington Original Building to allow for construction of a replacement building which will serve as the University's Innovation Tower in support of increasing degrees and research in computing fields and is related to Commonwealth commitments to the establishment of an Amazon headquarters in Northern Virginia.

- The Arlington Original Building is an approximately 133K GSF building clad with a brick veneer exterior.
- The building contains asbestos and abatement will be included in the scope of the demolition.

The project will construct new storm water infrastructure (9' x 7' box culvert) to replace existing storm water infrastructure which is located under the Original Building, the Van Metre Building (Founders Hall) and the Plaza.

- Mason committed to relocation of the box culvert at the time of construction of the Van Metre Building (Founders Hall) but the project was significantly over the budget which did not allow for inclusion of the relocation of the box culvert in the project scope. Therefore the County allowed Mason to defer the work until the replacement of the Original Building when the project could be budgeted to allow for the work.
- The relocation of this segment of County-wide storm water infrastructure will provide greatly improved accessibility to allow for maintenance of the box culvert by Arlington County.

**Scope SF:** NA

**Total Project Cost:** \$3,650,000 (Building Demolition)  
\$3,850,000 (Box Culvert Relocation)  
\$7,500,000 (Total Project Cost)

**Funding Sources:** Non-general Funds

**Justification:** Demolition of the Arlington Original Building  
The Original Building is no longer occupied nor functional. The building and its systems are past their useful life and can no longer be feasibly maintained for occupancy. Furthermore the building no longer provides the highest and best use for the property.

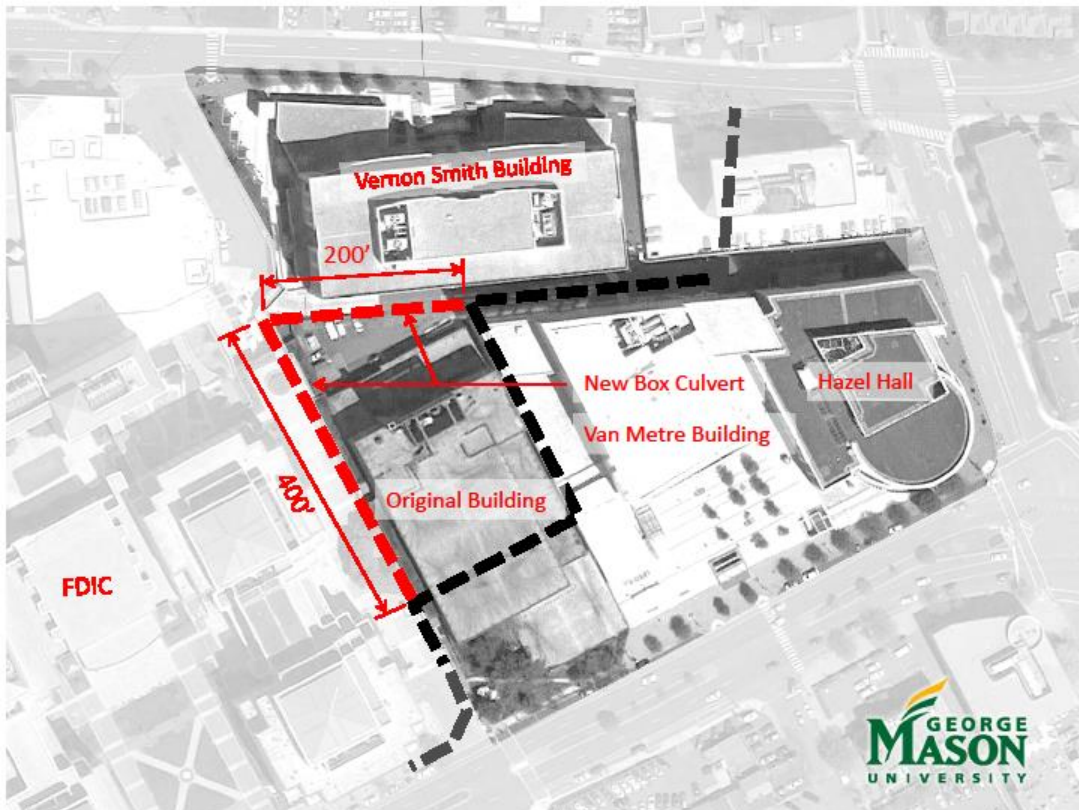
- The Original Building's Facility Condition Index (FCI), a value which indicates a building's condition based upon capital renewal and/or

maintenance requirements as compared to the building's replacement value, is 91%. IFMA (International Facility Management Association) designates any FCI greater than 30% as critical. Given the 91% FCI, replacement is more cost effective than renewal.

- To maintain the facility and to prevent further degradation of the facility which could result in an unsafe condition such as excessive mold growth, Mason expends annually \$97K on utilities and \$35K on maintenance. Demolishing the structure will save the University \$132K in yearly expenditures and will prepare the site for construction of a new facility.
- The Original Building is only three (3) stories tall. For comparison the Van Metre Building (Founders Hall) is seven (7) stories tall and some other buildings in the vicinity are as much as 20 stories tall.

### Relocation

The box culverts to be relocated connect to storm water infrastructure owned and maintained by Arlington County which serve a large area of the County that extends well beyond the borders of the Mason Campus in Arlington. Given the large drainage basin that this storm water infrastructure serves it is necessary that the culverts remain clear of obstructions and in functional condition to reduce the risk of flooding in a large area of Arlington County. Maintaining these culverts is greatly complicated as a result of poor accessibility due to its location under the Original Building. To ensure the continued operation of this critical infrastructure the existing culverts must be replaced with new culverts that are more accessible.





## Appendix: Capital Projects Review

This section provides the regular report on the status of capital construction projects on all three university campuses. The project “stoplight” chart provides a summary review. For purposes of black and white printing, all stoplights are “Green” unless otherwise noted. Scoring definitions:

- “Red”: Likely to exceed approved budget, schedule, or scope
- “Yellow”: At risk to exceed approved budget, schedule, or scope, but can still recover
- “Green”: Within approved budget, schedule, or scope
- “White”: on-hold

Changes/updates since the December 2018 report include:

- Health Sciences – Academic VII –We are currently in the closeout phase of the main project. The construction of the MRI suite is completed and is in the close-out phase.
- Construct/Renovate Robinson Hall, New Academic and Research Facility and Harris Theater - Phase 1B work which includes Robinson B and Harris Theater enabling projects, asbestos abatement and demolition of Robinson A, site utility relocations and mass excavation and sheeting and shoring for the new academic building site, is about 75% complete and will be substantially complete by March 15, 2019. Phase 2/3 working drawings is in the permit process with DEB, permit approval is anticipated prior to start of Phase 2 construction in spring 2019. Full GMP was awarded on budget in mid-December 2018. We anticipate construction work on Phase 2 will begin by March 15, 2019.
- Improve Utility Distribution Infrastructure Fairfax Construction work is approximately 65% complete on phases 1A (near Thompson Hall), 1B (south of Johnson Center). Phase 1C (Patriot Circle to Eagle Bank Arena) is approximately 90% complete. Phase 1A and 1B are behind schedule due to weather delays and unforeseen underground utility conflicts, which requires revised pipe alignments. We are currently assessing schedule impacts for Phase 1A and 1B. Phase 1C is complete with the exception of final grading and landscape which is currently held up due to harsh weather conditions. Phase 2A (south of College Hall and Buchanan Hall) and Phase 2B (south of West Building) work is approximately 50% complete. Work in Phases 2A and 2B are delayed due to unforeseen underground utility conflicts and poor weather conditions. Phase 3 (Wilkins Plaza Extension from clock tower to Southside) fencing has been erected and tree removal is complete. Phase 3 is scheduled to be completed in December 2019. As noted several of the early phases are delayed and we are currently assessing schedule impacts. The current goal is to complete work and have fencing removed in all Phase 1 and 2 areas prior to Spring Break 2019.
- PPEA Discovery Hall Ph. II & Fitout/Clean Room –The Certificate of Occupancy for the Fitout project was received May 2018. The Clean Room Project is in design. We are currently pre-qualifying contractors for bidding. Occupancy is estimated for February 2020.

- Into Phase II –The project was completed by the Fall 2018 semester. We are currently in the closeout phase of the project.
- Eagle Bank Arena – The lighting replacement and scoreboard projects have been completed and closed. Roofing is complete. The work remaining for the roof replacement project is metal work including gutters and flashing. The media and dressing rooms renovations are substantially complete. The locker room is substantially complete. We are currently bidding the roof structure improvements with construction scheduled for this summer.
- Hylton Performing Arts Center Addition – Construction is in progress and is scheduled to be completed by August 2019.
- Telecom Infrastructure – Design is in progress. Consultant is currently surveying existing buildings.
- Bull Run Labs (Mech and BioChem) – Mech Lab is complete and operational. BioChem Lab renovations are substantially complete and began functional occupancy.
- Life Sciences Bull Run Hall IIIB – The University has issued an RFP for Architect/Engineer selection. Selection of the Architect/Engineer is anticipated in April. The funding amount approved by the Commonwealth is \$58,946,302 which is significantly below the \$67M estimate of probable cost developed by Mason based upon DEB historical project costs.

## Facilities Projects Listing

Project #	Project Name	Scope(sf) New	Scope(sf) Reno	Total Budget	Budget Status	Schedule	Scope	Construction Start date	Occupancy date	Construction % Complete
<b>Construction</b>										
17999-000	Health Sciences - Academic VII (Peterson Hall)	164,880		\$ 74,163,039	⊗	●	●	6/2/2015	1/8/2018	99%
A6247-020	Into Phase II		16,555	\$ 3,400,000	●	●	●	12/15/2016	7/15/2018	99%
Varies	Bull Run Labs (Mech and BioChem)		7,204	\$ 3,000,000	⊗	●	●	3/15/2017	1/15/2019	95%
Varies	Eagle Bank Arena Upgrades		82,000	\$ 4,845,000	●	●	●	12/1/2016	1/20/2019	75%
18011-000	Hylton Center Addition*	17,082	360	\$ 13,481,383	●	●	●	8/1/2018	8/1/2019	30%
18207-000	Renovate Robinson Hall and Harris Theater (Phased)*	217,726	23,161	\$ 119,631,000	●	●	●	7/1/2018	12/31/2021	7%
18208-000	Improve Utility Distribution Infrastructure Fairfax (Phased)*			\$ 51,539,000	●	●	●	8/1/2018	12/31/2021	17%
<b>Design</b>										
17848-000	PPEA Discovery Hall Ph II & Fitout/Clean Room	18,000		\$ 6,115,000	●	●	●	3/15/2019	2/15/2020	N/A
18339-000	Telecom Infrastructure*			\$ 10,053,000	●	●	●	TBD	TBD	N/A
<b>Planning</b>										
18000-000	Life Sciences - Bull Run Add DPB*	100,000	5,000	\$ 58,946,302	○	○	○	TBD	TBD	N/A
A8247-027	Johnson Center HVAC Repairs			\$ 3,049,500	○	○	○	TBD	TBD	N/A
A8247-024	Hylton Center HVAC Repairs		112,352	\$ 4,025,000	○	○	○	TBD	TBD	N/A
<b>Grand Total This Report</b>		<b>517,688</b>	<b>246,632</b>	<b>352,248,224</b>						

Data as of January 2019

\* Pool Funded Project; will require DPB/BCOM approval for release of funds after Preliminary Design

Page 1 of 1

STOPLIGHT KEY	
⊗	Red: Likely to exceed approved budget/schedule/scope
○	Yellow: At risk to exceed approved budget/schedule/scope
●	Green: Within approved budget/schedule/scope

**BOARD OF VISITORS  
GEORGE MASON UNIVERSITY**

**Meeting of the Executive Committee  
December 12, 2018  
MINUTES**

**PRESENT:** Rector Davis, Vice Rector Hazel and Secretary Purvis; Visitor Blackman; President Cabrera; and Secretary pro tem Cagle.

**ABSENT:** Visitor Petersen.

**ALSO ATTENDING:** Visitors Moreno, Rice, and Zuccari.

I. Rector Davis called the meeting to order at 8:32 a.m.

II. **Closed Session**

Rector Davis recognized Vice Rector Hazel for a motion to go into Closed Session. It was **MOVED** by Vice Rector Hazel and **SECONDED** by Secretary Purvis that the Executive Committee go into a Closed Session under the provisions of Section 2.2-3711.A.29 to discuss a Public Contract, Section 2.2-3711.A.9 to discuss Gifts, Bequests and Fundraising Activities, Section 2.2-3711.A.7 for consultation with Legal Counsel pertaining to actual or probable litigation, Section 2.2-3711.A.8 for consultation with Legal Counsel regarding specific legal matters requiring the provision of legal advice, Section 2.2-3711.A.1 to discuss a Personnel Matter, and Section 2.2-3711.A.10 to discuss Honorary Degrees and Special Awards.

Rector Davis opened the floor to discussion. There was none.

**MOTION CARRIED UNANIMOUSLY BY VOICE VOTE**

It was **MOVED** by Vice Rector Hazel and **SECONDED** by Secretary Purvis that the Executive Committee go back into public session and further moved that by ROLL CALL VOTE affirm that only public business matters lawfully exempted from the open meeting requirements under the Freedom of Information Act were heard, discussed or considered in the Closed Session, and that only such business matters that were identified in the motion to go into a Closed Session were heard, discussed or considered in the Closed Session.

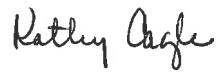
Roll call was taken with all present members responding in the affirmative.

**Board of Visitors  
Executive Committee  
December 12, 2018  
Page 2**

**III. Adjournment**

With no other business matters to come before the Executive Committee, Rector Davis adjourned the meeting at 9:05 a.m.

Respectfully submitted,



Kathy Cagle  
Secretary pro tem

**BOARD OF VISITORS  
GEORGE MASON UNIVERSITY**

**Meeting of  
December 12, 2018  
MINUTES**

**PRESENT:** Rector Davis, Vice Rector Hazel, and Secretary Purvis; Visitors Blackman, Cumbie, Moreno, Prowitt, Reagan, Rice, Roth, Witeck, and Zuccari; Faculty Representative Renshaw; Student Representative Keatinge; President Cabrera; and Secretary pro tem Cagle.

**ABSENT:** Visitors Alcalde, Chimaladinne, Marquez, and Petersen; Student Representative Pettine.

**I.** Vice Rector Hazel called the meeting to order at 1:37 p.m.

**II. Approval of the Minutes**

Vice Rector Hazel called for any corrections to the minutes of the Executive Committee meeting and full Board meeting of October 10, 2018. Visitor Cumbie **MOVED** approval of the minutes as written and Secretary Purvis **SECONDED** the motion. Vice Rector Hazel opened the floor for discussion. There was none.  
**MOTION CARRIED UNANIMOUSLY BY VOICE VOTE**

**III. Rector's Report**

Vice Rector Hazel reported that at the October meeting, Rector Davis asked Legal Counsel to draft a policy concerning electronic attendance at Board of Visitors (BOV) meetings in the event of an emergency; he noted the draft policy that had been provided. He recognized Brian Walther, University Counsel, to provide more information. Mr. Walther explained the law concerning electronic attendance had changed, noting the Freedom of Information Act (FOIA) governs all public meetings, including BOV meetings. He further explained that FOIA allows electronic attendance in two circumstances: (1) a planned regular meeting where a large number of people are planning to attend remotely. He advised against doing that due to the logistic difficulties in allowing public participation electronically. (2) The second circumstance allows last minute participation by a Board member in the event of a medical emergency, or other pressing emergency, by phoning in to the meeting. Mr. Walther explained this second circumstance requires that a Board policy be in place and referred to the draft policy. He responded to questions from the Board and confirmed this could only be done for one or two members at a time, only in the event of an emergency, and only two times per person per year.

Vice Rector Hazel opened the floor for discussion. Hearing none, he called for a motion to approve the policy. It was **MOVED** by Visitor Witeck and **SECONDED** by Visitor Cumbie to approve the Board of Visitors policy permitting participation in meetings by electronic means.

**MOTION CARRIED UNANIMOUSLY BY VOICE VOTE**

(Attachment 1: Board of Visitors Policy: Permitting Participation in Meetings by Electronic Means)

Vice Rector Hazel advised the Board of the Commonwealth's requirement to file an annual financial disclosure statement. He reported the filing period for completion would be January 1 to February 1, 2019 and he reminded the members to complete it during this timeframe. Secretary pro tem Cagle reported a reminder would be sent the following day.

Vice Rector Hazel recognized and introduced two new Alumni Development Officers, Mr. Amir Kazim and Mr. Courtney Winstead. He noted they were both Mason alums and explained the function of their new positions. Vice Rector Hazel noted the goal for Mr. Kazim and Mr. Winstead was 200 face-to-face visits per year with alumni to increase alumni engagement and that they would be working across all of Mason's schools with all the development officers. The Board recognized Mr. Kazim and Mr. Winstead with applause.

Vice Rector Hazel recognized and thanked Dr. Janet Bingham for her service to Mason as Vice President for Advancement and Alumni Relations and as President of the George Mason University Foundation. Vice Rector Hazel presented a Commendation of Appreciation to Dr. Janet Bingham and the Board responded with a standing ovation.

(Attachment 2 – Commendation of Appreciation for Dr. Janet Bingham)

Rector Davis noted that in the past the Board of Visitors has not accepted public comments at the meetings. He asked for the Board's thoughts about possibly allowing public comments at one meeting a year. Rector Davis reported that he and Vice Rector Hazel took comments and questions at the Faculty Senate meeting the previous week and noted it was helpful. Rector Davis suggested that perhaps during tuition discussions there could be an evening for public comment with as many Board members as possible in attendance. He noted this was not a state mandate, but that it was moving in that direction. Mr. Walters responded to the question about whether or not other Virginia schools allow public comment by reporting that Virginia Tech does not, but most of the other schools do allow public comment.

Rector Davis noted that Provost Wu would be providing a presentation on donor gifts and the gift agreement review. He noted with appreciation the work Visitors Alcalde and Witeck did during the review. Rector Davis noted that he had received follow-up letters and had asked the staff to draft a response for his review.

Rector Davis read the following into the minutes of the meeting:

*This past Saturday night, we celebrated the extraordinary success of the Faster Farther Campaign. Unfortunately, the leader of the campaign couldn't make it; he couldn't be there for the celebration. I want to take a moment to extend my gratitude to our Vice Rector, Jimmy Hazel, for leading the biggest campaign in the history of the University. Professional consultants told us \$300 million was a reachable goal, but as we near the end, we have more than doubled that. At the end of this month, we expect to close the campaign at close to \$675 million. You cannot have those results without extraordinary leadership and Jimmy, you provided that. I believe you didn't flinch when you were asked to do this and I think the whole University and the certainly the Board owes you a debt of gratitude. I'd like to present you this (plaque of recognition).*

The Board responded with applause. Vice Rector Hazel thanked everyone who supported the campaign and noted that 700 people gathered Saturday evening to celebrate George Mason.

#### **IV. President's Report**

President Cabrera expressed his appreciation and gratitude to Dr. Bingham, noting her exceptional leadership in producing the largest fundraising results in the University's history. He thanked Vice Rector Hazel for chairing the effort with confidence and support. President Cabrera thanked the entire Development team and the Deans for their extraordinary efforts. He highlighted the efforts of Ms. Paige Butler, Director of Judicial Education at the Antonin Scalia Law School, who was instrumental in raising the largest gift in the campaign. President Cabrera also expressed his appreciation to the 73,000 donors, including hundreds of employees, noting this important vote of confidence and support.

Vice Rector Hazel introduced a video that was prepared and shown at the Celebration on Saturday evening. The Board responded with applause. President Cabrera thanked the team who produced the video.

President Cabrera highlighted the following items from his report: recognition by the National Endowment for the Humanities as the eighth-highest recipient of funding in the U.S. from that organization, noting that a majority of that funding goes to the work Mason does in digital humanities; a grant awarded earlier that day to Dr. Mills Kelly, Professor of History, who is documenting the history of the Appalachian Trail; Ms. Rhea Seehorn, Class of 1994, received a 2019 Critics' Choice nomination for best supporting actress in a drama series for her role as Kim Wexler in "Better Call Saul"; Mr. David Verburg, former Mason track star and Olympic medalist, was recognized on Ellen DeGeneres' show for stopping traffic to rescue an endangered turtle; the upcoming Sundance Festival will include two films by or contributed to by Mason professors, Nikyatu Jusu and



Hans Charles. President Cabrera highlighted a chart of the amount of research grants that being received by Mason's faculty, noting awards in FY19 through October are 35% higher, expenditures are 34% higher, and collections of facilities and administrative costs are 7% higher than the same time last year. He commented that the research goals are very ambitious and this trend is very positive.

President Cabrera reported the Carnegie Classification would be released later in the week. He provided two possible result scenarios: (1) Mason will continue to be listed in the top tier category or (2) Mason will be included in the R2 category. President Cabrera noted that regardless of the outcome, Mason is the youngest university among the 115 R1 research universities in the U.S. and that it was remarkable to have attained that status. He referred to a report provided in the Finance and Land Use Committee that outlined the state funding disparities between the research universities in the Commonwealth, highlighting the four R1 universities: UVA, Virginia Tech, VCU, and Mason; he noted that while Mason should be proud of its accomplishments, it may not be sustainable given the lack of funding resources.

President Cabrera highlighted the enrollment numbers, noting the growth of about 1,000 students per year with about half of those students pursuing majors in science and engineering. He noted that growth in public universities, especially in the northeast, are declining because the number of high school graduates continue to decline. President Cabrera noted that although the increased enrollment growth causes stress on the system, it is a great problem to have and Mason's peer institutions are not faced with the same issues.

President Cabrera reported that the Amazon announcement to split their new location between Arlington, VA and Queens, NY was because of talent in those locations. He reported that Mason has had the biggest impact on the talent pipeline in this region by turning the area into a vibrant, world-class region capable of attracting iconic companies. President Cabrera reported the impact on this region was hard to exaggerate, noting the hiring of 25,000 employees and the brand Amazon will bring to the region. He commented that the journey would not be smooth and noted that some of Mason's leading employers have been concerned for a number of years that Mason is not producing computer scientists and students in related disciplines fast enough and that Amazon will impact the shortage of talent. President Cabrera reported the Fuller Institute has been documenting the potential impact of Amazon on the housing market and transportation, noting the Commonwealth has announced some major investments in the transportation area. He noted this was a transformative event for this region and that Mason will benefit as the anchor research university in this region. President Cabrera reported that in Governor Northam's announcement there were three categories of Commonwealth investments which are not in the MOU with

Amazon: a series of incentives to help all universities in the Commonwealth to increase their computer science production; the strategic investment for Virginia Tech to build a Innovation Campus in Alexandria; and the strategic investment that will allow Mason to expand presence in Arlington to include computer science and related disciplines, by establishing the first School of Computing in the Commonwealth and create a multidisciplinary Institute for Digital Innovation. He noted the project is complex, but the plan is to provide \$125 million that Mason would need to match with \$125 million. President Cabrera thanked Visitors Cumbie and Rice for agreeing to serve on a committee chaired by Mr. Tom Calhoun, Interim Senior Vice President for Administration and Finance, to address the project.

President Cabrera closed his report by thanking everyone who supported the Campaign and contributed to its success.  
(Attachment 3 – President’s Report)

**V. Provost’s Report**

Provost David Wu thanked the many donors who contributed to the successful Campaign. As a follow-up to the initial Gift Agreement Review Committee report he provided at the October BOV meeting, he provided an activity summary of the review and recommendations of leading practice policy changes (Attachment 4). Provost Wu reviewed the Draft Gift Acceptance Policy (Attachment 5), noting it would be open for public input. He highlighted the following components of the draft policy:

- to articulate the type of gifts that the University will not accept and to identify specific conditions that may require further review by the Gift Acceptance Committee;
- encouraging transparency at all levels and by all parties in the gift acceptance process; and
- guaranteeing some of the conditions for public access of some of the gift information.

Provost Wu noted that the composition of the Gift Acceptance Committee (Draft Policy Section II.C.3) has not been fully developed pending further consultation and discussion with the campus community. He asked the Board to review the draft policy and provide input. Provost Wu provided an overview of the 27 in-scope gift agreements marked for review and explained they were categorized by the individual remaining balances of the gifts. He noted that 13 of the 27 had a remaining balance of over \$100,000 and those have received detailed review. He highlighted the Marked Gift Agreement Follow-up Report (Attachment 6) which provided a status on each of those 13 gift agreements.

Vice Rector Hazel **MOVED** and Visitor Witeck **SECONDED** a motion to accept the Draft Gift Acceptance Policy as presented and make it available for public comment.

Rector Davis thanked Visitors Witeck and Alcalde, faculty, and students for their work and time spent on the review committee. He asked Visitors Witeck and Alcalde to continue their involvement through the comment process.

Visitor Witeck commented that he was moved by the collaborative process and respectfulness of all the stakeholders, noting that once the findings were produced, the work is not done. He noted that a forward-thinking policy is needed to address the concerns that have been raised. Visitor Witeck thanked Provost Wu for his leadership.

Dr. Keith Renshaw, Chair of the Faculty Senate, commented that he appreciated the timing of the document being available for public comment and all the work that has been accomplished. He noted that he looked forward to continuing to work with everyone on this project.

Rector Davis opened the floor for any additional discussion. There was none.

**MOTION CARRIED UNANIMOUSLY BY VOICE VOTE**

(Attachment 4 – Gift Agreement Report Activity Summary)

(Attachment 5 – Draft Gift Acceptance Policy - Approved)

(Attachment 6 – Marked Gift Agreement Follow-up Report)

**VI. Committee Reports**

**A. Development Committee**

Rector Davis called on Chairman Hazel to provide a report from the Development Committee. Chairman Hazel reported the Development Committee received a report from Mr. Jay O'Brien, Chair of the George Mason University Foundation, who reported the finances and the management structure of the Foundation are the best they have ever been, the audits have been clean, and the external investment company continues to do a good job of managing and protecting the Foundation investments. Chairman Hazel noted possible cash flow from the Broadlands property in Loudoun County later in the summer of 2019.

Chairman Hazel reported the committee heard a presentation from Dr. Ken Ball, Dean of the Volgenau School of Engineering (VSE), on funding and fundraising priorities and shared that VSE has 500 faculty and 8,000 students. Chairman Hazel noted that Dr. Ball is on a branding mission by using every opportunity to publicize VSE across the U.S. engineering community. He reported that Dr. Ball shared a video with the committee featuring Secretary Purvis, who spoke about why her company (Northrup Grumman) appreciates

Mason engineering students. Chairman Hazel noted this video had been shown at American Society of Engineering annual meeting in Washington, DC which was attended by engineering deans from across the U.S. He noted that Mason has the fastest growing engineering school in the U.S. and that Dr. Ball's priorities include endowed chairs, endowments for junior faculty, endowed labs and equipment, and naming opportunities. Chairman Hazel highlighted the ADVANCE Partnership with Northern Virginia Community College (NVCC) and reported that half of Mason's engineering students come as transfers from NVCC.

Chairman Hazel reported the committee received a report from Ms. Chris Clark-Tally, Associate Vice President in the Office of Alumni Relations, on the restructuring of Alumni Relations and Annual Giving and the introduction of the two new Alumni Outreach Officers, Mr. Kazim and Mr. Winstead.

**B. Audit Committee**

Rector Davis called on Chairman Rice to provide a report from the Audit Committee. Chairman Rice reported the committee met with the Auditor of Public Accounts to discuss the initiation of their annual audit of the University's financial statements and noted they will complete their work by April 2019. He reported the committee received an update on the University's approach to managing levels of student enrollment, including potential risks which might impact projected levels of enrollment, including an overview of the competitive marketplace. Chairman Rice noted the committee received a briefing on management's processes for achieving visibility to future enrollment levels, and monitoring and limiting any potential impacts. He noted that aside from the mission, strategic and viability importance of enrollment levels, this is important because of the impact on University revenues and Mason's ability to plan for, and actually deliver, quality higher education to students. Chairman Rice reported the committee reviewed the report of approved contractual conflict of interest waivers provided by the University Ethics Officer and the audit status report.

**C. Academic Programs, Diversity, and University Community Committee**

Rector Davis called on Vice Chairman Witeck to provide a report from the Academic Programs, Diversity, and University Community Committee. Vice Chairman Witeck reported the committee received updates on the INTO-Mason Joint Venture from Dr. Michelle Marks, Vice President of Academic Innovation and New Ventures, and Mr. David Burge, Vice President of Enrollment Management. Vice Chairman Witeck explained this partnership provides transformational education pathways for international students and noted this partnership is growing and increasing during a time when the number of international students in the U.S. is flatter than in the past. He noted that Mason stands apart as a leader in attracting 1,037 INTO Mason

students since 2015 who matriculated to degree-seeking programs; 3,814 international students enrolled at Mason in Fall 2018. Vice Chairman Witeck reported the committee heard a presentation from Dr. Henry Butler, Dean of the Antonin Scalia Law School, and Ms. Alison Price, Senior Associate Dean of the Antonin Scalia Law School, on the Law School Diversity and Inclusion (D&I) Project. Vice Chairman Witeck reported this project has the support and participation of Ms. Kelly McNamara Corley, past BOV member, who was instrumental in the initiation of this project which also involved current BOV member, Visitor Ignacia Moreno. He noted this project is ambitious, but its purpose is to challenge and educate Mason's law students to create accessible, innovative, and inclusive learning environments and take those D&I ideas into the workplace. He reported Mason will then spearhead a legal education that is holistic in terms of diversity and inclusion and create both a certificate program and a for-credit course. Vice Chairman Witeck asked Visitor Moreno for her comments. She added that the conference was fantastic and that Dr. Butler and Ms. Price did an excellent job.

**D. Research Committee**

Rector Davis called on Chairman Blackman to provide a report from the Research Committee. Chairman Blackman reported the committee received an update from Dr. Deb Crawford, Vice President for Research, who described the activities leading up to Amazon's announcement in choosing Arlington, VA as one of the two sites for its new HQ2 headquarters and the projected economic impact for Virginia of that decision. He noted that Dr. Crawford highlighted Mason's TECH Talent, the largest undergraduate TECH cohort of any Virginia public institution, and the planned strategic expansion of the Arlington campus that will include the launch of the new Institute for Digital InnovAtion (IDIA) and a new 400,000 square foot IDIA Tower in Arlington. Chairman Blackman noted this expansion would house educational programs for the new School of Computing as well as the Schar School of Policy and Government, the School of Business, and the Antonin Scalia Law School, creating one of the largest graduate campuses in the greater Washington Area. He noted that in addition, the Tower would house tech business incubator programs and will be designed to turbo charge the tech innovation economy in the region.

Chairman Blackman reported the committee also received a report from Dr. Houman Homayoun, Associate Professor in the Department of Electrical and Computer Engineering, on the research on energy-efficient and secure computing being conducted in the Accelerated, Secure, Energy-Efficient Computing (ASEEC) Lab. He noted the ASEEC Lab receives funding from NSF and DARPA, as well as funding from industries, and conducts a wide range of research projects around autonomous computing and the impact on the elements around the cyber security elements.

Visitor Prowitt commented that Dr. Crawford's presentation had been added to the BoardEffect portal and encouraged the members to read it.

**E. Finance and Land Use Committee**

Rector Davis called on Vice Chairman Blackman to provide a report from the Finance and Land Use Committee. Vice Chairman Blackman reported the committee received briefings on the following:

- FY 2020 financial outlook
- Key budget development assumptions
- Room and board rates preview
- Core Campus project update
- Police and public safety update

Vice Chairman Blackman reported the committee reviewed and approved the University's schematic design for the Clean Room on the 3<sup>rd</sup> floor of the Institute for Advanced Biomedical Research (IABR) on the Science and Technology campus. He noted the project as designed is consistent in terms of scope and budget with what the Board approved a year ago.

It was **MOVED** by Vice Chairman Blackman and **SECONDED** by Visitor Reagan to approve schematic design for the Institute for Advanced Biomedical Research Clean Room as presented. Rector Davis opened the floor for discussion. There was none.

**MOTION CARRIED UNANIMOUSLY BY VOICE VOTE**

**VII. Closed Session**

It was **MOVED** by Vice Rector Hazel and **SECONDED** by Secretary Purvis that the Board go into a Closed Session under the provisions of Section 2.2-3711.A.29 to discuss a Public Contract, Section 2.2-3711.A.9 to discuss Gifts, Bequests and Fundraising Activities, Section 2.2-3711.A.7 for consultation with Legal Counsel pertaining to actual or probable litigation, Section 2.2-3711.A.8 for consultation with Legal Counsel regarding specific legal matters requiring the provision of legal advice, Section 2.2-3711.A.1 to discuss a Personnel Matter, and Section 2.2-3711.A.10 to discuss Honorary Degrees and Special Awards.

**MOTION CARRIED UNANIMOUSLY BY VOICE VOTE**

It was **MOVED** by Vice Rector Hazel and **SECONDED** by Visitor Cumbie that the Board go back into public session and further moved that by **ROLL CALL VOTE** affirm that only public business matters lawfully exempted from the open meeting requirements under the Freedom of Information Act were heard, discussed or considered in the Closed Meeting, and that only such business matters that were identified in the motion to go into a Closed Meeting were heard, discussed or considered in the Closed Meeting.

Roll call was taken with all present members responding in the affirmative.

As a result of the Closed Session, it was **MOVED** by Visitor Prowitt that the Board support the nomination of Joseph Heastie to receive the Mason Medal. The motion was **SECONDED** by Visitor Zuccari. Rector Davis opened the floor for discussion. There was none.

**MOTION CARRIED UNANIMOUSLY BY VOICE VOTE**

Rector Davis called for any additional business to come before the Board. He recognized Vice Rector Hazel. Vice Rector Hazel encouraged the Board members to tour the Front Royal campus that is in partnership with the Smithsonian Institution. He commented that he had recently visited the campus and found a very excited and engaged group of students at the School of Conservation. Vice Rector Hazel noted that Mr. Cody Edwards is the Executive Director of the Smithsonian – Mason School of Conservation in Front Royal. President Cabrera added that Mr. Steve Mumford, the co-founder of the Smithsonian-Mason School of Conservation, had just been promoted to director of the National Zoo and he is a Mason alum.

President Cabrera reminded the Board members of upcoming Winter Graduation. Rector Davis noted there are two ceremonies, morning and afternoon, and encouraged the Board's attendance. President Cabrera noted that Ms. Kelly McNamara Corley, former BOV member, would be speaking at the morning ceremony and Dr. M. Brian Blake, Drexel University Provost, would be speaking at the afternoon ceremony; both are Mason alums.

**VIII. Adjournment**

With no more business to come before the Board, Rector Davis adjourned the meeting at 3:25 p.m.

Respectfully submitted,



Kathy Cagle  
Secretary pro tem

- Attachment 1: Board of Visitors Policy: Permitting Participation in Meetings by Electronic Means (1 page)
- Attachment 2: Commendation of Appreciation – Janet Bingham (1 page)
- Attachment 3: President's Report (13 pages)
- Attachment 4: Gift Agreement Report Activity Summary (5 pages)
- Attachment 5: Draft Gift Acceptance Policy – Approved (6 pages)
- Attachment 6: Marked Gift Agreement Follow-up Report (7 pages)

POLICY OF THE BOARD OF VISITORS OF GEORGE MASON UNIVERSITY  
PERMITTING PARTICIPATION IN MEETINGS BY ELECTRONIC MEANS

It is the policy of the Board of Visitors of George Mason University (the "Board") that individual Board members may participate in meetings of the Board by electronic means as permitted by Virginia Code § 2.2-3708.2. Such individual board members must notify the Rector in advance of the meeting.

A member of the Board may attend a meeting by electronic means if such member is unable to attend a meeting of the Board in person due to a temporary or permanent disability or other medical condition that prevents the member's physical attendance, or is unable to attend a meeting of the Board in person due to a personal matter which the member identifies with specificity.

Whenever an individual member wishes to participate from a remote location, a quorum of the Board must be physically assembled at the primary or central meeting location, and there must be arrangements for the voice of the remote participant to be heard by all persons at the primary or central meeting location.

When such individual participation is due to an emergency or personal matter, such participation is limited by law to two meetings of the public body per member each calendar year, whichever is fewer.

This policy also applies to participation of Board members in meetings of committees and subcommittees.

This policy shall apply to the entire membership and without regard to the identity of the member requesting remote participation or the matters that will be considered or voted on at the meeting.

Individual participation from a remote location is subject to Board approval. The Board hereby delegates to the Rector the authority to approve or disapprove the participation of a Board member from a remote location. Such participation from a remote location may not violate this policy or the provisions of the Virginia Freedom of Information Act. If the Rector disapproves a member's remote participation because such participation would violate this policy, such disapproval shall be recorded in the minutes with specificity.

Adopted: (date) December 12, 2018



Shawn Purvis  
Secretary  
Board of Visitors  
George Mason University



**Board of Visitors  
George Mason University  
Commendation of Appreciation for  
Janet Bingham, Ph.D.**

**Whereas**, Dr. Janet Bingham has served since 2013 as Vice President for Advancement and Alumni Relations and as President of the George Mason University Foundation; and

**Whereas**, Dr. Bingham has led the university's record-setting Faster Farther campaign, which has raised more than \$650 million for university priorities, shattering its original goal of \$500 million; and

**Whereas**, her leadership, along with the efforts of the Advancement and Alumni Relations staff, the Board of Trustees, volunteer leadership, and faculty and staff across the university, and especially the generosity of thousands of donors, was essential to the success of the Faster Farther campaign; and

**Whereas**, under her leadership, the university's fundraising has increased from \$46 million in 2013 to \$72 million in 2018, and the permanent endowment managed by the George Mason University Foundation has increased from \$60 million in 2013 to \$92 million in 2018; and

**Whereas**, these improvements in fundraising have translated directly into greater support and services for our students, faculty, and the community; and

**Whereas**, these fundraising successes have been essential to advance Mason's strategic initiatives during a period of rapid enrollment growth coupled with flat levels of state support; and

**Whereas**, Dr. Bingham has decided to retire effective Feb. 1, 2019 after the celebration of the campaign's completion, which officially concludes on December 31, 2018; and

**Whereas**, Dr. Bingham has been a tireless advocate for George Mason University, and

**Whereas**, her colleagues commend her for her guidance, friendship, professionalism and positive attitude;

**Now, therefore**, the Rector and Visitors unanimously congratulate and commend Dr. Janet Bingham for her dedication, service, and contributions to George Mason University.



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Tom Davis, Rector  
George Mason University

**President's Report  
December 12, 2018**

*[Goals and activity updates since the October 10, 2018 BOV meeting.]*

**Faculty Highlights:**

- CEHD assistant professor Anne Horak's "Not for Sale: A Problem About Gentrification, Soccer and Building Community" has been recognized by the National Association for Gifted Children as "a model of exemplary curriculum." It is part of a five-year study funded by a \$2.5 million U.S. Department of Education grant.
- By examining the remains of big cats and birds as far back as 435 A.D., Mason assistant anthropology professor Nawa Sugiyama found evidence of animal captivity in the ancient Mayan city of Copán.
- Haoua Guezzuez, a Fulbright scholar from Tunisia, is coordinating Mason's Arabic Language Exchange Network, which pairs Arabic speakers with students interested in learning the language. The program has received grants from the U.S. State Department's Critical Language Scholarship Program.
- CEHD associate professor Amy Hutchison, director of Mason's Division of Elementary, Literacy and Secondary Education, is exploring the best ways to train teachers to translate new Standards of Learning for computer science into student outcomes in Virginia public schools. Her study is funded by a National Science Foundation grant.
- Reginald Allen, the Environmental Protection Agency's assistant deputy chief of staff, joined Mason as a resident executive/affiliate faculty member within the College of Science's Department of Environmental Science and Policy. Next semester he will co-teach a new course on environmental security.
- Holbert L. Harris Chair of Economics Tyler Cowen and Pulitzer Prize-winning economics columnist and Robinson Professor of Public Affairs Steven Pearlstein held a discussion at the Mason Club (which I had the pleasure to moderate) to debate the moral obligations of capitalism.
- Professor Tyler Cowen hosted a Mercatus Center session with Nobel Laureate Daniel Kahneman.

- “Vidas Activas, y Familias Saludables (VALÉ): A Multidisciplinary Childhood Obesity Treatment Program for Latino Communities,” directed by faculty from CHHS, CEHD and CHSS, received the Potomac Health Foundation’s Best Practice Award for Community Engagement.
- Four Mason nursing alumnae, including adjunct professor Theresa Davis, were named Fellows of the American Academy of Nursing.
- Three Department of Social Work professors, in collaboration with partners from the local, state, and national levels, will introduce nursing facilities across Virginia to the MUSIC & MEMORY® program and provide training for caregivers.
- Former Governor Terry McAuliffe (D) and former U.S. Rep. Tom Davis (R), both Schar School professors, shared advice with more than 30 newly elected officeholders at the first Schar School Elected Leaders Regional Policy Seminar.
- The Michael V. Hayden Center for Intelligence, Policy and National Security at the Schar School held high profile events November 16, 23 and December 10, drawing impressive attendance and media coverage.
- The Scalia School hosted the first Corley Institute for Diversity & Inclusion Education on November 4-6. Sponsored by alumna and former visitor Corley, it included Visitor Ignacia Moreno among speakers.
- The Center for Psychological Services, which trains graduate students and provides evidence-based and accessible services for the community received, in collaboration with the Virginia Department of Veterans Services (DVS), a grant from Dominion Energy to cover the cost of evaluations for 35 veterans over the next year.

#### **Student and Alumni Highlights:**

- Mason alumnus Steven Monfort, who co-founded the Smithsonian-Mason School of Conservation, was named director of the Smithsonian’s National Zoo and Conservation Biology Institute in September after a stint as acting director.
- Chris Stockwell, a 2017 Schar School master’s graduate, is capitalizing on the alternative transportation analysis he conducted at Mason. Stockwell is senior manager of partnerships at Bird, the shared scooter company gaining prominence nationwide as the “Uber of scooters.”

- Ellen DeGeneres welcomed to her show former Mason track star and Olympic medalist David Verburg to thank him for stopping traffic to rescue an endangered turtle in Florida. She awarded him \$10,000 toward his animal rescue foundation.
- Mason Honors College alumnus and Fulbright scholar Desmond Moffitt spurred a German-American Fulbright Commission diversity roundtable by convincing the U.S. State Department that cohorts of diverse scholars teaching overseas need more support to navigate and thrive in the countries to which they have been assigned. Moffitt is pursuing a master's degree in education policy at Columbia.
- Two Mason students and an alumna from the School of Theater presented brief selections from "The Laramie Project" at the Smithsonian Institution's National Museum of American History as part of the Matthew Shepard collection dedication.
- The first nine students in a new Headquarters Marine Corps program, which makes higher education opportunities available to Marine Corps Officers, have begun studies in the Schar School. All nine are in the Master of Public Policy Program.
- The Zakin family from Pittsburgh received the Alan and Sally Merten Family of the Year Award during Family Weekend. Daughter Kacie, a freshman majoring in community health and minoring in Spanish, nominated her family in an essay.
- Patricia Kelshaw, working on her third degree from Mason's Athletic Training Education Program, spent a week on a prestigious Young Investigator Grant at Harvard University's Accelerate Knowledge/Improve Care Concussion Research Program.
- CVPA student Crystal Golden, pursuing her master of music degree on the Peterson Endowed Vocal Studies Scholarship, placed first in the graduate/advanced college women category of the 2018 National Association of Teachers of Singing vocal competitions.
- Honors College student Amy Rose was the lone U.S. representative invited to Hop last summer! Tour des Jeunes Pilotes, a two-week program that gives young pilots the opportunity to compete in daily aviation competitions and demonstrations across France.
- Nursing doctoral student Melissa Scott Swensen is the inaugural recipient of the General Hazel Johnson-Brown Scholarship, awarded to an outstanding student in the School of Nursing. Swensen is a nurse, military spouse and mother of five.

- Government and international politics graduate Ghazal Khammash became the first student enrolled in Mason's 3+3 Accelerated Program, which allows students to earn both their undergraduate degree and law degree in six years instead of seven.
- Kinesiology major Emma van der Vorst, a freshman striker from the Netherlands, became the first Mason women's soccer player to be named Atlantic 10 Conference Player of the Year.

**Access to Excellence:**

**Overall Enrollment:** Spring 2019 total university enrollment is up by 4.3% year-to-date (28,446 from 27,275, +1,171). Total undergraduate enrollment is 22,997, which reflects a 4.7% increase. Total graduate enrollment is up by 2.6% (7,137 from 6,954). Once final registrations are completed and the semester begins in January, we expect total enrollment to be approximately 37,000.

**Transformative Learning:**

**ADVANCE:** For Spring 2019, 148 new students have enrolled so far. By the start of the semester, we expect total ADVANCE enrollments to have grown to as many as 300, which is a large increase from this Fall's beginning total of 129 students.

**Adult Learners:** We continue to explore possible partnerships which would expand our ability to serve adult learners through online education. This Fall we have held multiple campus conversations on this topic. We will update you on our progress in a separate briefing.

**Wiley Partnership:** We expect our portfolio of Wiley online offerings to continue to grow steadily. New Spring 2019 enrollments are projected to be between 175 and 200, for a total of 475 to 500 students (new and continuing).

**Research:**

Following last year's strong research performance, overall research activity continues to grow rapidly. Sponsored research expenditures and value of awards have both increased by over one-third.

	FY18 thru Oct	FY19 thru Oct	Difference
<b>Proposals No.</b>	432	411	-4.86%
<b>Proposals \$</b>	\$184,162,032	\$154,556,307	-16.08%
<b>Awards No.</b>	388	385	-0.77%
<b>Awards \$</b>	\$57,690,351	\$77,956,983	35.13%
<b>Expenditure \$</b>	\$38,752,316	\$52,030,267	34.26%
<b>F&amp;A \$</b>	\$6,785,063	\$7,263,562	7.05%

The Chronicle of Higher Education recognized Mason as the eighth highest recipient of funding from the National Endowment for the Humanities in the past decade, receiving almost \$6M in support of 37 projects, many in the area of digital humanities.

#### **Development:**

The Faster, Farther Campaign was celebrated at a gala event at the Ronald Reagan Building on Saturday, December 8. While the campaign does not officially end until December 31, under the leadership of Campaign Chairman Jimmy Hazel, and thanks to the work and contributions of thousands, we have exceeded both our original goal of \$500M as well as our revised goal of \$600M. To date, campaign giving stands at \$673M and counting.

Annual fund-raising is set to greatly exceed last year's total. To date, we have raised \$77M, surpassing our annual goal of \$60M with more than 6 months to go in the fiscal year. At this pace, we are firmly on track to exceed \$100M, which would be the highest total ever raised by the university in a single year.

Endowment giving is \$57.3M, which has already vastly exceeded our annual goal of \$5M. The total number of alumni donors stands at 2,277, which is slightly behind last year's pace.

As a follow up to the Gift Review Committee's report, the Provost has worked with various different university stakeholders to produce a new set of gift policies. He will review the draft

with you in the upcoming Provost's Report. He will also discuss what has been done to address the existing gift agreements which were marked for further review by the Committee.

**Foundation for the Future:**

As part of our commitment to support Amazon's new HQ as well as the broader economic ecosystem that is projected to grow around Amazon, we announced plans to add a School of Computing and more than double our computing graduates to roughly 15,000. To support this growth we are planning a large-scale expansion of the Arlington Campus. We will invest raise \$125M to match the \$125M provided by the Commonwealth, which should allow us to enlarge the campus to 1.2 million square feet. Planning has begun to assess the impact of Amazon's HQ2 relocation to Arlington and accelerate Arlington campus planning with a focus on the replacement of the original building.

Construction continues on a replacement for Robinson Hall and associated major upgrades to the Fairfax campus utility infrastructure. Completion is scheduled for 2021.

In addition to the planned and funded expansion of Bull Run Hall in SciTech, we're making progress in partnering with private developers to build a town center adjacent to our campus that will create new amenities and living options for our university and all businesses in the Innovation Park.

We have hired a consultant to conduct best practice analysis on our current budgeting processes.

All of the university's key financial metrics have either maintained or improved their previous levels during the evaluation of the 2018 unaudited financial statements. These metrics will be officially updated at the conclusion of the annual audit.

**Rankings:**

CollegeVine.com listed Mason among 10 schools "that are consistently underrated, but which

students and parents shouldn't discount." The list took into account cost of attendance/financial aid and scholarships, ROI, financial performance of certain majors, and career outcomes.

Mason was named among the top 23 percent of universities receiving research and development funding from the National Science Foundation.

The Chronicle of Higher Education recognized Mason as the eighth-highest recipient of funding from the National Endowment for the Humanities in the past decade, with funding for 37 projects totaling \$5.8 million.

Food website The Daily Meal ranked Mason as one of the top colleges for food in America, citing the university's nutritious options, sustainability practices and menus that reflect a diverse student population.

**Media:**

Mason faculty, staff, and students continue to feature prominently in national and international media. Please read the weekly digest for the latest.

**Legislative Update – Federal:**

Virginia has five new members of the U.S. House of Representatives:

- Democrat Elaine Luria defeated incumbent Republican Scott Taylor in the 2<sup>nd</sup> District, 51.1% - 48.9%.
- Republican Denver Riggleman defeated Democrat Leslie Cockburn in the open 5<sup>th</sup> District, 53.3% - 46.7%.
- Republican Ben Cline, House of Delegates 24, defeated Jennifer Lewis in the open 6<sup>th</sup> District, 59.9% - 40.1%.
- Democrat Abigail Spanberger defeated incumbent Republican Dave Brat in the 7<sup>th</sup> District, 50.3% - 48.5%.
- Democrat Jennifer Wexton, State Senate District 33, defeated incumbent Republican Barbara Comstock in the 10<sup>th</sup> District, 56.2% - 43.8%.



Incumbent Reps Bobby Scott (D-3), A. Donald McEachin, (D-4), Don Beyer (D-8), Morgan Griffith (R-9), and Gerry Connolly (D-11), and Senator Tim Kaine, all won reelection.

Congratulatory letters were generated and visits will be scheduled in early in 2019.

Rep. Bobby Scott (D-3), the current Ranking Member of the House Education and the Workforce Committee, will now become the Chairman given the shift in control of the Chamber. In a letter appealing to his fellow Democrat colleagues for the Chairmanship, Scott outlined his priorities including, “equity in education, expanding access to affordable health care, ensuring workers have a safe workplace where they can earn decent wages, and conducting rigorous oversight into this Administration’s deregulatory agenda.” He explained that over the past two years he has worked collaboratively within his Caucus to free students from the burdens of crippling debt, support workers’ access to fair wages, safe workplaces, and a secure retirement, and expand affordable, accessible health care coverage to all Americans. One of Rep. Scott’s goals is reauthorization of the Higher Education Act, which sets policy for student aid programs and other issues affecting colleges and universities. Over the years, a productive relationship has been established with Rep. Scott which will serve to support Mason’s priorities for the legislation’s re-write.

#### **Legislative Update – State:**

We continue to have a strong presence in Richmond. Our state government relations team, Paul Liberty, Mark Smith and Sarah Huang, continue to identify opportunities for Mason to be engaged. In addition to my own trips to Richmond in recent weeks, others from Mason have done the same—Michelle Marks, Deb Crawford, Bill Hazel as well as many members of their teams.

During the late fall, a busy schedule of legislative, budget and new initiatives was maintained. Specifically:

- Participated in one-on-one meetings with four House members and one Senate member in the Central Virginia area.

- Presented Mason's potential public/private partnership proposal to the Joint Subcommittee on the Future Competitiveness of Virginia Higher Education—comprised of legislative leadership on the House Appropriations and Senate Finance Committees.
- Served on a panel for the BOV orientation program and attended the SCHEV/BOV reception.
- Hosted Governor Northam on the Fairfax campus for the ADVANCE Launch event.
- Accepted an invitation from SCHEV to make a presentation about ADVANCE, public/private partnerships and other innovative initiatives in higher education.
- Michelle Marks and her team were actively engaged with the most recent Online Virginia Network Board meeting. The Board members were very positive about the contributions by Mason and our partners on this project.
- Deb Crawford and Bill Hazel have participated in VRIC meetings and helped shape the future Commonwealth Cybersecurity Initiative.
- Attended the Amazon announcement with the Governor and members of the General Assembly.

**Looking Forward:**

- December 14: Mason will participate in a meeting to be convened by Speaker Cox to discuss the alignment of higher education with the business community, particularly in addressing workforce challenges.
- December 18: Governor releases budget proposal.
- January 9: General Assembly convenes.
- January 10: Mason legislative breakfast.
- January 29: Mason Alumni reception in Richmond.
- January 30: Mason Lobbies in Richmond.
- February 23: General Assembly adjourns.

**External Activities & Speaking Engagements:**

- Attended a Fall for the Book Reception and provided opening remarks prior to readings by three finalists for the inaugural Institute for Immigration Research New American Voices Award.

- Joined President Scott Ralls, Northern Virginia Community College, at a luncheon with eight local superintendents and/or their representatives. This session provided an opportunity to outline the ADVANCE program, its unique model and the many advantages it offers to students in our region.
- Attended the Arts Awards luncheon, an event that brings together the arts and business communities, civic and elected leaders to celebrate the extraordinary contributions of artists, arts organizations and the private sector for supporting the arts in Fairfax County, the City of Fairfax and the City of Falls Church.
- Provided remarks at the Corley Institute Inaugural Lawyers Conference on Diversity and Inclusion.
- Accepted an invitation from Georgia Tech to travel to New York to participate in a roundtable conversation on their report "Deliberate Innovation, Lifetime Education" including higher education national leaders and media representatives and moderated by Jeff Selingo.
- Attended and participated in the 2018 APLU Fall Board Meeting including CII Executive Committee sessions and the Council of Presidents meeting.
- At the invitation of former NOVA President Bob Templin, participated in the Aspen Presidential Fellowship Program where I discussed how to develop successful community college-university partnerships. We participated in a dialogue on the NOVA-Mason transfer partnership and outlined that it is one of the most successful and best known in the country. It is one of the models that the fellows have been examining.
- Participated in a radio conversation with Tien Wong, CEO of Opus 8 and Chairman of Tech 2000 and Lore Systems and Jason Miller, CEO of the Greater Washington Partnership. The conversation on the topic of Amazon joining the region was moderated by Jonathan Aberman.
- Attended the Washington Airport Task Force Annual General Meeting and Williams Trophy Presentation awarded to The Honorable Terry McAuliffe.
- Traveled to New York City to participate in the launch of the United States Sustainable Development Solutions Network at Columbia University.
- Attended the Virginia Council of Presidents meetings (including GPAC/SCHEV sessions).

- Participated in various development activities/cultivation dinners and visits with donors and business CEOs, and 123 Club sessions.

**Internal/Campus-Related Activities & Speaking Engagements:**

- **Mason Madness:** kick-off to the basketball season for both the men's and women's teams.
- Alumni Weekend events, including a Mason Science Experience and the Golden Bash.
- Closing remarks at the Mason/MLH Hackathon.
- Met with the Accreditation Board for Engineering and Technology (ABET) team.
- Hosted the annual Board of Visitors Recognition Event at the Mathy House. Former Governor Terry McAuliffe was the special guest and provided remarks.
- Attended and provided remarks to the Catholic Patriots at their Thursday Night Supper event. The conversation included an update on Mason initiatives and exchanges on how the Catholic Patriots can engage and serve the university community.
- Attended a dinner with Jose Antonio Vargas prior to his participation in a Freedom and Learning Forum where we engaged in a fireside chat about his background, education, and work-related experiences.
- Attended a Growth4VA Joint Working Group Meeting. Topics of discussion included refinement of legislative priorities, Northam Administration and General Assembly engagement, and Coalition Activation and Institutional Support.
- Provided opening remarks and an introduction of James Forman, Jr., a Yale Professor who was awarded the Pulitzer Prize for his book "Locking Up Our Own, Crime and Punishment in Black America" at the inaugural Roger Wilkins Lecture. Following the lecture, attended dinner with Wilkins family members, students, faculty, administration and fund donors.
- Joined VP of University Life, Rose Pascarell, at a luncheon with several Mason LIFE students and the administrative staff.
- Welcomed Governor Ralph Northam, representatives from Northrup Grumman and Micron, and President Scott Ralls at an event to celebrate the ADVANCE kick off and recognize the efforts of teams from both institutions that serve the initiative.
- Provided remarks at the university farewell event for former Sr. Vice President JJ Davis.
- Attended a Board of Trustees Executive Committee meeting and provided a presidential update.

- Moderated a discussion with Professors Tyler Cowen and Stephen Pearlstein on the book “Capitalism, Morality and Economic Growth”.
- Met with the Faculty Senate Executive Committee.
- Participated in the annual National Leadership Conference with university and corporate leaders, members of the Board of Visitors and Board of Trustees, and alumni.
- Provided opening remarks at Mason Hillel Expressions of the Holocaust event.
- Met with candidates for the positions of Vice President of Advancement and Sr. Vice President.
- Along with Germaine Louis, hosted several out-of-state deans for dinner at the Mathy House to discuss the topic of a College of Public Health at Mason.
- Attended a President’s Student Advisory Group luncheon to discuss the topics of campus climate and priorities for the spring semester.
- Participated in a Family Weekend Meet & Greet, which provided the opportunity to mix and mingle with families and students.
- Provided the introduction of Daniel Kahneman, Nobel-prize winning psychologist and internationally best-selling author of “Thinking Fast and Slow”, at a Conversations with Tyler series event.
- President’s Council meeting.
- Participated in the Faster Farther Campaign Close celebration held at the Ronald Reagan Building. Over 700 people were in attendance to share in the success of Mason’s largest fundraising endeavor, surpassing the initial goal of \$500 million, along with doubling the university’s permanent endowment.
- Continued the ongoing series of one-on-one meetings with the academic deans followed by town hall sessions with unit faculty and staff. These sessions are now concluded.
- Continued to meet individually with Board of Visitor members. The remaining sessions will conclude in the new year.
- Attended various Mason sporting events, to include men’s and women’s basketball games.

**Outside Board Service:**

- Inovio (NASDAQ:INO) (telephonic/in-person meetings).
- Georgia Tech Advisory Board (no meeting attendance this period).

- Bankinter Foundation of Innovation, Madrid, Spain.
- Northern Virginia Technology Council.
- Consortium of Universities of the Washington Metropolitan Area.
- Tec de Monterrey, Mexico, Academic and Research Board (board service concluded).
- Institute of International Education/Council for International Exchange of Scholars Advisory Board.
- Washington Airport Task Force.
- National Geographic (telephonic/in-person meetings in DC).
- Richmond Federal Reserve Board (telephonic/in-person meetings in Richmond).
- Economic Club of Washington Board (in-person meeting).
- Center for Innovation Technology (CIT).

**Select Upcoming Events:**

- Mathy House Holiday Gathering – December 14
- University Holiday Party – December 18
- Holiday Break/University Closed – December 22 – January 6, 2019
- Next BOV Meeting – February 27, 2019

# BOARD OF VISITORS PROVOST'S REPORT

## REPORT OF THE REVIEW OF GIFT AGREEMENTS – ISSUED 10/9/2018



**393**  
Gift Documents  
Provided

**314**  
In-Scope Gift  
Agreements Provided

**8** Criteria Areas Identified

- Academic Freedom
- Exclusions/Preferences
- Outside Party Influence
- Financial Burden
- Partner Requirements
- Donor Notification
- Transparency
- Intellectual Property

**2927**  
In-Scope Gift  
Agreements  
Marked for  
Further Review

- Noted gift agreement language posing potential challenges;
- Recommended leading practice language;
- Advocated for broader improvements to University gift acceptance policies, procedures, and protocols.

**ACTIVITY SUMMARY – OCTOBER-DECEMBER 2018**

- ✓ Published the Report of the Review of Gift Agreements and accompanying gift agreements on the Office of the Provost website;
- ✓ Gathered input from the Mason community and beyond;
- ✓ Responded to Faculty Senate resolutions with a detailed presentation in November;
- ✓ Followed up on outstanding concerns on 27 in-scope agreements marked for further review;
- ✓ Began extensive revisions to the gift acceptance policy.

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1. **DRAFT POLICY 1123: Gift Acceptance**
2. **Specific Gift Agreement Amendments**

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**DRAFT POLICY 1123: GIFT ACCEPTANCE****I. Scope****II. Policy Statement**

- A. Taxation
- B. Receipt of Gifts
- C. Gift Acceptance**
- D. Public Access to Gift Information**
- E. Administration of Gifts

- III. Definitions
- IV. Responsibilities
- V. Forms
- VI. Dates
- VII. Timetable for Review
- VIII. Signatures

*90% of the committee's  
recommendations were  
wholly incorporated into the  
new policy.*

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**DRAFT POLICY 1123: GIFT ACCEPTANCE**

## **DRAFT** Policy 1123: Gift Acceptance

A new policy draft based on the committee's recommendations has been developed in consultation with George Mason University's:

*President – Provost - University Counsel - Vice President for University Advancement and Alumni Relations and President of GMU Foundation - University Ethics Officer*

- Articulating types of gifts that will not be accepted by the University and the escalation conditions for Gift Acceptance Committee review;
- Guaranteeing conditions for public access to gift information; and
- Encouraging transparency at all levels and by all parties in the gift acceptance process.

GEORGE MASON UNIVERSITY [6]

**NEXT STEPS ON POLICY 1123: GIFT ACCEPTANCE**



**Policy 1123: Gift Acceptance**

- Draft policy will be made available for feedback from the public;
- Finalized policy will be issued as an action item for Board of Visitors approval in February.

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**SPECIFIC GIFT AGREEMENT AMENDMENTS**

**28 27**

**In-Scope Gift Agreements Marked for Further Review**

*Less than 9% of all gift agreements under review*



Agreement #	TOTAL
<b>Agreements \$1M+</b>	
335, 153, 346, 299, 306, 20, 301, 50	\$20.92M
<b>Agreements \$100k - \$999k</b>	
348, 43, 60, 63A, 29	\$1.6M
<b>Agreements \$10k- \$99k</b>	
226, 227, 228, 230, 232, 233, 234, 336, 61, 62, 41, 42/108	\$0.11M
<b>Agreements &lt;\$10k</b>	
40, 67	\$0.01M

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**SPECIFIC AGREEMENT AMENDMENTS SUMMARY**

The University, represented by the president, provost; vice president for advancement and alumni relations; academic unit leadership; and development officers; worked to address issues in agreement language noted by the Committee. University representatives focused on 13 marked agreements with total current use and endowment funds above \$0.1M, totaling \$22.5M.

**Agreement Status**

- 20, 43 and 60 under revision and pending completion;
- 335, 346, 306, 301, 348, 63A language clarified with donor/academic unit;
- 29, 135, 299 language evaluated in the context of the broader agreement and resolved.

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# Policy 1123: Gift Acceptance

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**Responsible Office:**

University Advancement and Alumni Relations

**Procedures:**

Appendix A: George Mason University Required Endowment and Deferred (Planned) Gift Minimums)

Appendix B: George Mason University Philanthropic Naming Opportunities  
Gift Acceptance Committee Procedures

**Related Law & Policy:**

Policy 1129, Art Collection Management

Policy 4006, Sponsored Programs Administration

Policy 4008, Private Sector Funding (draft in progress).

Virginia Freedom of Information Act, Va. Code § 2.2-3700 *et seq.*

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**I. Scope**

This Policy covers the transmission, acceptance, disposition, and management of Gifts (as later defined) made for the benefit of George Mason University (the "University"). The policy applies to all University offices. This policy does not apply to grants, which are governed in part by Policy 4008, Private Sector Funding for George Mason University, and Policy 4006, Sponsored Programs Administration.

**II. Policy Statement**

**A. Taxation**

1. George Mason University is a public institution of higher education of the Commonwealth of Virginia. The University is an organization described in Internal Revenue Code section

170. The George Mason University Foundation, Inc. (the Foundation), is a Virginia nonstock corporation organized and operated exclusively to receive, manage, invest, and administer private gifts and property and to make expenditures to or for the benefit of the University. The Foundation is an organization described in Internal Revenue Code section 501(c)(3) and is classified as a publicly supported organization under Internal Revenue Code sections 509(a)(1) and 170(b)(1)(A)(iv).

2. The University does not provide specific tax advice to donors. In general, under IRS regulations, a donor may deduct a Gift to the University if the donor does not retain control over the Gift and does not receive any benefit from the Gift.

**B. Receipt of Gifts**

1. Collection of Gifts from donors directly by a University department is strongly discouraged. In the event that a donor makes a Gift directly to a University department, the department administrator must contact the Office of University Advancement and Alumni Relations immediately for instructions.

**C. Gift Acceptance**

1. The University is obligated to use Gifts in a manner consistent with the stated intentions of the donor. Because the University must comply with donor restrictions, only Gifts that are consistent with federal and state laws, are consistent with the University's values and policies, and are supportive of the University's mission, may be accepted.
2. The University shall not accept any Gift that:
  - a. interferes with or influences the University's academic freedom or its capacity to fully control the management, operations, and direction of its affairs, including admission procedures, faculty selection and promotion, academic programs, and their integrity;
  - b. contains restrictions that unlawfully discriminate on the basis of race, creed, color, citizenship, national origin, religion, sexual orientation, gender identity, gender expression, age, marital or partnership status, military status, or disability;
  - c. presumes or requires a particular result or conclusion of scholarly work;
  - d. impedes the free inquiry and scholarly activity of a faculty member, fellowship holder, or student;
  - e. is offered for purposes inconsistent with its missions of education, research, and service;
  - f. conveys a benefit to the donor rather than serving the public benefit;
  - g. affords the donor influence over the continued employment of specific personnel; or
  - h. impairs the University's ability to define and pursue its mission, require illegal or unethical acts, hinder governance or administration, or compromise the University's accreditation.
3. The Gift Acceptance Committee shall be composed of the following persons:
  - a.

4. Although the Foundation controls the acceptance of gifts to it, the University understands that the Foundation normally chooses to accept gifts that the University has determined to be in furtherance of the mission of the University. Accordingly, the Gift Acceptance Committee shall review and approve Gifts under its purview before the completion of a gift to the Foundation.
5. The following types of Gifts may only be accepted by the University after review and approval by the University's Gift Acceptance Committee:
  - a. Gifts subject to any conditions or restrictions of \$500,000 or more (excluding established programs and faculty research grants);
  - b. Gifts of real estate;
  - c. Gifts that would be paid over a period greater than five years;
  - d. Gifts that would be paid with assets other than cash or readily marketable securities (except for planned gifts);
  - e. Gifts that will draw significant public attention, or have significant reputational implications for the University;
  - f. Gifts from international entities not already known to or affiliated with the University;
  - g. Gifts that would permit use of the University's name or other trademark by the donor or a third party;
  - h. Gifts that may have real or potential conflicts of interest for the donor or University officers;
  - i. Gifts that are specifically related to the appointment or promotion of a specific individual;
  - j. Gifts that would create immediate or future financial or significant administrative burdens;
  - k. Gifts associated with naming opportunities recognizing current or former heads of state or public officials, government entities, corporations, or individuals;
  - l. Gifts ending the faculty positions at a lower amount than the threshold established for each school.
6. The determination of whether a gift must be reviewed by the Gift Acceptance Committee shall be at the discretion of the Vice President for University Advancement and Alumni Relations.
7. Gifts to the University that may expose the University to liability or that obligate the University shall also be reviewed by the Office of University Counsel.

**D. Public access to Gift information**

1. When the Foundation accepts a gift subject to conditions that govern the use of those funds by the University, the University shall provide the Foundation with a writing specifying the University's acceptance of those conditions. Such writing is a public record of the University under the Virginia Freedom of Information Act.

2. The University affords donors the privacy protections permitted by the Virginia Freedom of Information Act.
3. Gifts may be made anonymously, but for gifts \$100,000 or more, the President, Provost, and Vice President for University Advancement and Alumni Relations must be aware of the donor's identity and agree that the University will accept the Gift on condition of anonymity.

E. Administration of Gifts

1. The University's administration of Gifts must comply with all relevant federal and state regulations.
2. The financial management of Gifts should follow the guidelines set forth in the University's Financial Policies.
3. The Office of University Advancement and Alumni Relations is responsible for ensuring that the University is in compliance with applicable laws pertaining to the receipt and management of Gifts and that it honors its fiduciary responsibility to donors. It is the duty of each department or school to use Gifts in accordance with the donor's intentions as agreed by the University.
4. If it becomes impossible or inadvisable for the funds associated with a Gift to continue to be used for the specific purpose for which they were given and subject to the terms of any applicable gift agreement with the University, the University shall contact the donor or notify the Foundation so that the Foundation may contact the donor to discuss an alternate application of the funds. In the case of funds subject to a gift agreement with the Foundation, the donor shall be contacted, the University, subject to the terms of the applicable gift instrument, shall determine appropriate uses of the funds. The University shall work with the Foundation and, in consultation with the University's President, Senior Vice President for Administration and Finance, and Provost and Executive Vice President.
5. Exceptions to this policy must be approved by the President.

III. Definitions

Bequest - A gift of real or personal property made at death by a will or a trust.

Gift - A voluntary transfer of property made without consideration, which may or may not be restricted as to its use. The term "Gift" as used in this Policy includes both transfers of funds or property made by a donor directly to the University; as well as restricted and unrestricted funds transferred by the Foundation to the University.

Grant - An agreement representing the transfer of money, property, or services by a sponsor in exchange for specified services or activities (e.g. research and development). Grants are enforceable by law, and performance is typically accomplished with set time parameters with payment subject to being revoked for cause.

Cash - Money, currency, checks, money orders or cash equivalents.

Securities - Stocks, bonds, options, warrants, notes, or similar instruments, either publicly traded on an exchange (public) or not publicly traded (private).

Gift-in-kind - A gift that is a tangible item, for example, a work of art, equipment, or a literary collection.

Internal Revenue Code (IRC) – 26 U.S.C.S. §1 et seq.

#### IV. Responsibilities

- A. Department Administration – Promptly deposits Gifts received in the form of cash or check in accordance with University procedures, or forward such Gifts to the Foundation.
- B. Office of University Advancement and Alumni Relations – Responsible for ensuring University compliance with laws pertaining to the management of charitable gifts and confirming that the University honors its fiduciary responsibility to donors. Performs quality assurance reviews to ensure that gifts are assigned to correct accounts.
- C. Vice President, University Advancement and Alumni Relations - Has general oversight of gifts accepted by the University.

#### V. Forms

#### VI. Dates:

##### A. Effective Date:

This policy will become effective upon the date of approval by the Senior Vice President for Administration and Finance and the Provost and Executive Vice President.

##### B. Date of Most Recent Review:



N/A.

**VII. Timetable for Review**

This policy, and any related procedures, shall be reviewed every three years or more frequently as needed.

**VIII. Signatures**

Approved:

\_\_\_\_\_  
**Senior Vice President for  
Administration and Finance**

\_\_\_\_\_  
**Date**

Approved:

\_\_\_\_\_  
**Provost and Executive Vice President**

\_\_\_\_\_  
**Date**

**DRAFT**

**GEORGE MASON UNIVERSITY  
BOARD OF VISITORS MEETING  
MARKED GIFT AGREEMENT FOLLOW UP REPORT  
WEDNESDAY, DECEMBER 12, 2018**

**SUMMARY**

In October 2018, the University released the *Report of the Review of Gift Agreements* to the public. This report articulated the Internal Review Committee's process for its review, analysis and recommendations. Specifically, the Committee recommended that the University, in its efforts to assure transparency, academic independence and public trust, "pursue clarifying language with donors for all language in active gift agreements highlighted by the Committee as potentially problematic with regard to the *Gift Review Criteria*."

The University, represented by the president, provost; vice president for advancement and alumni relations; academic unit leadership; and development officers; worked to address issues in agreement language noted by the Committee. University representatives focused on 13 of the 27 marked agreements, which represent total current use and endowment funds above \$100,000, totaling \$22.5M. The follow up on each of these gift agreements and resolutions are outlined in detail below.

**FOLLOW UP ON MARKED GIFT AGREEMENTS**

**Agreement 335 – The Chair of Economics at Mercatus Center at George Mason University**

***Considerations:*** Exclusion/Preferences, Governance, Ongoing Donor Role

Language in the agreement raised questions on donor role, the University received a letter from Tyler Cowen (APPENDIX B) stating Donor Menlo Smith did not interfere with standard GMU procedures for hiring any of the members of our economics department, nor does he have an expectation to participate in selecting chairs. Further, Mr. Menlo stated in a *Washington Post* interview that he has not participated in the selection process. University procedures are followed when faculty are hired, resolving open questions on this agreement.

**Agreement 153 – Center for the Protection of Intellectual Property**

***Consideration:*** Academic Freedom

Language in the first part of the agreement concerning CPIP raised a question on advocacy (i.e., a specific position for intellectual property rights); however, in the context of the larger gift agreement, no similar concern was present and this question was resolved.

**Agreement 346 – Center for the Protection of Intellectual Property**

**Consideration:** Transparency

Pertaining to language in the agreement noting the donor did not “require any recognition of [their] name, and would request, in fact, that [their] name not be published on any list of donors disseminated by the Foundation or the University.” The University received the following response from Development Officer Wendell Clark:

*I have spoken with Kevin Madigan, Deputy Director of CPIP, about the gift from the [donor]. The gift was for general support and was not for a specific research project.*

**Agreement 299 - Laura and John Arnold Foundation**

**Consideration:** Academic Freedom

Agreement language notes that the University will host a judicial symposium with an agenda modeled on concepts outlined in the law review article written by Stuart Buck. This paper is available to the public:

Buck, Stuart, Legal Obstacles to State Pension Reform (August 26, 2011).

SSRN: <https://ssrn.com/abstract=1917563> or <http://dx.doi.org/10.2139/ssrn.1917563>

As this is an academic paper outlining legal obstacles to state pension reform, it is appropriate for a judicial symposium to introduce key issues and cases outlined in the paper.

**Agreement 306 - C. Boyden Gray Center for the Study of the Administrative State**

**Consideration:** Governance

This document was a letter outlining a two-part request for (1) the creation of the Boyden Gray Center, and (2) the Boyden Gray Professor; the language raised question was related to the professorship. According to Henry Butler, Scalia Law School dean, the donor chose to give \$3.0M for the Boyden Gray Center for the Study of the Administrative State for the purposes of supporting annual operating expenses for the Center for a period of 10 years, instead of the endowed professorship. In other words, the language in question has no relevance to the eventual gift.

**Agreement 20 - Endowed IIT Chair in Islam and Global Civilization**

**Considerations:** Academic Freedom, Ongoing Donor Role

Language in the agreement noted the “designee/s of the donor will participate as member/s of the search committee” for an endowed chair position funded by the agreement. The assigned development officer in the College of Humanities and Social Sciences is working with the donor and will forward documentation certifying that the donor’s role in the future.

**Agreement 301 – Robert A. Levy Endowed Fellowship in Law and Liberty**

**Consideration: Donor Notification**

Language in the agreement noted the donor should receive “advanced notice of any matters related to publicizing the fellowships, recruiting candidates, and establishing criteria for recipients that will be provided to the donor,” and “the donor is to be informed on all involvements that reasonably might affect his willingness to continue sponsorship...”

On behalf of the University, Henry Butler, Scalia Law School dean, reached out to Mr. Robert Levy, and received this response:

*My recollection is that I wrote to Henry Manne waiving the cited language (“Advanced notice of any matters related to publicizing the fellowships, recruiting candidates, and establishing criteria for recipients will be provided to the donor. In addition, the donor is to be informed of all involvements that reasonably might affect his willingness to continue sponsorship of this project.”). I no longer have a written record of that correspondence; but, for what it’s worth, I hereby reiterate said waiver; and I have no concerns with regard to GMU’s or GMUF’s past compliance with the cited language.*

**Agreement 50 - Memorandum of Understanding Between Robert A. Levy and GMU**

**Foundation**

**Considerations: Financial Burden**

Agreement language indicates, “The University will match the Donor’s gift by permanently increasing the base budget” of the academic unit. The action was taken between 2006 and 2009 with a total budget impact of \$100,000; with the introduction of the new budget model in 2015, this agreement has no tangible impact to the University.

**Agreement 348 – The Dewberry Chair for Civil, Environmental and Infrastructure Engineering for the Urban Systems Engineering Program**

**Considerations: Governance**

The agreement notes that the donor “will be consulted during the process of selecting a recipient for the chair” and “the individual selected will have experience and interest fitting the mission and purpose” of the donor. Volgenau School of Engineering Dean Ken Ball, submitted the following statement to the University to resolve questions on this language:

*The Dewberry Chair for Civil, Environmental and Infrastructure Engineering was established in 1994 by the Urban Systems Engineering Institute (USEI). The USEI (the donor) no longer exists. It has been replaced by the Civil Engineering Institute which does not participate in the selection process. All university procedures are strictly adhered to when filling faculty positions.*

**Agreement 43 – Gift Agreement Establishing the Center for Global Islamic Studies; and Agreement 60 – Gift Agreement for the Ali Vural AK Center for Global Islamic Studies [2012]**  
***Considerations:*** Academic Freedom, Ongoing Donor Role, Governance

Agreements 43 and 60 are two documents from the same fund that contain language regarding a seven-member advisory board and a note that funding is contingent on donor satisfaction with activities of the center. The assigned development officer in the College of Humanities and Social Sciences is working with the donor to develop a revised gift agreement that will address this issue.

**Agreement 63A – Gift Agreement: Addendum to the Prince William Professional Firefighters Union – Kyle Wilson Memorial Scholarship Endowment**  
***Considerations:*** Exclusions/Preferences, Ongoing Donor Role

Language in the agreement raised questions on donor influence, the University received a letter from College of Education and Human Development Dean Mark Ginsberg (APPENDIX C), certifying that the scholarship awards have been made in accordance with all university policies. CEHD Student Academic Affairs Office has administered this scholarship. The parents of the individual for whom the fund is named are not involved in selection of recipients.

**Agreement 29 – Northern Chapter of Virginia Society of CPA's Endowed Professorship Statement of Agreement**  
***Considerations:*** Exclusions/Preferences

Language in the agreement raised a question regarding exclusions/preferences (ensuring the donor will have a seat on the Accounting Advisory Council); however, this was not a condition of the gift, nor was a similar concern present in the context of the larger gift agreement. This question is resolved.

**Appendix A**  
**IN-SCOPE GIFT AGREEMENTS MARKED FOR FURTHER REVIEW**

335, 153, 346, 299, 306, 20, 301, 50	\$20.92M
<b>Agreements \$100k - \$999k</b>	
348, 43, 60, 63A, 29	\$1.6M
<b>Agreements \$10k– \$99k</b>	
226, 227, 228, 230, 232, 233, 234, 336, 61, 62, 41, 42/108	\$0.11M
40, 67	\$0.01M

**APPENDIX B**



Department of Economics

D100 Buchanan Hall, MSN 904, Fairfax, Virginia 22030  
Phone: 703-993-2312 Fax: 703-993-2323

November 14, 2018

Janet Bingham  
George Mason University Foundation  
2307 Merten Hall, MSN 1A3  
Fairfax, VA 22030

Dear Janet,

I am writing to confirm that, as in our discussion, donor Menlo Smith did not interfere with standard GMU procedures of hiring for any of the members of our economics department. Standard university procedures for hiring faculty were followed and donors do not make faculty selections. As Mr Smith recently indicated in comments in the Washington Post, he is and was not involved in the hiring of faculty.

Respectfully,

A handwritten signature in black ink, appearing to read "Tyler Cowen". The signature is written in a cursive, somewhat stylized script.

Tyler Cowen  
Professor, Economics  
703-993-2312

APPENDIX C



Office of the Dean

College of Education and Human Development  
4400 University Drive, MS 2-1, Fairfax, Virginia 22030  
Phone: 703-993-2004; Fax: 703-993-2801

November 30, 2018

Janet Bingham, PhD  
President, George Mason University Foundation, Inc  
4400 University Drive, MS 1A3  
Fairfax, VA 22030

Dear Janet Bingham, PhD,

The Kyle Wilson Memorial Scholarship Endowment was established on December 5, 2012 by The Prince William Professional Firefighters Union, and George Mason University, Fairfax, Virginia, and the George Mason University Foundation, Inc.

Kyle R. Wilson received his Bachelor of Science Degree from the College of Education and Human Development in 2005. He served as a member of Fire Station 12 in Woodbridge, Virginia where he served until tragically losing his life while fighting an early morning, three-alarm residence fire in Woodbridge, Virginia on April 16, 2007.

Kyle Wilson's parents, Bob and Susan Wilson, were not signatories on the gift agreement. Bob and Susan Wilson have supported the Fund through participation in the Kyle Wilson Memorial Softball Tournament, which provides contributions to the endowment.

The scholarship awards have been made in accordance with all university policies. C/HTD Student Academic Affairs Office has administrated this scholarship as of August 2018.

We will reiterate with the Wilson Family cannot be voting member of a scholarship recipient selection committee.

Sincerely,

A handwritten signature in black ink that reads "Mark".

Mark R. Ginsberg, PhD  
Dean and Professor  
College of Education and Human Development