MEETING MINUTES FROM BOARD OF ADVISORS, NWC SUB-COMMITTEE MEETING ON 7 APRIL 2017

**Background:** RADM Harley, Naval War College President, and the College Deans met with the Board of Advisors (BOA) on Thursday, 6 April, the first day of their visit. RADM Harley gave an update on the College including the progress to date on the College’s Strategic Plan; the Cyber Curriculum; the Institute for Future Warfare Studies; the Russia Maritime Studies Institute; and the International Fellows program. RADM Harley and the Deans also discussed some of the difficulties the College faces with regard to civilian faculty hiring policies and solicited feedback and other issues for discussion.

On Thursday, 6 April, BOA members also attended classes with the Joint Military Operations Department, attended luncheon with students, met with faculty, received briefings from the NWC Foundation director and the library director, and toured the Wargaming facility, the Learning Commons, and the library archives.

The NWC Sub-Committee of the BOA met as a group on Friday morning, 7 April.

**Board of Advisors Member Attendees:** Honorable Christopher Jehn, Chairman; Mr. Frank DiGiovanni, OPNAV N1B representing N1; VADM (ret.) Lee Gunn (NPS/NWC Parent Board Chair); Dr. Katherine McGrady (NPS/NWC Parent Board); AMB Nancy Soderberg (NPS/NWC Parent Board); Ms. Jaye Panza, Designated Federal Officer (DFO); Dr. Thomas Gibbons, Alternate DFO/Associate Professor; and Mr. David Menzen, OPNAV N12.

**NWC Attendees:** Dr. Lewis Duncan, NWC Provost; Mr. Rick Menard.

**Discussion:**

Meeting was called to order at 1000 hours on Friday, 7 April, after which Chairman Jehn welcomed the BOA members and others and solicited feedback and issues for discussion.

AMB Soderberg observed that a lack of the College’s ability to be effective in strategic planning and execution were greatly limited because the president was only on a two-year tour. She believed that the NWC president should be in place for at least five years to be effective. She also pointed to a lack of diversity on the faculty (female and ethnicity). Finally, she mentioned that the College should find a source for possible funding to help digitize the library’s extensive archive holdings.

Dr. McGrady mentioned that it definitely looked like NWC had made progress on some issues since the BOA meeting last year but that it was at a snail’s pace. She pointed to the legislative initiative regarding faculty member Intellectual Property and recommended that NWC solicit support and advice from Rep. Randy Forbes, now
serving on the faculty. NWC should take advantage of his expertise and presence on the faculty to help drive legislation through the OMB and the Congress.

The Provost explained that NWC had done most of the groundwork for the legislative initiative and that it was now being staffed through both USNA and NPS. NWC was in the process of tracking its progress. The Provost pointed out that the timecard issue and being treated like hourly workers is an irritant to the faculty.

Several board members mentioned that they also complete hourly timecards and they were not sure that NWC would get blanket authority to complete the timecards.

AMB Soderberg urged clarification of the term “prohibited source” for the NWC foundation. She said that this issue was discussed at length during their meeting with the Executive Director of the NWC Foundation and encouraged ensuring a resolution on any grey areas of use of Foundation funds.

The Provost explained that the term “prohibited source” strains the relationship between NWC and the Foundation. He mentioned that it has a negative connotation and it’s ironic because the NWC Foundation was established solely to support the College.

Mr. Menzen pointed out that this issue was addressed at the most recent AERB with the VCNO and that VADM Crawford, Navy Judge Advocate General, was working this issue. It will be addressed at the next AERB.

Dr. McGrady asked whether tenure was an issue because it had been discussed in the Board’s meeting with NWC faculty.

The Provost explained that a faculty committee convened by RADM Harley would look at tenure. He thought it was a more complex issue because the concept of tenure is a double-edged sword with the “seven years up or out” provision. Those not awarded tenure within seven years are released. The Provost also opined that the military faculty do not have any interest in tenure. He noted that the best equivalent of tenure at NWC was the indefinite appointment.

The Provost also highlighted that, unlike many civilian institutions, NWC does not have a faculty senate. However, the College has made progress in shared governance, with faculty becoming more involved since the last NEASC accreditation. It would be healthy to resolve this matter of tenure rather than letting the different views between the faculty and administration go unresolved.

Dr. McGrady also questioned the workload for both students and faculty. She said that it came up during the meeting with faculty and again during the lunch with students. The students, administration, and faculty appear to have very different views of whether the workload at NWC is excessive, specifically, the amount of required reading.
The Provost said he believed students do not think they have as much white space on the calendars as they need. He pointed out that students are in a compressed program and receive their master’s degree in a year which is less than many other master’s degree programs. He also mentioned that NWC is in the process of implementing a pilot program for international officers to receive a master’s degree.

The Provost also explained that very few of the civilian faculty members have outside employment and they expect to receive a 12-month salary. Unlike civilian institutions, where faculty members do research and writing during the summer months, NWC civilian faculty work 12 months. Additionally, unlike the other PME institutions, NWC faculty actually teach two different courses and levels of PME.

Mr. Menzen recommended the workload issue for students be addressed at the student orientation.

The Provost provided information about his lecture series bringing in outside speakers to address contemporary issues in higher education and experiential learning. He also explained that the leadership was taking a hard look at learning outcomes.

Mr. DiGiovanni concurred and thought this was a good idea.

The Provost addressed faculty hiring and mentioned that in searches the NWC is getting spectacular potential faculty members interested. Unfortunately, the military institutions are often not their first choice for hiring.

Dr. McGrady mentioned that during the lunch with students that she heard a lot about older history being presented in the courses. She questioned whether the faculty should be spending more time on recent examples and current events.

The Provost responded that the faculty translates lessons that come from the past.

Dr. McGrady was impressed by the fact that an NWC team won 1st Place in the recent Cyber competition. She met students from the team during lunch.

The Provost stressed the impact of the College of Distance Education (CDE) to the board members. He highlighted that CDE has more than 267K students on an annual basis compared to the approximately 600 resident CNC&S and CNW students at the College. He said that the College plans to focus more resources on distance education in the future and he wanted the BOA members to be aware of this.

Board members approved and encouraged this initiative with distance education because of the broad impact on the overall institution.

Mr. DiGiovanni asked the Provost to look at the outreach program that the Naval War College Foundation had established with sending faculty members out to talk to the
public. He and other Board members were concerned with the perception that faculty members are supporting the Foundation with fund-raising.

Chairman Jehn asked about the status of the white paper on flagship institutions and that this issue came up Thursday with RADM Harley.

The Provost responded that NPS is working the white paper and will push it to the other institutions for coordination.

Chairman Jehn also asked about the routing of the BOA Report. Does it go through the CNO?

Ms. Panza responded that the BOA report is routed to the SECNAV via the CNO.

Mr. DiGiovanni requested that the BOA report also go to the N1 so that he has visibility on it and is in a better position to aid the College.

VADM (Ret) Gunn concurred and said that should not be a problem.

AMB Soderberg recommended that the SECNAV be invited to the next BOA meeting in October in Washington, DC. Other board members concurred. The SECNAV, CNO, and CMC are always sent invitations to attend the October meeting in the Washington, DC metropolitan area.

AMB Soderberg also asked the Provost what he thought about NWC presidents having a term of 2 years or less. Could the president get anything done in a short term like this?

The Provost concurred and opined that it is challenging for the institution to have presidents with short terms.

Chairman Jehn questioned what else the BOA members could do for the institution and whether more frequent contact would be desirable and practical. How can BOA members play a more active role to help the institution in the future? After a brief discussion, VADM(Ret) Lee Gunn said he would raise this issue at the NPS Subcommittee later in the month.

Ms. Panza responded that the NPS President sends board members his biweekly updates to the CNO.

The Provost replied that he believed that RADM Harley would not have a problem sharing his notes to the CNO with the BOA members.

Chairman Jehn asked the board members to think about ways that they could be more active and that it would be discussed at the next BOA meeting in October.
The Board Chairman asked if there were any additional comments from the Board or the public. There being none, the DFO adjourned the meeting at 1105 hours.

Open Issues and Recommendations:

- Provide updates on legislative initiative for prohibited source designation, intellectual property rights of faculty, and faculty timecards. Consider getting assistance from Rep. Forbes.

- Consider additional outside funding sources for library archives digitization. BOA will follow-up.

- Provide the numbers that indicate faculty diversity.

- Provide information on the status of faculty tenure.

- Suggest ways for the BOA members to play a more active role in the NWC.

- Assess costs and benefits of lengthening the President’s tenure, as is now the practice for the President, NPS and often for the Superintendent, USNA.

Meeting Minutes certified

[Signature]

CHRISTOPHER JOHN

11 JUNE 2017
Naval Postgraduate School (NPS)
Board of Advisors Subcommittee Meeting Minutes
April 26 – 27, 2017
Open Meeting

Executive Briefing Center
Herrmann Hall
Monterey, CA 93943

Presentations of Agenda Items

Background: The Designated Federal Official to the Board of Advisors to the President of the Naval Postgraduate School Subcommittee (NPSBOA) called the meeting to order at 8:00am on April 26, 2017 in the Executive Briefing Center in Herrmann Hall at the Naval Postgraduate School. NPS Provost, Dr. Lerman welcomed the Board Members to NPS and introduced the NPS staff who were attending the board meeting.

The Board Chairman, VADM(Ret) Frost gave opening remarks after which the NPSBOA members received their annual Ethics and Standards of Conduct training by NPS Counsel.

Status and Briefs by NPS Leadership: NPS President, VADM (Ret) Ron Route gave a status report on NPS Programs and Activities, including resources—funding trends; reimbursable portfolio; FTEs; Civilian Personnel (faculty and staff); Research Programs; Graduate Education Programs and Student Enrollment; and the Executive Education Program. He invited the Board Members to attend the Annual Acquisition Research Symposium (after their meeting) which is being held concurrently where he gave opening remarks.

Mr. Joe LoPiccolo then demonstrated the new, modern updated NPS webpage. The primary web audiences are NPS students, sponsors, and other public universities.

President Route and Provost Lerman also discussed future challenges NPS faces such as Strategic Plan Shaping; NPS Reimbursable Model/Reimbursable Work Order Environment; Naval Education Programs; Addressing Declining Naval Enrollment.

Strategic Plan: The plan will be sufficiently detailed to not only set a direction and identify priorities, but also to identify those areas of current or potential activities that don’t align as well with the core mission. Provost Lerman
discussed plan development. It includes a process to identify and consult stakeholders including students, resource sponsors, potential partners (including Silicon Valley), the BOA, faculty, alumni, and others. The plan will identify areas for growth, including:

- Cyber warfare.
- Unmanned autonomous vehicles.
- Emerging defense related technologies, including artificial intelligence.
- Irregular Warfare, defense analysis, special warfare
- Defense manpower planning and management.
- Adapting national security strategies to the evolving global security environment.

The plan will also address areas where resources may be diverted into activities better aligned with the school’s mission. Finally, the plan will outline implementation details.

**Discussion with NPS Deans:** Faculty morale shows signs of improvement although issues remain. Faculty still feels the reaction to the 2012 IG Report was extreme. There has been a general feeling that Washington staff cared only about compliance and not about the value of research, or the quality of education at NPS. As a result, the perception has grown that faculty are treated more like civil servants than academics. Navy leadership is beginning to respond positively to faculty concerns, but some deans and faculty do not yet feel the effects.

Other issues raised by the deans include:

- Earlier than planned retirements are the primarily reason for faculty losses in some schools. There is a shortage of economics instructors, a highly competitive field in which recruiting is difficult. In one school, the Dean teaches 3 or 4 courses a year due to lack of faculty.
- Some faculty feel that further clarification is needed over mission. The balance between activities that support the joint force versus activities that are focused on Navy support is a topic of frequent discussion.
- Business processes is an area needing improvement. Ideas for making HRO, contracting, and comptroller support more efficient were discussed.
- The processes for accepting research projects is still an issue. Some faculty members believe they have been told not to do any additional research and they regard it as overly restrictive. Also, every funding document that comes into the school requires 51% of the budget to be done “in house”. This policy seems inappropriate in an academic environment. At the very least, it is difficult to interpret and manage in a dynamic research
environment. The Work Acceptance Process (WAP), which is about to be finalized, needs to allow faculty sufficient flexibility and may be a matter of interest to accreditation boards.

**AFIT Brief:** Air Force Institute of Technology (AFIT) Provost, Dr. Todd Stewart delivered remarks about AFIT’s mission and indicated there is significant potential for mutually beneficial collaboration between AFIT and NPS. He reported that while former agreements have expired between the service secretaries and institutions, current collaboration is working well.

**NPS Foundation:** Chief of Staff, CAPT Tony Parisi updated the Board on the relationship NPS has with the NPS Foundation. NPS is looking forward to resolution on the recommendation of the designation of preferred status for NPS Foundation.

**Facilities Update:** CAPT Rich Wiley, Commanding Officer of the Naval Support Activity Monterey provided a facility update and discussed improvement priorities and upcoming projects. Some academic buildings are falling into disrepair. Safety and security of the installation are the first priority. Several buildings are slated for fire protection installation, asbestos removal, and roof repair. Funding has been deferred for the Naval Research Lab Complex HVAC, electrical improvements, fire and security upgrades, and IT updates. Efforts are already in process for the renovation of the historic Del Monte Hotel (Herrmann Hall) and approval for the construction of a new Del Monte Café in the student quad area.

**Board Member Discussion:**

**Strategic Plan:** Discussion on the strategic plan included the following points:

The frequency for re-assessing and updating the plan is a consideration. Significant workload goes into the process and it is possible to go beyond a point of diminishing returns.

The degree of involvement by external partners and stakeholders should be considered. Key entities for potential inclusion include SECDEF, SECNAV, CNO, UNSA, NWC, and Silicon Valley companies.

There was a discussion of how the space domain should be treated in the strategy. The Navy is highly dependent on space capabilities but space has become a contested warfare environment.
Given the importance and ubiquitous nature of the cyber domain, the idea of more effective coordination among NWC, USNA, and NPS in this area was discussed.

**Faculty Issues:** Faculty retention, recruitment and morale have been a concern of the board since the 2012 IG investigation. NPS has historically enjoyed a faculty of exceptional quality and dedication. It goes without saying that the faculty is the foundation upon which the school depends to accomplish its mission. Since NPS cannot provide competitive salaries and other compensation, faculty morale is a vital issue. Discussion regarding faculty issues included:

- Some distinguished professors and some next-generation distinguished professors-to-be are gone due to the continuous challenges in their ability to do research. A continuous focus on improving faculty support and succession planning is important. The fact the federal government does not operate on an academic calendar and the timing of funding, approval of contracts, and filling of positions does not mesh and complicates the problem. NPS leadership is committed to supporting the faculty. Communicating its efforts toward addressing faculty concerns is always important.
- The long-standing uncertainty over the FTE issue has just recently been resolved. This was an important step and opens the door to many decisions, including the balance among faculty positions, research positions and support staff. While much work lies ahead, there is an opportunity to alleviate faculty frustrations over support and other issues.
- The Work Acceptance Process (WAP) is also nearing acceptance and promises an opportunity to streamline the decision process regarding research projects. This is another opportunity to resolve and remove significant faculty frustration.
- Research is vital to faculty health and development. Faculty need to be able to hire research assistants. Care is important in striking the right balance between hiring research and administrative personnel.
- Capturing and understanding trends in faculty morale is important. The creation of, and emphasis on, a more formal exit interview program was discussed and recommended.
- Methods for obtaining desired faculty diversity were discussed.

**Student Population:** The Board briefly discussed issues regarding the student population including the reduction in STEM enrollees, the declining numbers of international students, and the complex issue of fitting in-residence postgraduate education into the career paths of Navy and Marine Corps officers.
AFIT Relationship: Board members discussed whether the AFIT agreement needs to be re-established. Consensus is that effective collaboration is most important and the current relationship appears to be working well.

NPS Facilities: The Commanding Officer, Naval Support Facility is aggressively tracking facility issues. Funding is a continuing problem and despite efforts, some parts of the facility suffer from under investment. In some cases, there may be a risk to integrity or accreditation. Methods for prioritizing needs and providing visibility to problems were discussed.

NPS Foundation: The NPS Foundation exists to provide support the NPS mission and can be an extraordinary resource. The Board understands and accepts the need for strict compliance with existing rules governing these arrangements. Nevertheless, the Board perceives that interpretation of the rules may have gotten overly conservative since the 2012 IG investigation. Other organizations with supporting foundations have found ways to take full advantage of this support and stay within the rules. The board intends to follow this issue and to obtain a better understanding of the appropriate ethics rules that apply.

Board Member Appointment/Renewal Process: Board members commented on the slowness of getting new Board members approved by the Secretary of Navy and Secretary of Defense. Several board members are close to reaching mandatory term limits. An effective board is a requirement for accreditation and there is concern that vacancies can be filled before the next regional accreditation in 2020.

The meeting was adjourned at 12noon on April 27, 2017

Next meeting will be held on October 18 – 19, 2017 in Arlington, VA.

Approved:

David E. Frost
Chairman

Appendix 1

Board Members (or ex-officio alternate) in Attendance:
Mr. Walter Anderson  
VADM(Ret) David E. Frost  
VADM(Ret) Lee F. Gunn  
Mr. Walter Jones (for Chief of Naval Research)  
Dr. Katherine McGrady (NPS/NWC Overarching Board Member)  
Mr. David Menzen (for Deputy CNO/MPT&E)  
Mr. Frank DiGiovanni (for Deputy CNO/MPT&E)  
Dr. M. Elisabeth Pate-Cornell  
AMB (Ret) Nancy Soderberg (NPS/NWC Overarching Board Member)  
Dr. Todd Stewart (for Air University)  
Dr. E. Jan Kehoe  
Col Scott E. Erdelatz, USMC (for TECOM)  
Dr. David D. Dworak (for Army War College)  

Others in Attendance:  
Dr. Sivaguru S. Sritharan, Air Force Institute of Technology  
Ms. Elizabeth Gracia, OPNAV N12  
VADM(Ret) Ron Route, President NPS  
Dr. Steve Lerman, NPS Provost  
CAPT Tony Parisi, NPS Chief of Staff  
Ms. Kath Ashton, NPS Counsel  
Mr. Joe LoPiccolo, NPS Chief Information Officer  
Mr. Les Martin, NPS Director  
Dr. James Wirtz, NPS Dean  
Dr. Jeff Paduan, NPS Dean  
Dr. Gordon McCormack, NPS Dean  
Dr. Clyde Scandrett, NPS Dean  
Dr. Bill Gates, NPS Dean  
Dr. Doug Moses, NPS Vice Provost for Academic Affairs  
Ms. Jaye Panza, Designated Federal Official  
NPS Foundation staff